

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Lord, Ellen

Under Secretary of Defense for Acquisition and Sustainment, Department of Defense

Report Year: 2018

Other Federal Government Positions Held During the Preceding 12 Months:

Undersecretary Acquisition, Technology & Logistics (8/2017 - Present)

Electronic Signature - I certify that the statements I have made in this form are true, complete and correct to the best of my knowledge.

/s/ Lord, Ellen [electronically signed on 05/14/2018 by Lord, Ellen in Integrity.gov]

Agency Ethics Official's Opinion - On the basis of information contained in this report, I conclude that the filer is in compliance with applicable laws and regulations (subject to any comments below).

/s/ Vetter, Ruth, Certifying Official [electronically signed on 05/25/2018 by Vetter, Ruth in Integrity.gov]

Other review conducted by

/s/ Irvine, Dani, Ethics Official [electronically signed on 05/23/2018 by Irvine, Dani in Integrity.gov]

U.S. Office of Government Ethics Certification

Data Revised 05/23/2018

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Textron Inc.		Providence, Rhode Island	Corporation	President & CEO Textron Systems	10/2012	7/2017
2	National Defense Industrial Association	See Endnote	Washington, District of Columbia	Non-Profit	Vice- Chair & Executive Committee Member	11/2014	7/2017
3	U. S. Naval Institute Foundation		Annapolis, Maryland	Non-Profit	Trustee	5/2015	7/2017
4	Family Trust		Baltimore, Maryland	Trust	Co-trustee	4/2016	7/2017
5	Center for New American Security		Washington, District of Columbia	Non-Profit	Advisor	1/2014	7/2017
6	U.S. India Business Council		Washington, District of Columbia	Non-Profit	Board of Directors	4/2014	7/2017

2. Filer's Employment Assets & Income and Retirement Accounts

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Textron Inc.		N/A		Salary/Bonus	\$567,088
2	Textron Inc. Long Term Incentive Plan		No			
2.1	Textron Inc. (Restricted Share Units -share settled) - Unvested	See Endnote	N/A	None (or less than \$1,001)	Shares settled - Ordinary Income	\$995,854

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.2	Textron Inc. (Stock Options)		No			
2.2.1	Textron Inc. (Stock Options) - Vested		N/A	None (or less than \$1,001)	Options Exercised - Ordinary Income	\$1,273,238
2.2.2	Textron Inc. (Stock Options) - Unvested		N/A	None (or less than \$1,001)	Cash Payment	\$457,734
2.3	Textron Inc. (Restricted Share Units - cash settled)		N/A	None (or less than \$1,001)	Cash Payment	\$82,699
2.4	Textron Inc. (Performance Share Units) - Unvested	See Endnote	N/A	None (or less than \$1,001)	Cash payment	\$989,560
2.5	Textron Stock Brokerage Account (Fidelity)	See Endnote	No			
2.5.1	Textron Stock		N/A	None (or less than \$1,001)	Capital Gains Dividends	\$100,001 - \$1,000,000
3	Textron Inc. 401(k) Plans		No			
3.1	Textron, Inc. 401k (Qualified)	See Endnote	No			
3.1.1	Fidelity Diversified Intl K Mid-Cap		Yes	None (or less than \$1,001)		\$50,001 - \$100,000
3.1.2	Fidelity Low Priced Stk K Large Cap		Yes	None (or less than \$1,001)		\$15,001 - \$50,000
3.1.3	Fidelity Contrafund K		Yes	None (or less than \$1,001)		\$50,001 - \$100,000
3.1.4	Vanguard Inst Index Plus		Yes	None (or less than \$1,001)		\$100,001 - \$1,000,000
3.1.5	Textron, Inc.		N/A	None (or less than \$1,001)	Dividends Capital Gains	\$100,001 - \$1,000,000
3.2	Textron, Inc. 401k (Non-Qualified)	See Endnote	N/A	None (or less than \$1,001)	Cash payment	\$22,932

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4	Textron Inc., Defined Benefit Plan	No			
4.1	Textron Inc. Defined Benefit Plan (Qualified)	N/A	\$1,000,001 - \$5,000,000	Retirement payments (monthly)	\$7,644
4.2	Textron, Inc. Defined Benefit Plan (Non-Qualified)	N/A	\$1,000,001 - \$5,000,000	Retirement payments (monthly)	\$10,417
5	IRA #1	No			
5.1	EXG - EATON VANCE TAX MGD DIV EQU FD	Yes	None (or less than \$1,001)		\$201 - \$1,000
5.2	RSP - GUGGENHEIM S&P 500 EQU WEIGHT	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
5.3	IJH -ISHARES S&P MIDCAP 400 INDEX	Yes	\$15,001 - \$50,000		\$201 - \$1,000
5.4	PFF - ISHARES S&P US PFD STK IDX FD	Yes	None (or less than \$1,001)		\$201 - \$1,000
5.5	IJR - ISHARES SP SMALLCAP 600 INDEX	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
5.6	QQQ- POWERSHARES QQQ TR	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
5.7	VNQ - VANGUARD REIT ETF	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
5.8	DON - Wisdom Tree MidCap Dividend	Yes	None (or less than \$1,001)		\$201 - \$1,000
5.9	DES - Wisdom Tree Small Cap Div	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.10	AEPFX - American Funds EuroPac Growth	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.11	AQMIX -AQR MANAGED FUTURES STRATEGY I	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.12	BSIIX - BLACKROCK STRATEGIC INC OPP I	Yes	None (or less than \$1,001)		\$201 - \$1,000
5.13	CMNIX - Calamos Mkt Neutral INC I	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
5.14	CIHIX - CULLEN INTL HIGH DIVIDEND I	Yes	\$50,001 - \$100,000		\$201 - \$1,000
5.15	DGCIX - DELAWARE CORPORATE BOND INST	Yes	None (or less than \$1,001)		\$201 - \$1,000
5.16	LFRFX - Lord Abbett Flt Rt Fund	Yes	None (or less than \$1,001)		\$201 - \$1,000
5.17	HYSZX - PRUDENTIAL SH DUR HI YLD INC Z	Yes	None (or less than \$1,001)		\$201 - \$1,000
5.18	HIEMX - VIRTUS VONTOBEL EMRG MKT OPP I	Yes	\$50,001 - \$100,000		\$201 - \$1,000
5.19	PIMSX - Virtus Newfleet Multi-Sector Short Term Bond Fund	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
5.20	U.S. Brokerage Account (Cash)	N/A	\$50,001 - \$100,000		None (or less than \$201)
5.21	ISHARES S&P MIDCAP GR ETF (IJK)	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.22	ISHARES MORNINGSTAR SMALL VALUE ETF (JKL)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.23	VANGUARD SMALL GROWTH (VBK)	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.24	INVESCO EQ WGT S&P FUND (VADDX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.25	DOUBLELINE TOTAL RETURN FUND (DBLTX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
5.26	FRANKLIN K2 ALT STRATEGIES FUND (FABZX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
5.27	HARTFORD GROWTH OPPS FUND (HGOIX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
5.28	HIGHLAND LONG SHORT EQUITY FUND (HEOZX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
5.29	IVY HIGH INCOME (IVHIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.30	NEUBERGER BERMAN EQUITY INCOME FUND (NBHIX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
5.31	PRUDENTIAL TOTAL RETURN BOND FUND (PDBZX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
5.32	PRUDENTIAL SHORT TERM BOND FUND (PIFZX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Textron Inc. - Defined Benefit Plans	Providence, Rhode Island	I will continue to participate in both the qualified and non-qualified defined benefit plans.	1/1984

4. Filer's Sources of Compensation Exceeding \$5,000 in a Year

(N/A) - Not required for this type of report

5. Spouse's Employment Assets & Income and Retirement Accounts

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	IRA #1	No			
1.1	U.S. brokerage account (Cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.2	IEI - ISHARES 3-7 YR TREASURY BD ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.3	IVW - ISHARES S&P 500 GRWTH ETF	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.4	IVE - ISHARES S&P 500 VAL ETF	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.5	IJK -ISHARES S&P MID-CAP 400 G ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.6	IJJ - ISHARES S&P MID-CAP 400 V ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.7	DGCIX - Delaware Corp Bond	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.8	CNSDX - INVESCO CONVERT SECURITIES Y	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.9	LIFFX - Lord Abbett Inflation Focused	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.10	GAFYX - NATIXIS ASG GLOBAL ALTERNAT Y	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.11	TGBAX - Templeton Global Bond	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.12	RSDYX - VICTORY INCORE LOW DUR BD Y	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.13	IGLIX - Voya Global Real Estate	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	MUAIX - MS Ultra Short Income Fund	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
2	BABA - Alibaba	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
3	GOOGL - Alphabet	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
4	Google Inc. - Class C Capital Stock	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
5	Amazon.com, Inc. - Common Stock	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
6	AMT - American Tower REIT	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
7	Apple Inc. - Common Stock	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8	BRK'B - Berkshire Hathaway B	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
9	Biogen Idec Inc. - Common Stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
10	Coca-Cola Co	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$2,501 - \$5,000
11	Colgate-Palmolive Co	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$2,501 - \$5,000
12	Costco Wholesale Corporation - Common Stock	See Endnote	N/A	Dividends	\$201 - \$1,000
13	CVS Caremark Corp.	See Endnote	N/A	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
14	Danaher Corp	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
15	Emerson Electric Co	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
16	FTV - Fortive Corp	N/A	\$1,001 - \$15,000		None (or less than \$201)
17	General Electric Co	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
18	General Mills Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
19	Gilead Sciences, Inc. - Common Stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
20	Home Depot Inc	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
21	Johnson & Johnson	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
22	JP Morgan Chase & Co	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
23	Marriott International - Class A Common Stock	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
24	Mastercard Inc A	See Endnote	None (or less than \$1,001)		None (or less than \$201)
25	Medtronic Inc	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
26	Merck & Co Inc	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
27	Microsoft Corporation - Common Stock	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
28	Monsanto Co.	See Endnote	None (or less than \$1,001)		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
29	OMC - Omnicom Group		N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
30	PepsiCo Inc		N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
31	The Priceline Group Inc. - Common Stock		N/A	\$1,001 - \$15,000		None (or less than \$201)
32	Procter & Gamble		N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
33	Ross Stores, Inc. - Common Stock	See Endnote	N/A	None (or less than \$1,001)		None (or less than \$201)
34	Starbucks Corporation - Common Stock		N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
35	Stryker Corp		N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
36	Texas Instruments Incorporated - Common Stock	See Endnote	N/A	None (or less than \$1,001)		None (or less than \$201)
37	Textron Inc		N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
38	Union Pacific Corp		N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
39	United Technologies Corp		N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
40	Visa Inc		N/A	\$1,001 - \$15,000		None (or less than \$201)
41	Walt Disney Co		N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
42	EXG - Eaton Vance Tax Managed Dividend Fund		Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
43	FTA - First Trust Large Cap Value		Yes	\$50,001 - \$100,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
44	RSP - Guggenheim S&P Equal Weight	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
45	iShares S&P GSCI Commodity-Indexed Trust	Yes	\$1,001 - \$15,000		None (or less than \$201)
46	iShares S&P MidCap 400 Growth Index	Yes	\$100,001 - \$250,000		None (or less than \$201)
47	iShares S&P MidCap 400 Index	Yes	\$100,001 - \$250,000		None (or less than \$201)
48	iShares Morningstar Small Value Index	Yes	\$50,001 - \$100,000		None (or less than \$201)
49	NML - Neuberger Berman MLP Income Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
50	BOND - Pimco Total Return Bond	Yes	\$1,001 - \$15,000		None (or less than \$201)
51	VWO - Vanguard Emerging Mkts	Yes	\$50,001 - \$100,000		\$201 - \$1,000
52	VBK - Vanguard Small Cap Growth	Yes	\$100,001 - \$250,000		\$201 - \$1,000
53	AQMIX - AQR Managed Futures Strategy Fund	Yes	\$50,001 - \$100,000		None (or less than \$201)
54	FABZX - Franklin K2 Alternative Strategies Fund	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
55	MEURX - Franklin European Fund	Yes	\$15,001 - \$50,000		\$201 - \$1,000
56	Hartford Growth Opportunities I	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
57	HEOZX - Highland Long Short Equity fund	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
58	IVHIX - Ivy High Income	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
59	NBHIX - Neuberger Berman Equity Income Fund	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
60	Prudential Short-Term Corporate Bd Z	Yes	\$100,001 - \$250,000		\$201 - \$1,000
61	T. Rowe Price Japan	Yes	\$15,001 - \$50,000		None (or less than \$201)
62	PRNHX - T. Rowe Price New Horizons Fund	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
63	T. Rowe Price Summit Municipal Intm	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
64	T. Rowe Price Tax-Free Income Inv	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
65	T. Rowe Price Tax-Free Shrt-Interm	Yes	\$15,001 - \$50,000		\$201 - \$1,000
66	PIMSX - Virtus Newfleet Multi-Sector Short Term Bond Fund	Yes	\$250,001 - \$500,000		\$1,001 - \$2,500
67	U.S. brokerage account (cash)	N/A	\$50,001 - \$100,000		None (or less than \$201)
68	INVESCO EQUAL WGT S&P FUND (VADDX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
69	CALAMOS MKT NEUTRAL FUND (CMNIX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
70	CULLEN INTL HIGH DIV FUND (CIHIX)	Yes	\$100,001 - \$250,000		\$201 - \$1,000
71	DOUBLELINE TOTAL RETURN FUND (DBLTX)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
72	AMERICAN EUROPAC GROWTH FUND (AEPFX)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
73	PRUDENTIAL TOTAL RETURN BOND FUND (PDBZX)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
74	VIRTUS VONTOBLE EMG MKTS FUND (HIEMX)	Yes	\$100,001 - \$250,000		\$201 - \$1,000
75	SPECTRA ENERGY (SEP)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Textron Inc	Sale	09/22/2017	\$15,001 - \$50,000
2	Textron Inc	Sale	09/22/2017	\$15,001 - \$50,000
3	Textron Inc	Sale	09/22/2017	\$50,001 - \$100,000
4	Textron Inc	Sale	09/22/2017	\$15,001 - \$50,000
5	Textron Inc	Sale	09/22/2017	\$15,001 - \$50,000
6	Textron Inc	Sale	09/22/2017	\$15,001 - \$50,000
7	Textron Inc	Sale	09/22/2017	\$15,001 - \$50,000
8	Textron Inc	Sale	09/22/2017	\$50,001 - \$100,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
9	Textron Inc	Sale	09/22/2017	\$1,001 - \$15,000
10	Textron Inc	Sale	09/22/2017	\$1,001 - \$15,000
11	Textron Inc	Sale	09/22/2017	\$15,001 - \$50,000
12	Textron Inc	Sale	09/22/2017	\$15,001 - \$50,000
13	Textron Inc	Sale	09/22/2017	\$1,001 - \$15,000
14	Textron Inc	Sale	09/22/2017	\$1,001 - \$15,000
15	Textron Inc	Sale	09/22/2017	\$15,001 - \$50,000
16	Textron Inc	Sale	09/22/2017	\$1,001 - \$15,000
17	Textron Inc	Sale	09/22/2017	\$15,001 - \$50,000
18	Textron Inc	Sale	09/22/2017	\$1,001 - \$15,000
19	Textron Inc	Sale	09/22/2017	\$50,001 - \$100,000
20	Textron Inc	Sale	09/22/2017	\$1,001 - \$15,000
21	Textron Inc	Sale	09/22/2017	\$15,001 - \$50,000
22	Textron Inc	Sale	09/22/2017	\$1,001 - \$15,000
23	Textron Inc	Sale	09/22/2017	\$1,001 - \$15,000
24	Textron Inc	Sale	09/22/2017	\$15,001 - \$50,000
25	Textron Inc	Sale	09/22/2017	\$15,001 - \$50,000
26	United Technologies Corp	Sale	09/26/2017	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
27	Textron Inc	Sale	09/26/2017	\$15,001 - \$50,000
28	Procter & Gamble	Sale	09/26/2017	\$1,001 - \$15,000
29	Stryker Corp	Sale	09/26/2017	\$1,001 - \$15,000
30	PepsiCo Inc	Sale	09/26/2017	\$1,001 - \$15,000
31	Omnicom Group	Sale	09/26/2017	\$1,001 - \$15,000
32	Microsoft Corp	Sale	09/26/2017	\$15,001 - \$50,000
33	Johnson & Johnson	Sale	09/26/2017	\$1,001 - \$15,000
34	Home Depot Inc	Sale	09/26/2017	\$1,001 - \$15,000
35	General Electric Co	Sale	09/26/2017	\$1,001 - \$15,000
36	Emerson Electric Co	Sale	09/26/2017	\$1,001 - \$15,000
37	Walt Disney Co	Sale	09/26/2017	\$1,001 - \$15,000
38	Danaher Corp	Sale	09/26/2017	\$1,001 - \$15,000
39	Colgate-Palmolive Co	Sale	09/26/2017	\$1,001 - \$15,000
40	Coca-Cola Co	Sale	09/26/2017	\$1,001 - \$15,000
41	ALIBABA GROUP HLDG LTD	Sale	09/26/2017	\$15,001 - \$50,000
42	Alphabet Inc CL A	Sale	09/26/2017	\$1,001 - \$15,000
43	Alphabet Inc CL C	Sale	09/26/2017	\$1,001 - \$15,000
44	Berkshire Hathaway B	Sale	09/26/2017	\$15,001 - \$50,000
45	Medtronic Inc	Sale	09/26/2017	\$1,001 - \$15,000
46	American Tower REIT COM	Sale	09/26/2017	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
47	Marriott International - Class A Common Stock	Sale	09/26/2017	\$15,001 - \$50,000
48	Amazon Com Inc	Sale	09/26/2017	\$1,001 - \$15,000
49	Starbucks Corp	Sale	09/26/2017	\$1,001 - \$15,000
50	SPECTRA ENERGY CORP COM	Sale	1/19/2017	\$1,001 - \$15,000
51	GUGGENHEIM S&P 500 EQU WEIGHT	Purchase	2/28/2017	\$15,001 - \$50,000
52	HARTFORD GROWTH OPPORT I	Purchase	2/28/2017	\$15,001 - \$50,000
53	FIRST TRUST LRG CAP VALUE AL	Purchase	2/28/2017	\$15,001 - \$50,000
54	FRANKLIN MUTUAL EUROPEAN Z	Purchase	2/28/2017	\$15,001 - \$50,000
55	NEUBERGER BERMAN EQ INC INS	Purchase	2/28/2017	\$15,001 - \$50,000
56	VANGUARD FTSE EMERGING MARKETS	Purchase	2/28/2017	\$15,001 - \$50,000
57	EATON VANCE TAX MGD DIV EQU FD	Purchase	2/28/2017	\$15,001 - \$50,000
58	T ROWE PRICE JAPAN FUND	Purchase	2/28/2017	\$15,001 - \$50,000
59	HIGHLAND LONG SHORT EQUITY Z	Purchase	2/28/2017	\$15,001 - \$50,000
60	FRANKLIN K2 ALTRNTV STRTGS ADV	Purchase	2/28/2017	\$15,001 - \$50,000
61	VANGUARD SM CAP GROWTH ETF	Purchase	2/28/2017	\$1,001 - \$15,000
62	IVY HIGH INCOME I	Purchase	2/28/2017	\$1,001 - \$15,000
63	AQR MANAGED FUTURES STRATEGY I	Purchase	2/28/2017	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
64	ISHARES S&P MIDCAP 400 INDEX	Purchase	2/28/2017	\$1,001 - \$15,000
65	ISHARS MORNINGSTAR SML CP VALU	Purchase	2/28/2017	\$1,001 - \$15,000
66	ISHARES S&P MID-CAP 400 G ETF	Purchase	2/28/2017	\$1,001 - \$15,000
67	ISHARES TIPS BOND ETF	Purchase	2/28/2017	\$1,001 - \$15,000
68	PRUDENTIAL SHT TRM CORP BD Z	Purchase	2/28/2017	\$1,001 - \$15,000
69	LORD ABBETT FLT RT F	Purchase	2/28/2017	\$1,001 - \$15,000
70	VIRTUS MULTI SECT SHT TRM BDI	Purchase	2/28/2017	\$1,001 - \$15,000
71	NEUBERGER BERMAN MLP INC FND	Purchase	2/28/2017	\$1,001 - \$15,000
72	ISHARES S&P GSCI COMM INDX TRS	Purchase	2/28/2017	\$1,001 - \$15,000
73	PIMCO TOTAL RETURN ACTIVE EX	Purchase	2/28/2017	\$1,001 - \$15,000
74	MUAIX - MS ULTRA SHORT INCOME FUND	Purchase	3/31/2017	\$100,001 - \$250,000
75	MUAIX - MS ULTRA SHORT INCOME FUND	Purchase	7/26/2017	\$250,001 - \$500,000
76	MUAIX - MS ULTRA SHORT INCOME FUND	Sale	9/22/2017	\$500,001 - \$1,000,000
77	MUAIX - MS ULTRA SHORT INCOME FUND	Sale	9/26/2017	\$15,001 - \$50,000
78	AEPFX - AMERICAN EUROPACIFIC GRW F2	Purchase	9/26/2017	\$100,001 - \$250,000
79	HARTFORD GROWTH OPPORT I	Purchase	9/26/2017	\$50,001 - \$100,000
80	GUGGENHEIM S&P 500 EQU WEIGHT	Purchase	9/26/2017	\$50,001 - \$100,000
81	PRUDENTIAL TOTAL RETURN BD Z	Purchase	9/26/2017	\$50,001 - \$100,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
82	VIRTUS NWFLT MLTSEC SHTM BD I	Purchase	9/26/2017	\$15,001 - \$50,000
83	FIRST TRUST LRG CAP VALUE AL	Purchase	9/26/2017	\$15,001 - \$50,000
84	PRUDENTIAL SHT TRM CORP BD Z	Purchase	9/26/2017	\$15,001 - \$50,000
85	NEUBERGER BERMAN EQ INC INS	Purchase	9/26/2017	\$15,001 - \$50,000
86	HIGHLAND LONG SHORT EQUITY Z	Purchase	9/26/2017	\$15,001 - \$50,000
87	FRANKLIN K2 ALTRNTV STRTGS ADV	Purchase	9/26/2017	\$15,001 - \$50,000
88	VANGUARD FTSE EMERGING MARKETS	Purchase	9/26/2017	\$15,001 - \$50,000
89	DOUBLELINE TOTAL RETURN I	Purchase	9/26/2017	\$15,001 - \$50,000
90	VANGUARD SM CAP GROWTH ETF	Purchase	9/26/2017	\$15,001 - \$50,000
91	ISHARES S&P MIDCAP 400 INDEX	Purchase	9/26/2017	\$15,001 - \$50,000
92	IVY HIGH INCOME	Purchase	9/26/2017	\$15,001 - \$50,000
93	AQR MNGD FUTURES STRAT I	Purchase	9/26/2017	\$15,001 - \$50,000
94	EATON VANCE TAX MGD DIV EQU FD	Purchase	9/26/2017	\$15,001 - \$50,000
95	ISHARES MORNINGSTAR SML CP VALU	Purchase	9/26/2017	\$15,001 - \$50,000
96	ISHARES S&P MID-CAP 400 G ETF	Purchase	9/26/2017	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
97	PIMCO ACTIVE BOND ETF	Purchase	9/26/2017	\$1,001 - \$15,000
98	ISHARES TIPS BOND ETF	Sale	9/26/2017	\$1,001 - \$15,000
99	LORD ABBETT FLT RT F	Sale	9/26/2017	\$1,001 - \$15,000
100	AEPFX - AMERICAN EUROPACIFIC GRW F2	Purchase	9/28/2017	\$15,001 - \$50,000
101	PRUDENTIAL TOTAL RETURN BD Z	Purchase	9/28/2017	\$15,001 - \$50,000
102	PRUDENTIAL SHT TRM CORP BD Z	Purchase	9/28/2017	\$1,001 - \$15,000
103	NEUBERGER BERMAN EQ INC INS	Purchase	9/28/2017	\$1,001 - \$15,000
104	VIRTUS NWFLT MLTSEC SHTM BD I	Purchase	9/28/2017	\$1,001 - \$15,000
105	HIGHLAND LONG SHORT EQUITY Z	Purchase	9/28/2017	\$1,001 - \$15,000
106	FRANKLIN K2 ALTRNTV STRTGS ADV	Purchase	9/28/2017	\$1,001 - \$15,000
107	DOUBLELINE TOTAL RETURN I	Purchase	9/28/2017	\$1,001 - \$15,000
108	IVY HIGH INCOME I	Purchase	9/28/2017	\$1,001 - \$15,000
109	INVESCO EQUAL WGHTED S&P 500 Y	Purchase	10/03/2017	\$15,001 - \$50,000
110	HARTFORD GROWTH OPPORT I	Purchase	10/03/2017	\$15,001 - \$50,000
111	VIRTUS VONTOBEL EMRG MKT OPP I	Purchase	10/03/2017	\$15,001 - \$50,000
112	CALAMOS MARKET NEUTRAL INC I	Purchase	10/03/2017	\$1,001 - \$15,000
113	CULLEN INTL HIGH DIVIDEND I	Purchase	10/03/2017	\$1,001 - \$15,000
114	NEUBERGER BERMAN EQ INC INS	Purchase	10/03/2017	\$1,001 - \$15,000
115	ISHARES MORNINGSTAR SML CP VALU	Purchase	10/03/2017	\$1,001 - \$15,000
116	ISHARES S&P MIDCAP 400 INDEX	Purchase	10/03/2017	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
117	VANGUARD SM CAP GROWTH ETF	Purchase	10/03/2017	\$1,001 - \$15,000
118	ISHARES S&P MID CAP 400 G ETF	Purchase	10/03/2017	\$1,001 - \$15,000
119	AEPFX - AMERICAN EUROPACIFIC GRW F2	Purchase	10/04/2017	\$100,001 - \$250,000
120	NEUBERGER BERMAN EQ INC INS	Purchase	10/04/2017	\$100,001 - \$250,000
121	INVESCO EQUAL WGHTD S&P 500 Y	Purchase	10/04/2017	\$50,001 - \$100,000
122	HARTFORD GROWTH OPPORT I	Purchase	10/04/2017	\$50,001 - \$100,000
123	CALAMOS MARKET NEUTRAL INC I	Purchase	10/04/2017	\$50,001 - \$100,000
124	VIRTUS VONTOBEL EMRG MKT OPP I	Purchase	10/04/2017	\$50,001 - \$100,000
125	PRUDENTIAL TOTAL RETURN BD Z	Purchase	10/04/2017	\$50,001 - \$100,000
126	CULLEN INTL HIGH DIVIDEND I	Purchase	10/04/2017	\$50,001 - \$100,000
127	VIRTUS NWFLT MLTSEC SHTM BD I	Purchase	10/04/2017	\$15,001 - \$50,000
128	DOUBLELINE TOTAL RETURN I	Purchase	10/04/2017	\$15,001 - \$50,000
129	VANGUARD SM CAP GROWTH ETF	Purchase	10/04/2017	\$15,001 - \$50,000
130	ISHARES MORNINGSTAR SML CP VALU	Purchase	10/04/2017	\$15,001 - \$50,000
131	HIGHLAND LONG SHORT EQUITY Z	Purchase	10/04/2017	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
132	PRUDENTIAL SHT TRM CORP BD Z	Purchase	10/04/2017	\$15,001 - \$50,000
133	FRANKLIN K2 ALTRNTV STRTGS ADV	Purchase	10/04/2017	\$15,001 - \$50,000
134	ISHARES S&P MID-CAP 400 ETF	Purchase	10/04/2017	\$15,001 - \$50,000
135	ISHARES S&P MIDCAP 400 INDEX	Purchase	10/04/2017	\$15,001 - \$50,000
136	IVY HIGH INCOME I	Purchase	10/04/2017	\$1,001 - \$15,000
137	AQR MNGD FUTURES STRAT I	Purchase	10/04/2017	\$1,001 - \$15,000
138	VIRTUS NWFLT MLTSEC SHTM BD I	Purchase	10/05/2017	\$100,001 - \$250,000
139	AEPFX - AMERICAN EUROPACIFIC GRW F2	Purchase	10/11/2017	\$50,001 - \$100,000
140	NEUBERGER BERMAN EQ INC INS	Purchase	10/11/2017	\$50,001 - \$100,000
141	HARTFORD GROWTH OPPORT I	Purchase	10/11/2017	\$50,001 - \$100,000
142	INVESCO EQUAL WGHTD S&P 500 Y	Purchase	10/11/2017	\$50,001 - \$100,000
143	CALAMOS MARKET NEUTRAL INC I	Purchase	10/11/2017	\$15,001 - \$50,000
144	VIRTUS VONTOBEL EMRG MKT OPP I	Purchase	10/11/2017	\$15,001 - \$50,000
145	PRUDENTIAL TOTAL RETURN BD Z	Purchase	10/11/2017	\$15,001 - \$50,000
146	CULLEN INTL HIGH DIVIDEND	Purchase	10/11/2017	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
147	VIRTUS NWFLT MLTSEC SHTM BD I	Purchase	10/11/2017	\$15,001 - \$50,000
148	DOUBLELINE TOTAL RETURN I	Purchase	10/11/2017	\$15,001 - \$50,000
149	PRUDENTIAL SHT TRM CORP BD Z	Purchase	10/11/2017	\$15,001 - \$50,000
150	FRANKLIN K2 ALTRNTV STRTGS ADV	Purchase	10/11/2017	\$15,001 - \$50,000
151	HIGHLAND LONG SHORT EQUITY Z	Purchase	10/11/2017	\$15,001 - \$50,000
152	ISHARES S&P MIDCAP 400 G ETF	Purchase	10/11/2017	\$15,001 - \$50,000
153	VANGUARD SM CAP GROWTH ETF	Purchase	10/11/2017	\$15,001 - \$50,000
154	ISHARES S&P MIDCAP 400 INDEX	Purchase	10/11/2017	\$15,001 - \$50,000
155	ISHARES MORNINGSTAR SML CP VALUE	Purchase	10/11/2017	\$15,001 - \$50,000
156	IVY HIGH INCOME I	Purchase	10/11/2017	\$1,001 - \$15,000
157	AQR MNGD FUTURES STRAT I	Purchase	10/11/2017	\$1,001 - \$15,000
158	MUAIX - MS ULTRA SHORT INCOME FUND	Sale	11/8/2017	\$15,001 - \$50,000
159	HIGHLAND LONG SHORT EQUITY Z	Purchase	12/5/2017	\$1,001 - \$15,000
160	INVESCO EQUAL WGHTD S&P 500 Y	Purchase	12/14/2017	\$1,001 - \$15,000
161	INVESCO EQUAL WGHTD S&P 500 Y	Purchase	12/14/2017	\$1,001 - \$15,000
162	CALAMOS MARKET NEUTRAL INC I	Purchase	12/15/2017	\$1,001 - \$15,000
163	HARTFORD GROWTH OPPORT I	Purchase	12/18/2017	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
164	NEUBERGER BERMAN EQ INC INS	Purchase	12/18/2017	\$1,001 - \$15,000
165	HARTFORD GROWTH OPPORT I	Purchase	12/18/2017	\$1,001 - \$15,000
166	HARTFORD GROWTH OPPORT I	Purchase	12/18/2017	\$1,001 - \$15,000
167	NEUBERGER BERMAN EQ INC INS	Purchase	12/18/2017	\$1,001 - \$15,000
168	HARTFORD GROWTH OPPORT I	Purchase	12/18/2017	\$1,001 - \$15,000
169	NEUBERGER BERMAN EQ INC INS	Purchase	12/18/2017	\$1,001 - \$15,000
170	AEPFX - AMERICAN EUROPACIFIC GRW F2	Purchase	12/22/2017	\$1,001 - \$15,000
171	AEPFX - AMERICAN EUROPACIFIC GRW F2	Purchase	12/22/2017	\$1,001 - \$15,000
172	AEPFX - AMERICAN EUROPACIFIC GRW F2	Purchase	12/22/2017	\$1,001 - \$15,000
173	AEPFX - AMERICAN EUROPACIFIC GRW F2	Purchase	12/22/2017	\$1,001 - \$15,000
174	FRANKLIN K2 ALTRNTV STRTGS ADV	Purchase	12/29/2017	\$1,001 - \$15,000
175	AEPFX - AMERICAN EUROPACIFIC GRW F2	Purchase	1/5/2017	\$1,001 - \$15,000
176	AEPFX - AMERICAN EUROPACIFIC GRW F2	Purchase	10/18/2017	\$100,001 - \$250,000
177	AEPFX - AMERICAN EUROPACIFIC GRW F2	Purchase	10/19/2017	\$1,001 - \$15,000
178	BLACKROCK STRATEGIC INC OPP I	Sale	10/19/2017	\$1,001 - \$15,000
179	DELAWARE CORPORATE BOND INST	Sale	10/19/2017	\$15,001 - \$50,000
180	DELAWARE CORPORATE BOND INST	Sale	1/05/2017	\$1,001 - \$15,000
181	EATON VANCE TAX MGD DIV EQU FD	Sale	10/18/2017	\$1,001 - \$15,000
182	GUGGENHEIM S&P 500 EQU WEIGHT	Sale	10/18/2017	\$15,001 - \$50,000
183	ISHARES S&P US PFD STK IDX FD	Sale	10/18/2017	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
184	ISHARES SP SMALLCAP 600 INDEX	Sale	10/18/2017	\$15,001 - \$50,000
185	POWERSHARES QQQ TR	Sale	10/18/2017	\$1,001 - \$15,000
186	PRUDENTIAL SH DUR HI YLD INC Z	Sale	10/19/2017	\$1,001 - \$15,000
187	VANGUARD REIT ETF	Sale	1/05/2017	\$1,001 - \$15,000
188	VANGUARD REIT ETF	Sale	10/18/2017	\$1,001 - \$15,000
189	Fidelity Diversified Intl K Mid-Cap	Sale	9/26/2017	\$100,001 - \$250,000
190	Fidelity Low Priced Stk K Large Cap	Sale	9/26/2017	\$50,001 - \$100,000
191	Fidelity Contrafund	Sale	9/26/17	\$100,001 - \$250,000
192	Vanguard Inst Index Plus	Sale	9/26/2017	\$100,001 - \$250,000
193	Wellington Core Bond	Sale	9/26/2017	\$1,001 - \$15,000
194	Wisdom Tree MidCap Dividend	Sale	10/18/17	\$1,001 - \$15,000

8. Liabilities

#	CREDITOR NAME		TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Morgan Stanley Home Loans	See Endnote	Mortgage on Personal Residence	\$500,001 - \$1,000,000	2015	3.17%	15 years
2	Morgan Stanley Home Loans	See Endnote	Mortgage on Personal Residence	\$500,001 - \$1,000,000	2015	3.33%	15 years

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
1.	2	Executive Committee beginning 11/2014 then Vice-Chair beginning 11/2015.
2.	2.1	No vested RSUs. RSUs are settled to employee's Textron brokerage account upon vesting via shares of regular Textron stock.
2.	2.4	No vested PSUs. PSUs are settled via cash payment upon vesting.
2.	2.5	All Options and RSUs are settled to this account upon exercise/vesting via shares of regular Textron stock.
2.	3.1	Filer rolled out of plan in September 2017
2.	3.2	Book account - no underlying investments.
6.	12	Gifted on 12/13/2017
6.	13	Gifted on 12/13/2017
6.	24	Shares gifted
6.	28	Shares gifted
6.	33	Shares gifted
6.	36	Shares gifted
8.	1	Paid in full
8.	2	Paid in full

Summary of Contents

1. Filer's Positions Held Outside United States Government

Part 1 discloses positions that the filer held at any time during the reporting period (excluding positions with the United States Government). Positions are reportable even if the filer did not receive compensation.

This section does not include the following: (1) positions with religious, social, fraternal, or political organizations; (2) positions solely of an honorary nature; (3) positions held as part of the filer's official duties with the United States Government; (4) mere membership in an organization; and (5) passive investment interests as a limited partner or non-managing member of a limited liability company.

2. Filer's Employment Assets & Income and Retirement Accounts

Part 2 discloses the following:

- Sources of earned and other non-investment income of the filer totaling more than \$200 during the reporting period (e.g., salary, fees, partnership share, honoraria, scholarships, and prizes)
- Assets related to the filer's business, employment, or other income-generating activities that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in income during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

3. Filer's Employment Agreements and Arrangements

Part 3 discloses agreements or arrangements that the filer had during the reporting period with an employer or former employer (except the United States Government), such as the following:

- Future employment
- Leave of absence
- Continuing payments from an employer, including severance and payments not yet received for previous work (excluding ordinary salary from a current employer)
- Continuing participation in an employee welfare, retirement, or other benefit plan, such as pensions or a deferred compensation plan
- Retention or disposition of employer-awarded equity, sharing in profits or carried interests (e.g., vested and unvested stock options, restricted stock, future share of a company's profits, etc.)

4. Filer's Sources of Compensation Exceeding \$5,000 in a Year

Part 4 discloses sources (except the United States Government) that paid more than \$5,000 in a calendar year for the filer's services during any year of the reporting period.

The filer discloses payments both from employers and from any clients to whom the filer personally provided services. The filer discloses a source even if the source made its payment to the filer's employer and not to the filer. The filer does not disclose a client's payment to the filer's employer if the filer did not provide the services for which the client is paying.

5. Spouse's Employment Assets & Income and Retirement Accounts

Part 5 discloses the following:

- Sources of earned income (excluding honoraria) for the filer's spouse totaling more than \$1,000 during the reporting period (e.g., salary, consulting fees, and partnership share)
- Sources of honoraria for the filer's spouse greater than \$200 during the reporting period
- Assets related to the filer's spouse's employment, business activities, other income-generating activities that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in income during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's spouse's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF). Amounts of income are not required for a spouse's earned income (excluding honoraria).

6. Other Assets and Income

Part 6 discloses each asset, not already reported, that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in investment income during the reporting period. For purposes of the value and income thresholds, the filer aggregates the filer's interests with those of the filer's spouse and dependent children.

This section does not include the following types of assets: (1) a personal residence (unless it was rented out during the reporting period); (2) income or retirement benefits associated with United States Government employment (e.g., Thrift Savings Plan); and (3) cash accounts (e.g., checking, savings, money market accounts) at a single financial institution with a value of \$5,000 or less (unless more than \$200 of income was produced). Additional exceptions apply. Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

7. Transactions

Part 7 discloses purchases, sales, or exchanges of real property or securities in excess of \$1,000 made on behalf of the filer, the filer's spouse or dependent child during reporting period.

This section does not include transactions that concern the following: (1) a personal residence, unless rented out; (2) cash accounts (e.g., checking, savings, CDs, money market accounts) and money market mutual funds; (3) Treasury bills, bonds, and notes; and (4) holdings within a federal Thrift Savings Plan account. Additional exceptions apply.

8. Liabilities

Part 8 discloses liabilities over \$10,000 that the filer, the filer's spouse or dependent child owed at any time during the reporting period.

This section does not include the following types of liabilities: (1) mortgages on a personal residence, unless rented out (limitations apply for PAS filers); (2) loans secured by a personal motor vehicle, household furniture, or appliances, unless the loan exceeds the item's purchase price; and (3) revolving charge accounts, such as credit card balances, if the outstanding liability did not exceed \$10,000 at the end of the reporting period. Additional exceptions apply.

9. Gifts and Travel Reimbursements

This section discloses:

- Gifts totaling more than \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.

For purposes of this section, the filer need not aggregate any gift or travel reimbursement with a value of \$156 or less. Regardless of the value, this section does not include the following items: (1) anything received from relatives; (2) anything received from the United States Government or from the District of Columbia, state, or local governments; (3) bequests and other forms of inheritance; (4) gifts and travel reimbursements given to the filer's agency in connection with the filer's official travel; (5) gifts of hospitality (food, lodging, entertainment) at the donor's residence or personal premises; and (6) anything received by the filer's spouse or dependent children totally independent of their relationship to the filer. Additional exceptions apply.

Privacy Act Statement

Title I of the Ethics in Government Act of 1978, as amended (the Act), 5 U.S.C. app. § 101 et seq., as amended by the Stop Trading on Congressional Knowledge Act of 2012 (Pub. L. 112-105) (STOCK Act), and 5 C.F.R. Part 2634 of the U. S. Office of Government Ethics regulations require the reporting of this information. The primary use of the information on this report is for review by Government officials to determine compliance with applicable Federal laws and regulations. This report may also be disclosed upon request to any requesting person in accordance with sections 105 and 402(b)(1) of the Act or as otherwise authorized by law. You may inspect applications for public access of your own form upon request. Additional disclosures of the information on this report may be made: (1) to any requesting person, subject to the limitation contained in section 208(d)(1) of title 18, any determination granting an exemption pursuant to sections 208(b)(1) and 208(b)(3) of title 18; (2) to a Federal, State, or local law enforcement agency if the disclosing agency becomes aware of violations or potential violations of law or regulation; (3) to another Federal agency, court or party in a court or Federal administrative proceeding when the Government is a party or in order to comply with a judge-issued subpoena; (4) to a source when necessary to obtain information relevant to a conflict of interest investigation or determination; (5) to the National Archives and Records Administration or the General Services Administration in records management inspections; (6) to the Office of Management and Budget during legislative coordination on private relief legislation; (7) to the Department of Justice or in certain legal proceedings when the disclosing agency, an employee of the disclosing agency, or the United States is a party to litigation or has an interest in the litigation and the use of such records is deemed relevant and necessary to the litigation; (8) to reviewing officials in a new office, department or agency when an employee transfers or is detailed from one covered position to another; (9) to a Member of Congress or a congressional office in response to an inquiry made on behalf of an individual who is the subject of the record; (10) to contractors and other non-Government employees working on a contract, service or assignment for the Federal Government when necessary to accomplish a function related to an OGE Government-wide system of records; and (11) on the OGE Website and to any person, department or agency, any written ethics agreement filed with OGE by an individual nominated by the President to a position requiring Senate confirmation. See also the OGE/GOVT-1 executive branch-wide Privacy Act system of records.

Public Burden Information

This collection of information is estimated to take an average of three hours per response, including time for reviewing the instructions, gathering the data needed, and completing the form. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Program Counsel, U.S. Office of Government Ethics (OGE), Suite 500, 1201 New York Avenue, NW., Washington, DC 20005-3917.

Pursuant to the Paperwork Reduction Act, as amended, an agency may not conduct or sponsor, and no person is required to respond to, a collection of information unless it displays a currently valid OMB control number (that number, 3209-0001, is displayed here and at the top of the first page of this OGE Form 278e).
