

Executive Branch Personnel Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

ZAIS, MITCHELL MCGEEVER

Deputy Secretary, Department of Education

Report Year: 2019

Other Federal Government Positions Held During the Preceding 12 Months:

Senior Advisor to the Secretary (4/2018 - 5/2018)

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/ ZAIS, MITCHELL MCGEEVER [electronically signed on 05/10/2019 by ZAIS, MITCHELL MCGEEVER 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/ Goodridge-Keiller, Marcella, Certifying Official [workflow re-designation - 05/29/2019 electronically signed on 08/12/2019 by Goodridge-Keiller, Marcella in Integrity.gov]

Other review conducted by

/s/ Spencer, Kristina, Ethics Official [workflow re-designation - 05/29/2019 electronically signed on 08/06/2019 by Spencer, Kristina in Integrity.gov]

Data Revised 08/06/2019

Data Revised 07/30/2019

Data Revised 07/19/2019

Data Revised 06/17/2019

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	American Philatelic Society	Bellefonte, Pennsylvania	Non-Profit	Director	8/2013	5/2018
2	Celebrate Freedom Foundation	Columbia, South Carolina	Non-Profit	Director	2/2016	2/2018
3	Collegiate Counsel, Inc.	Atlanta, Georgia	Corporation	Senior Consultant	2/2017	12/2017
4	Riverside Military Academy	Gainesville, Georgia	Private Boarding Secondary School	Director	6/2017	5/2018
5	Gertz and Moore, LLP	Columbia, South Carolina	Law Firm	Expert Witness	1/2016	8/2016
6	Southern Regional Education Board	Atlanta, Georgia	Non-Profit	Board Member	6/2004	3/2017

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	USAA Traditional IRA:	No	\$500,001 - \$1,000,000		None (or less than \$201)
1.1	USAA Money Market Fund (USAXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.2	AbbVie Inc. (ABBV)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3	Apple Inc. (AAPL)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.4	Bank of America Corp. (BAC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.5	Cisco Systems, Inc. (CSCO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.6	CME Group, Inc. (CME)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.7	Eaton Corp. PLC (ETN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.8	Home Depot, Inc. (HD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.9	Johnson & Johnson (JNJ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.10	JP Morgan Chase & Co. (JPM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.11	Magna International, Inc. (MGA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.12	McDonald's Corp. (MCD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.13	Medtronic PLC (MDT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.14	Merck & Co., Inc. (MRK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.15	Microsoft Corp. (MSFT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.16	Occidental Petroleum Corp. (OXY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.17	PepsiCo, Inc. (PEP)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.18	Pfizer, Inc. (PFE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.19	Procter & Gamble Company (PG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.20	Texas Instruments, Inc. (TXN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.21	Unilever NV (ADR) (UN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.22	United Technologies Corp. (UTX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.23	UnitedHealth Group, Inc. (UNH)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.24	US Bancorp (USB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.25	Walmart, Inc. (WMT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.26	American Beacon AHL Managed Futures Strategy Fund Institutional Class (AHLIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.27	American Beacon International Equity Fund Class Y (ABEYX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.28	AQR Small Cap Multi-Style Fund Class R6 (QSERX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.29	AQR Style Premia Alternative Fund Class R6 (QSPRX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
1.30	Harding Loevner International Equity Portfolio Institutional Class (HLMIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.31	Hartford Schrodgers Emerging Markets Equity Fund Class I (SEMNX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.32	USAA Emerging Markets Fund Institutional Shares (UIEMX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.33	Victory Sycamore Established Value Fund Class I (VEVIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.34	TCW Emerging Markets Income Fund Class Institutional (TGEIX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.35	USAA High Income Fund Institutional Shares (UIHIX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
1.36	USAA Income Fund Institutional Shares (UIINX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
1.37	USAA Intermediate-Term Bond Fund Institutional Shares (UIITX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
1.38	USAA Short-Term Bond Fund Institutional Shares (UISBX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.39	iShares Core MSCI EAFE ETF (IEFA)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.40	Vanguard Real Estate ETF (VNQ)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.41	NextEra Energy, Inc. (NEE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.42	Chubb Ltd NPV (CB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.43	CMS Energy Corp (CMS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.44	Comcast Corp New CLA (CMCSA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.45	Conoco Phillips COM (COP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.46	Goldman Sachs Intut SM Cap	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.47	Republic Services INC (RSG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.48	Sempra Energy (SRE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.49	iShares Core S&P Small Cap E (IJR)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.50	iShares Core S&P 500 ETF (IVV)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.51	SPDR Portfolio ST Corporate Bond (SPSB)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2	USAA Roth IRA:	No	\$50,001 - \$100,000		None (or less than \$201)
2.1	USAA Money Market Fund (USAXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.2	American Beacon AHL Managed Futures Strategy Fund Institutional Class (AHLIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2.3	American Beacon International Equity Fund Class Y (ABEYX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.4	AQR Small Cap Multi-Style Fund Class R6 (QSERX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.5	AQR Style Premia Alternative Fund Class R6 (QSPRX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.6	Harding Loevner International Equity Portfolio Institutional Class (HLMIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.7	Lazard Emerging Markets Equity Blend Portfolio Institutional Shares (EMBIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.8	USAA Managed Allocation Fund Retail (UMAFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.9	Victory Sycamore Established Value Fund Class I (VEVIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.10	Baird Core Plus Bond Fund Class Institutional (BCOIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.11	USAA High Income Institutional (UIHIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.12	USAA Income Instl (UIINX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
2.13	USAA Short-Term Bond Instl (UISBX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.14	Voya Intermediate Bond Fund Class W (IIBWX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.15	Vanguard Growth & Income Fund Admiral Shares (VGIAX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2.16	Goldman Sachs Intut SM Cap R6	Yes	\$1,001 - \$15,000		None (or less than \$201)
3	Fidelity Traditional IRA #1:	No	\$50,001 - \$100,000		None (or less than \$201)
3.1	JPMorgan Equity Income A (OIEIX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
4	Fidelity Traditional IRA #2:	No	\$50,001 - \$100,000		None (or less than \$201)
4.1	Fidelity Government Cash Reserves (FDRXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.2	Regal Total Return Fund Class A (RTRTX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.3	WCM Focused International Growth Fund Investor Class (WCMRX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.4	North Star Dividend Fund Class I (NSDVX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.5	DoubleLine Total Return Bond Fund Class I (DBLTX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
4.6	Lord Abbett Short Duration Income Fund Class A (LALDX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
4.7	Pzena Emerging Markets Value Investor (PZVEX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5	Fidelity Traditional IRA #3:	No	\$50,001 - \$100,000		None (or less than \$201)
5.1	Fidelity Government Cash Reserves (FDRXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.2	iShares Core S&P Small-Cap ETF (IJR)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.3	iShares Core High Dividend ETF (HDV)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
5.4	ishares Inc Core MSCI Emerging MKTS (IEMG)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.5	ishares core US Aggregate Bond ETF (AGG)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.6	ishares TR 20 Yr Bd ETF (TLT)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.7	ishares Intl Aggregate Bond (IAGG)	Yes	\$1,001 - \$15,000		None (or less than \$201)

3. Filer's Employment Agreements and Arrangements

None

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	Coldwell Banker Realty (Residential Realtor)	N/A		Commissions on sales	
2	USAA Traditional IRA:	No	\$50,001 - \$100,000		None (or less than \$201)
2.1	USAA Money Market Fund (USAXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.2	American Beacon AHL Mgd Futs Strat Instl (AHLIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.3	American Beacon International Eq Y (ABEYX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.4	AQR Small Cap Multi-Style R6 (QSERX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.5	AQR Style Premia Alternative R6 (QSPRX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.6	Harding Loevner International Port (HLIZX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
2.7	Lazard Emerging Markets Equity Blnd Inst (EMBIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.8	Lazard International Strategic Eq Instl (LISIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.9	USAA Managed Allocation (UMAFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.10	Victory Sycamore Established Value R6	Yes	\$1,001 - \$15,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.11	Baird Core Plus Bond Inst (BCOIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.12	TCW Emerging Markets Income I (TGEIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.13	USAA High Income Institutional (UIHIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.14	USAA Income Institutional (UIINX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.15	USAA Short-Term Bond Institutional (UISBX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.16	Voya Intermediate Bond W (IIBWX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.17	Vanguard Growth & Income Fund Admiral Shares (VGIAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.18	Goldman Sachs Intnat SM Cap R6 (GICUX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3	USAA Roth IRA:	No	\$50,001 - \$100,000		None (or less than \$201)
3.1	USAA Money Market Fund (USAXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.2	American Beacon AHL Mgd Futs Strat Instl (AHLIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.3	American Beacon International Eq Y (ABEYX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.4	AQR Small Cap Multi-Style R6 (QSERX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.5	AQR Style Premia Alternative R6 (QSPRX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.6	Harding Loevner International Eq Port CIZ (HLIZX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3.7	Lazard Emerging Markets Equity Blnd Inst (EMBIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.8	USAA Managed Allocation (UMAFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.9	Victory Sycamore Established Value R6 (VEVRX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3.10	Baird Core Plus Bond Inst (BCOIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.11	USAA High Income Institutional (UIHIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.12	USAA Income Institutional (UIINX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3.13	USAA Short-Term Bond Institutional (UISBX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.14	Voya Intermediate Bond W (IIBWX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.15	Vanguard Growth & Income Fund Admiral Shares (VGIAX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.16	Goldman Sachs Intnut SM Cap Insights R6 (GIGUX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.17	TCW Emerging Mkts Income CL 1 (TGEIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Checking Account, U.S. bank	N/A	\$50,001 - \$100,000		None (or less than \$201)
2	AAFMAA Life Insurance, whole life	N/A	\$15,001 - \$50,000		None (or less than \$201)
3	113 acre tree farm, Newberry, SC	N/A	\$250,001 - \$500,000		\$201 - \$1,000
4	USAA Managed Account:	No			
4.1	American Beacon International Eq Y (ABEYX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.2	AQR Small Cap Multi-Style R6 (QSERX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.3	Harding Loevner International Eq Instl (HLMIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.4	Lazard Emerging Markets Equity Blnd Inst (EMBIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.5	USAA Managed Allocation (UMAFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.6	Victory Sycamore Established Value I R6 (VEVRX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.7	Baird Core Plus Bond Inst (BCOIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.8	USAA Income Institutional (UIINX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.9	USAA Short-Term Bond Institutional (UISBX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.10	Voya Intermediate Bond W Class 1 (IICIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.11	Vanguard Growth & Income Fund Admiral Shares (VGIAX)	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.12	USAA Money Market	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.13	American Beacon AHL Mnged F	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.14	Golman Sachs Intrnat SM Cap R6 (GICUX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.15	USAA High Income Fund Instl (UIHIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5	Philatelic Collection	N/A	\$15,001 - \$50,000		None (or less than \$201)
6	Allianz Life Insurance Company of North America, fixed annuity	N/A	\$100,001 - \$250,000		None (or less than \$201)
7	OneAmerica, American United Life Insurance Company, whole life	N/A	\$50,001 - \$100,000		None (or less than \$201)
8	Style Premia Altern FDCI R6 (GICUX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	AQR Style Prima Alt. FD CL R6	Purchase	06/12/2018	\$1,001 - \$15,000
2	AQR Small Cap Multi Style FD CL R6	Purchase	06/12/2018	\$1,001 - \$15,000
3	Amer. Beacon Intel Equity Y CL	Purchase	06/12/2018	\$1,001 - \$15,000
4	Amer. Beacon AHL Mngd Futrs	Purchase	06/12/2018	\$1,001 - \$15,000
5	Baird Core Plus Band	Purchase	06/12/2018	\$1,001 - \$15,000
6	Harding Loevner Intl Equity Port CLZ	Purchase	06/12/2018	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
7	Lazard Intl Strategy Equity Port Intl	Purchase	06/12/2018	\$1,001 - \$15,000
8	USAA Managed Allocation UMAFX	Purchase	06/12/2018	\$1,001 - \$15,000
9	USAA Short-Term Bond USSBX	Purchase	06/12/2018	\$1,001 - \$15,000
10	USAA Income USAIX	Purchase	06/12/2018	\$1,001 - \$15,000
11	Vanguard Growth & Income Admiral	Purchase	06/12/2018	\$1,001 - \$15,000
12	Victory Sycamore Established Value R6	Purchase	06/12/2018	\$1,001 - \$15,000
13	Voya Intermed Bond CL-1	Purchase	06/12/2018	\$1,001 - \$15,000
14	Goldman Sachs Intnat SM Cap Insights R6	Purchase	06/12/2018	\$1,001 - \$15,000
15	AQR Style Premia Altern. FD CL R6	Purchase	09/17/2018	\$1,001 - \$15,000
16	AQR Small Cap Multi Style FD CL R6	Purchase	09/17/2018	\$1,001 - \$15,000
17	American Beacon Intl Equity Y CL	Purchase	09/17/2018	\$1,001 - \$15,000
18	Baird Core Plus Bond	Purchase	09/17/2018	\$1,001 - \$15,000
19	Goldman Sachs Intnat SM Cap Insights R6	Purchase	09/17/2018	\$1,001 - \$15,000
20	Harding Loevner Intl Equity Port CL Z	Purchase	09/17/2018	\$1,001 - \$15,000
21	Lazard Emerging Mkts Equity Blend	Purchase	09/17/2018	\$1,001 - \$15,000
22	USAA Managed Allocation Fund	Purchase	09/17/2018	\$1,001 - \$15,000
23	USAA Income Fund Instl	Purchase	09/17/2018	\$1,001 - \$15,000
24	USAA income fund Instl	Purchase	09/17/2018	\$1,001 - \$15,000
25	Vanguard Growth and Income Admiral	Purchase	09/17/2018	\$1,001 - \$15,000
26	Victory Sycamore Established Val R6	Purchase	09/17/2018	\$1,001 - \$15,000
27	Voya Intermediate Bond CL1	Purchase	09/17/2018	\$1,001 - \$15,000
28	Vanguard Growth & Income Admiral	Sale	01/29/2018	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
29	Vanguard Growth & Income Admiral	Sale	02/23/2018	\$1,001 - \$15,000
30	Vanguard Growth & Income Admiral	Sale	03/23/2018	\$1,001 - \$15,000
31	Vanguard Growth & Income Admiral	Sale	04/25/2018	\$1,001 - \$15,000
32	Vanguard Growth & Income Admiral	Sale	05/29/2018	\$1,001 - \$15,000
33	Lazard Intl Strategy Equity Port	Sale	06/20/2018	\$1,001 - \$15,000
34	Vanguard Growth & Income Admiral	Sale	06/25/2018	\$1,001 - \$15,000
35	Vanguard Growth & Income Admiral	Sale	07/26/2018	\$1,001 - \$15,000
36	Vanguard Growth & Income Admiral	Sale	08/27/2018	\$1,001 - \$15,000
37	Vanguard Growth & Income Admiral	Sale	10/26/2018	\$1,001 - \$15,000
38	Vanguard Growth & Income Admiral	Sale	09/25/2018	\$1,001 - \$15,000
39	Vanguard Growth & Income Admiral	Sale	11/26/2018	\$1,001 - \$15,000
40	Vanguard Growth & Income Admiral	Sale	12/24/2018	\$1,001 - \$15,000
41	Raytheon Co (RTN)	Sale	03/27/2018	\$1,001 - \$15,000

8. Liabilities

None

9. Gifts and Travel Reimbursements

None

Endnotes

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 (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in income was received 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 (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in income was received 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, (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in investment income was received 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 in income was received). 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 ten 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).
