

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

Filer's Information

SHERWOOD-RANDALL, ELIZABETH

Deputy Secretary of Energy, Department of Energy

Report Year: 2016

Other Federal Government Positions Held During the Preceding 12 Months:

None

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/ SHERWOOD-RANDALL, ELIZABETH [electronically signed on 07/05/2016 by SHERWOOD-RANDALL, ELIZABETH in Integrity.gov] - Filer received a 30 day filing extension.

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/ Hymer, Christina J, Certifying Official [electronically signed on 07/06/2016 by Hymer, Christina J in Integrity.gov]

Other review conducted by

/s/ Hymer, Christina J, Ethics Official [electronically signed on 07/06/2016 by Hymer, Christina J in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Rounds, Emory, Certifying Official [electronically signed on 07/12/2016 by Rounds, Emory in Integrity.gov]

Data Revised 07/11/2016

Data Revised 07/06/2016

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Sherwood-Randall Recovable Trust	San Francisco, California	Trust	Co-Trustee	12/2006	Present

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

None

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

None

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Spouse Retirement Plan				

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.1	96121BAJ6 - WESTPAC BANKING Bond 2.15% 2016F	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.2	Artesian Resources Corporation (ARTNA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3	Commonwealth Africa FD (CAFRX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.4	Chase Corp (CCF)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.5	IShares MSCI Emerging Markets Index ETF (EEM)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.6	IShares Floating Rate Bond (FLOT)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.7	Western Asset Global Corp Defined Opp Fd (GDO)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.8	IShares Cohen & Steers Rlty MAJ (ICF)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.9	IShares S&P/Citigroup 1-3 YR Intl Treasury (ISHG)	Yes	None (or less than \$1,001)		None (or less than \$201)
1.10	Pimco Enhanced Short MAT STR Fd ETF (MINT)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.11	SPDR Morgan Stanley Technology (MTK)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.12	Everest RE Group Ltd (RE)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.13	Royce Value Trust (RVT)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
1.14	Guggenheim S&P EQ WT Healthcare (RYH)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.15	SPDR Barclays CAP ST Term Corp (SCPB)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.16	Consumer Staples Select SEC SPDR (XLP)	Yes	\$15,001 - \$50,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.17	Consumer Discretionary SPDR (XLY)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.18	Commonwealth Global Fund (CNG LX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.19	Cranbrook Investment Realty Fund	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
1.20	Schwab Government MMMF (SWGXX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.21	Guggenheim S&P 500 Equal Weight ETF (RSP)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
1.22	Schwab US Aggregate Bond ETF (SCHZ)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
1.23	Schwab Fundamental US Large Co Idx (SFLNX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
2	SEP IRA				
2.1	14912HPM6 -Caterpillar Financial Services Corp 1.55% 9/15/16	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.2	171340AG7 - Church & Dwight Inc 3.350% 12/15/15	N/A	None (or less than \$1,001)		None (or less than \$201)
2.3	26054LNG4 - Dow Chemical Co 3.55% 9/15/18	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.4	61745EM81 - Morgan Stanley FLT 2023 LKD to Inflation	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
2.5	Blackstone Group LP (BX)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
2.6	Commonwealth Global (CNG LX)	Yes	None (or less than \$1,001)		\$201 - \$1,000
2.7	IShares MSCI Emerging Markets ETF (EEM)	Yes	None (or less than \$1,001)		None (or less than \$201)
2.8	Eaton Vance Short Duration Diversified I (EVG)	Yes	None (or less than \$1,001)		None (or less than \$201)
2.9	IShares S&P/Citigroup Intl Treasury BD (IGOV)	Yes	None (or less than \$1,001)		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.10	IShares TR 1-3 YR Intl Treasury (ISHG)	Yes	None (or less than \$1,001)		None (or less than \$201)
2.11	Royce Value Trust (RVT)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
2.12	Rydex S&P 500 Equal Weight (RSP)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2.13	Schwab Government MMMF	Yes	\$50,001 - \$100,000		None (or less than \$201)
2.14	iShares MSCI EAFE (EFA)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
2.15	PIMCO Enhanced Short Maturity ETF (MINT)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.16	Schwab Fdmtl US Lg Co Idx (SFLNX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
3	Joint Trust				
3.1	IShares MSCI Emerging Markets ETF (EEM)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
3.2	HSBC Holdings PLC PFD ADJ RT (HBA.PRD)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
3.3	IShares S&P Global Healthcare (IXJ)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3.4	Powershares Insured CALI MUNI BOND (PWZ)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.5	Valmont Industries (VMI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.6	Schwab Government MMMF (SWGXX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
3.7	Schwab Fdmtl US Lg Co Idx (SFLNX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
4	DC UTMA				
4.1	171340AG7 - Church & Dwight Inc 3.35% 12/15/15	N/A	None (or less than \$1,001)		None (or less than \$201)
4.2	Commonwealth Global Fund (CNG LX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.3	Fabrinet (FN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.4	Western Asset Global Corp Defined OPP Fund (GDO)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.5	Consumer Staples Select Sector SPDR (XLP)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.6	Schwab Government MMMF (SWGXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.7	iShares Core US Aggregate Bond (AGG)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.8	Schwab US Mid-Cap ETF (SCHM)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.9	Schwab Fdmtl US Lg Co Idx (SFLNX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
5	DC Indiv				
5.1	Commonwealth Global (CNG LX)	Yes	None (or less than \$1,001)		\$201 - \$1,000
5.2	IShared MSCI EAFE Index ETF (EFA)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.3	Fabrinet (FN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.4	Western Asset Global Corp Defined OPP Fund (GDO)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
5.5	IShared S&P/Citigroup 1-3 YR Intl Treasury (ISHG)	Yes	None (or less than \$1,001)		None (or less than \$201)
5.6	Consumer Staples Select Sector SPDR	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.7	Schwab Government MMMF (SWGXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.8	Schwab International Equity ETF (SCHF)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.9	Schwab US Mid-Cap ETF (SCHM)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.10	Schwab Fdmtl US Lg Co Idx (SFLNX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
6	DC 529 2				
6.1	iShares 2015 College Portfolio	Yes	None (or less than \$1,001)		None (or less than \$201)
6.2	iShares College Portfolio	Yes	\$50,001 - \$100,000		None (or less than \$201)
7	DC 529 1				
7.1	iShares 2018 College Portfolio	Yes	\$100,001 - \$250,000		None (or less than \$201)
8	PBSMG Holdings, LLC, Danville, CA (33.33% interest in LLC; underlying investment in medical office building)	N/A	\$15,001 - \$50,000		None (or less than \$201)
9	Pacific Brain & Spine Medical Group, Danville, CA (33.33% interest in medical practice)	N/A	\$500,001 - \$1,000,000	Spouse Salary & Business Income	
10	Cranbrook Investment Realty Fund	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
11	Holly Mortgage Trust '04 Preferreds	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
12	Ivy Realty Trust	Yes	\$1,001 - \$15,000		None (or less than \$201)
13	International Hotel Associates No. 7 LLC, Los Angeles, CA	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
14	Bank of America Checking/Savings	N/A	\$100,001 - \$250,000		None (or less than \$201)
15	Spouse 401(k)				
15.1	PIMCO Total Return Fund (PTTAX)	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
15.2	JP Morgan Smart Retirement Income Fund	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
15.3	JP Morgan Smart Retirement 2035 Fund	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
15.4	Franklin Small Cap Value Fund	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
15.5	JANUS Intech US Managed Volatility Fund	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
15.6	Oppenheimer Int'l Growth Fund CL Y	Yes	\$15,001 - \$50,000		\$201 - \$1,000
16	Northwestern Mutual Whole Life Insurance	No	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	171340AG7 - Church & Dwight Inc (SEP)	Sale	12/15/2015	\$1,001 - \$15,000
2	171340AG7 - Church & Dwight Inc (DC UTMA)	Sale	12/15/2015	\$1,001 - \$15,000
3	EEM - iShares MSCI Emerging Markets (Joint Trust)	Sale	10/9/2015	\$1,001 - \$15,000
4	EEM - iShares MSCI Emerging Markets (SEP)	Sale	10/09/15	\$1,001 - \$15,000
5	EEM - iShares MSCI Emerging Markets (Spouse Retirement Plan)	Sale	10/09/15	\$1,001 - \$15,000
6	EVG - EV Short Duration Diversified Common (SEP)	Sale	11/13/2015	\$1,001 - \$15,000
7	IGOV - iShares International Treasury Bond (SEP)	Sale	7/27/2015	\$1,001 - \$15,000
8	ISHG - iShares 1-3 Year International Trs Bd (DC Indiv)	Sale	11/13/2015	\$1,001 - \$15,000
9	ISHG - iShares 1-3 Year International Trs Bd (SEP)	Sale	11/13/2015	\$1,001 - \$15,000
10	ISHG - iShares 1-3 Year International Trs Bd (Spouse Retirement Plan)	Sale	11/13/2015	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
11	40428H706 - HSBC USA Inc (Joint Trust) (stock called)	Sale	6/26/2015	\$1,001 - \$15,000
12	PIMCO Total Return A	Purchase	7/31/15	\$1,001 - \$15,000
13	PIMCO Total Return A	Purchase	12/16/15	\$1,001 - \$15,000
14	JPMorgan SmartRetirement Income Select	Purchase	12/15/15	\$1,001 - \$15,000
15	JPMorgan SmartRetirement 2035 Select	Purchase	12/18/15	\$1,001 - \$15,000
16	Janus INTECH US Managed Volatility Fund	Purchase	4/22/15	\$15,001 - \$50,000
17	Franklin Small Cap Value Fund	Purchase	12/15/15	\$1,001 - \$15,000
18	JPMorgan SmartRetirement Income Fund Select	Purchase	3/16/15	\$15,001 - \$50,000

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Sun Trust Mortgage, Inc., Richmond, VA	Mortgage on Personal Residence	\$1,000,001 - \$5,000,000	2013	4.75	30 years

9. Gifts and Travel Reimbursements

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 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 \$375 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$375 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 \$150 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).
