

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

Filer's Information

Burwell, Sylvia

Secretary, Department of Health & Human Services

Date of Termination: 01/20/2017

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/ Burwell, Sylvia [electronically signed on 01/19/2017 by Burwell, Sylvia 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/ Fischmann, Elizabeth, Certifying Official [electronically signed on 03/08/2017 by Fischmann, Elizabeth in Integrity.gov]

Other review conducted by

/s/ Hall, Randall, Ethics Official [electronically signed on 02/22/2017 by Hall, Randall in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Skalla, Daniel L, Certifying Official [electronically signed on 03/09/2017 by Skalla, Daniel L in Integrity.gov]

Data Revised 02/22/2017

Data Revised 02/21/2017

Comments of Reviewing Officials (public annotations):

PART	#	REFERENCE	COMMENT
N/A	N/A	General	(02/22/2017, Hall, Randall): Initial Review of draft report 1/12/2017 - RJH. Initial Review of final report 2/15/2017 - RJH.

1. Filer's Positions Held Outside United States Government

None

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Charles Schwab IRA #1				
1.1	Schwab US Treasury Money Fund (SWUXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.2	iShares JP Morgan USD Emerging Markets Bond ETF (EMB)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.3	Schwab International Equity ETF (SCHF)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.4	iShares Russell Mid Cap Index ETF (IWR)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.5	SPDR S&P 500 ETF (SPY)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
1.6	Vanguard Short-Term Bond Index (Admiral)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.7	JP Morgan Strategic Income Fd (JSOSX)	Yes	None (or less than \$1,001)		\$201 - \$1,000
2	Charles Schwab SEP IRA				
2.1	Schwab US Treasury Money Fund (SWUXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.2	Templeton Global Total Return Fund Advisor Class (TTRZX)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
2.3	iShares JP Morgan USD Emerging Markets Bond ETF (EMB)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2.4	Vanguard Dividend Growth Fund Investor Shares (VDIGX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.5	iShares Core MSCI Emerging Markets ETF (IEMG)	Yes	None (or less than \$1,001)		\$201 - \$1,000
2.6	Schwab International Equity ETF (SCHF)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
2.7	iShares Russell 2000 Index ETF (IWM)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.8	Vanguard Total International Stock ETF (VXUS)	Yes	None (or less than \$1,001)		\$201 - \$1,000
2.9	Vanguard Mid-Cap Index ETF (VO)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
2.10	Vanguard Short-Term Bond Index (Admiral)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
3	BMGF Executive Retirement Plan 457(b)				
3.1	PIMCO Total Return Institutional Fund (PTTRX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.2	TFLIC Guaranteed Pooled Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.3	Vanguard Total Bond Market Index Fund Institutional Shares (VBTIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.4	AllianzGI NFJ International Value Fund Institutional Shares (ANJIX)	Yes	None (or less than \$1,001)		None (or less than \$201)
3.5	Fidelity Contrafund (FCNTX)	Yes	None (or less than \$1,001)		None (or less than \$201)
3.6	MetWest Total Return Fd I (MWTIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.7	Invesco Small Cap Value Fund Class Y (VSMIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.8	Spartan International Index Fund (FSIVX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3.9	Vanguard Institutional Index Fund Institutional Shares (VINIX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3.10	Vanguard Mid-Cap Value Index Fund Admiral Shares (VMVAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.11	American Funds Europacific Growth R6 (RERGX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4	BMGF Employee 403(B) Retirement Plan				
4.1	PIMCO Total Return Institutional Fund (PTTRX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.2	TFLIC Guaranteed Pooled Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.3	Vanguard Total Bond Market Index Fund Institutional Shares (VBTIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.4	AllianzGI NFJ International Value Fund Institutional Shares (ANJIX)	Yes	None (or less than \$1,001)		None (or less than \$201)
4.5	Fidelity Contrafund (FCNTX)	Yes	None (or less than \$1,001)		None (or less than \$201)
4.6	American Funds Europacific Growth R6 (RERGX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.7	Invesco Small Cap Value Fund Class Y (VSMIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.8	MetWest Total Return Fd I (MWTIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.9	Vanguard Institutional Index Fund Institutional Shares (VINIX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
4.10	Vanguard Mid-Cap Value Index Fund Admiral Shares (VMVAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.11	Spartan International Index Fund (FSIVX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
5	BMGF Foundation Sharing Retirement Plan 401(k)				
5.1	PIMCO Total Return Institutional Fund (PTTRX)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
5.2	Stable Value Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.3	Vanguard Total Bond Market Index Fund Institutional Shares (VBTIX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.4	AllianzGI NFJ International Value Fund Institutional Shares (ANJIX)	Yes	None (or less than \$1,001)		None (or less than \$201)
5.5	Fidelity Contrafund (FCNTX)	Yes	None (or less than \$1,001)		\$201 - \$1,000
5.6	Invesco Small Cap Value Fund Class Y (VSMIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
5.7	Vanguard Institutional Index Fund Institutional Shares (VINIX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
5.8	Vanguard Mid-Cap Value Index Fund Admiral Shares (VMVAX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
5.9	American Funds Europacific Growth R6 (REGX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
5.10	MetWest Total Return Fd I (MWTIX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
5.11	Spartan International Index Fund (FSIVX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Bill & Melinda Gates Foundation	Seattle, Washington	I will continue to participate in the Bill & Melinda Gates Foundation (BMGF) 457(b), 403(b), and 401(k) plans. All holdings are reported on Part 2. BMGF has made no further contributions to the Plans since my resignation.	4/2001
2	MetLife, Inc.	New York, New York	Consistent with Company policy, MetLife represents and indemnifies current and former Directors named as parties to litigation taken against them by reason of their service as Directors or former Directors.	1/2004

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	Charles Schwab IRA #2				
1.1	Schwab US Treasury Money Fund (SWUXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.2	Templeton Global Total Return Fund Advisor Class (TTRZX)	Yes	None (or less than \$1,001)		None (or less than \$201)
1.3	Vanguard Short Term Bond Index Fund (VBIRX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.4	iShares Core MSCI Emerging Markets ETF (IEMG)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.5	iShares Russell 2000 Index ETF (IWM)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2	Charles Schwab Roth IRA				
2.1	Schwab International Equity ETF (SCHF)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.2	Schwab US Treasury Money Fund (SWUXX)	Yes	None (or less than \$1,001)		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Schwab Investment Account #1				
1.1	Schwab Government Money Fund (SWGXX)	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.2	Vanguard Intermediate -Term Tax-Exempt Fund Investor Shares (VWITX)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
1.3	AllianzGI NFJ International Value Fund Class A (AFJAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.4	Parametric Tax-Managed Emerging Markets Fund Institutional Class (EITEX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.5	Vanguard Dividend Growth Fund Investor Shares (VDIGX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.6	iShares Short-Term National Muni Bond ETF (SUB)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
1.7	Vanguard Total International Stock ETF (VXUS)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
1.8	Vanguard Intermediate-Term Tax-Exempt Fund Admiral Shares (VWIUX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
2	Schwab Investment Account #2				
2.1	Schwab Government Money Fund (SWGXX)	Yes	\$250,001 - \$500,000		None (or less than \$201)
2.2	Templeton Global Total Return Fund Advisor Class (TTRZX)	Yes	None (or less than \$1,001)		\$201 - \$1,000
2.3	Vanguard Short Term Bond Index Fund (VBIRX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2.4	AllianzGI NFJ International Value Fund Institutional Shares (ANJIX)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
2.5	Parametric Tax-Managed Emerging Markets Fund Institutional Class (EITEX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2.6	Vanguard Dividend Growth Fund Investor Shares (VDIGX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
2.7	iShares Russell Mid Cap Index ETF (IWR)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2.8	SPDR S&P 500 ETF (SPY)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.9	Vanguard Total International Stock ETF (VXUS)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
2.10	iShares MSCI Emerging Markets ETF (IEMG)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2.11	Vanguard High Yield Tax-Exempt Fd (VWAHX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
3	UTMA Account #1				
3.1	American Funds The New Economy Fund Class F1 (ANFFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.2	Schwab Government Money Fund (SWGXX)	Yes	None (or less than \$1,001)		None (or less than \$201)
4	UTMA Account #2				
4.1	American Funds The New Economy Fund Class F1 (ANFFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.2	Schwab Government Money Fund (SWGXX)	Yes	None (or less than \$1,001)		None (or less than \$201)
5	NEST Direct College Savings Plan #1				
5.1	State Street S&P 500 Index Strategy	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.2	T. Rowe Price Large Cap Growth Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.3	Vanguard Equity Income Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.4	Vanguard Extended Market Index Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.5	Tributary Small Company Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.6	iShares Russell 2000 Growth ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.7	State Street MSCI ACWI ex USA Index Strategy	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.8	MetWest Total Return Bond Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.9	Vanguard Short-Term Bond Index Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.10	Vanguard Short-Term Inflation-Protected Securities Index Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.11	DFA World ex-US Gov't Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.12	Bank Savings Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
6	NEST Direct College Savings Plan #2				
6.1	State Street S&P 500 Index Strategy	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.2	T. Rowe Price Large Cap Growth Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.3	Vanguard Equity Income Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.4	Vanguard Extended Market Index Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.5	Tributary Small Company Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.6	iShares Russell 2000 Growth ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.7	State Street MSCI ACWI ex USA Index Strategy	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.8	MetWest Total Return Bond Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.9	Vanguard Short-Term Bond Index Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.10	Vanguard Short-Term Inflation-Protected Securities Index Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.11	Bank Savings Fund	Yes	None (or less than \$1,001)		None (or less than \$201)
6.12	DFA World ex-US Gov't Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
7	DC 529 College Savings Plan #1				
7.1	Calvert Income Fund - DC 529	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.2	Ameritas Principal Plus - DC 529	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.3	State Street Equity Index - DC 529	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.4	Calvert International Opportunities Fund - DC 529	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.5	Calvert Small Cap Fund - DC 529	Yes	\$1,001 - \$15,000		None (or less than \$201)
8	DC 529 College Savings Plan #2				
8.1	Calvert Income Fund - DC 529	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.2	Calvert Equity Fund - DC 529	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.3	Ameritas Principal Plus - DC 529	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.4	State Street Equity Index - DC 529	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.5	Calvert Small Cap Fund - DC 529	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.6	Calvert Balanced Portfolio - DC 529	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.7	Calvert International Opportunities Fund - DC 529	Yes	\$1,001 - \$15,000		None (or less than \$201)
9	Commercial Real Estate, Hinton, WV	N/A	\$100,001 - \$250,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10	Residential Real Estate, Hinton, WV	N/A	\$100,001 - \$250,000		None (or less than \$201)
11	Loan to Mr. Schnurman	N/A	\$1,001 - \$15,000		None (or less than \$201)
12	US Bank Account #1 (Cash Account)	N/A	\$15,001 - \$50,000		None (or less than \$201)
13	US Bank Account #2 (Cash Account)	N/A	\$15,001 - \$50,000		None (or less than \$201)
14	US Bank Account #3 (Cash Account)	N/A	None (or less than \$1,001)		None (or less than \$201)
15	US Bank Account #4 (Cash Account)	N/A	None (or less than \$1,001)		None (or less than \$201)

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	iShares JP Morgan USD Emerging Markets Bond ETF (EMB)	Purchase	08/10/2016	\$15,001 - \$50,000
2	JP Morgan Strategic Income Fund (JSOSX)	Sale	08/10/2016	\$15,001 - \$50,000
3	Merger Fund (MERFX)	Sale	03/01/2016	\$1,001 - \$15,000
4	Schwab International Equity ETF (SCHF)	Purchase	03/01/2016	\$1,001 - \$15,000
5	Vanguard Short-Term Bond Index Admiral (VBIRX)	Purchase	05/02/2016	\$1,001 - \$15,000
6	Vanguard Short-Term Bond Index Admiral (VBIRX)	Purchase	12/21/2016	\$1,001 - \$15,000
7	iShares MSCI Emerging Markets ETF (IEMG)	Sale	10/26/2016	\$15,001 - \$50,000
8	iShares JP Morgan USD Emerging Markets Bond ETF (EMB)	Purchase	08/10/2016	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
9	iShares S&P Global Infrastructure (IGF)	Sale	03/01/2016	\$15,001 - \$50,000
10	Merger Fund (MERFX)	Sale	08/10/2016	\$1,001 - \$15,000
11	Schwab International Equity ETF (SCHF)	Purchase	03/01/2016	\$50,001 - \$100,000
12	Templeton Global Total Return Adv (TTRZX)	Sale	08/10/2016	\$50,001 - \$100,000
13	Vanguard Dividend Growth Fd (VDIGX)	Purchase	10/26/2016	\$15,001 - \$50,000
14	Vanguard Mid-Cap Index ETF (VO)	Purchase	08/10/2016	\$50,001 - \$100,000
15	Vanguard Short-Term Bond Index Admiral (VBIRX)	Purchase	08/10/2016	\$15,001 - \$50,000
16	Vanguard Short-Term Bond Index Admiral (VBIRX)	Purchase	10/26/2016	\$1,001 - \$15,000
17	Vanguard Total International Stock ETF (VXUS)	Sale	08/10/2016	\$50,001 - \$100,000
18	Allianz NFJ International Value (ANJIX)	Sale	05/05/2016	\$50,001 - \$100,000
19	American Funds Europacific Growth R6 (REGX)	Purchase	05/05/2016	\$15,001 - \$50,000
20	Fidelity Contrafund (FCNTX)	Sale	05/05/2016	\$15,001 - \$50,000
21	Harbor Capital Appreciation (HACAX)	Sale	05/05/2016	\$15,001 - \$50,000
22	Invesco Small Cap Value (VSMIX)	Sale	05/05/2016	\$1,001 - \$15,000
23	MetWest Total Return Fd (MWTIX)	Purchase	05/05/2016	\$50,001 - \$100,000
24	PIMCO Total Return Fd (PTTRX)	Sale	05/05/2016	\$100,001 - \$250,000
25	Spartan International Index (FSIVX)	Purchase	05/05/2016	\$100,001 - \$250,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
26	Stable Value Fund	Sale	05/05/2016	\$1,001 - \$15,000
27	T. Rowe Price Mid-Cap Eq Fd (PMEGX)	Sale	05/05/2016	\$100,001 - \$250,000
28	Vanguard Index 500 Fund (VINIX)	Purchase	05/05/2016	\$100,001 - \$250,000
29	Vanguard Total Bond Market Index (VBTIX)	Purchase	05/05/2016	\$1,001 - \$15,000
30	Allianz NFJ International Value (ANJIX)	Sale	05/05/2016	\$1,001 - \$15,000
31	American Funds Europacific Growth R6 (RERGX)	Purchase	05/05/2016	\$1,001 - \$15,000
32	Fidelity Contrafund (FCNTX)	Sale	05/05/2016	\$1,001 - \$15,000
33	Harbor Capital Appreciation Instl (HACAX)	Sale	05/05/2016	\$1,001 - \$15,000
34	MetWest Total Return Fd (MWTIX)	Purchase	05/05/2016	\$1,001 - \$15,000
35	PIMCO Total Return Fd (PTTRX)	Sale	05/05/2016	\$1,001 - \$15,000
36	Spartan International Index (FSIVX)	Purchase	05/05/2016	\$1,001 - \$15,000
37	T. Rowe Price Mid-Cap Eq Fd (PMEGX)	Sale	05/05/2016	\$1,001 - \$15,000
38	Vanguard Index 500 Fund (VINIX)	Purchase	05/05/2016	\$1,001 - \$15,000
39	Allianz NFJ International Value (ANJIX)	Sale	05/05/2016	\$1,001 - \$15,000
40	American Funds Europacific Growth R6 (RERGX)	Purchase	05/05/2016	\$1,001 - \$15,000
41	Fidelity Contrafund (FCNTX)	Sale	05/05/2016	\$1,001 - \$15,000
42	Harbor Capital Appreciation Instl (HACAX)	Sale	05/05/2016	\$1,001 - \$15,000
43	MetWest Total Return Fd (MWTIX)	Purchase	05/05/2016	\$1,001 - \$15,000
44	PIMCO Total Return Fd (PTTRX)	Sale	005/05/2016	\$1,001 - \$15,000
45	Spartan International Index (FSIVX)	Purchase	05/05/2016	\$1,001 - \$15,000
46	T. Rowe Price Mid-Cap Eq Fd (PMEGX)	Sale	05/05/2016	\$1,001 - \$15,000
47	Vanguard Index 500 Fund (VINIX)	Purchase	05/05/2016	\$1,001 - \$15,000
48	Merger Fund (MERFX)	Sale	08/10/2016	\$1,001 - \$15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
49	Templeton Global Total Return Fund (TTRZX)		Sale	08/10/2016	\$1,001 - \$15,000
50	Vanguard Short-Term Bond Index (VBIRX)		Purchase	05/02/2016	\$1,001 - \$15,000
51	Vanguard Short-Term Bond Index (VBIRX)		Purchase	08/10/2016	\$1,001 - \$15,000
52	Vanguard Short-Term Bond Index (VBIRX)		Purchase	12/21/2016	\$1,001 - \$15,000
53	Schwab International Equity ETF (SCHF)		Purchase	05/02/2016	\$1,001 - \$15,000
54	Vanguard Intermediate-Term Tax Exempt (VWITX)	See Endnote	Exchange	05/12/2016	\$100,001 - \$250,000
55	Vanguard Intermediate-Term Tax-Exempt Admiral (VWIUX)	See Endnote	Exchange	05/12/2016	\$100,001 - \$250,000
56	iShares Core MSCI Emerging Markets (IEMG)		Purchase	03/01/2016	\$50,001 - \$100,000
57	iShares Core MSCI Emerging Markets (IEMG)		Sale	05/02/2016	\$15,001 - \$50,000
58	iShares S&P Global Infrastructure ETF (IGF)		Sale	03/01/2016	\$15,001 - \$50,000
59	Merger Fund (MERFX)		Sale	08/10/2016	\$100,001 - \$250,000
60	Templeton Global Total Return Fd (TTRZX)		Sale	03/01/2016	\$15,001 - \$50,000
61	Vanguard FTSE Emerging Markets ETF (VWO)		Sale	03/01/2016	\$100,001 - \$250,000
62	Vanguard High Yield Tax-Exempt (VWAHX)		Purchase	08/10/2016	\$50,001 - \$100,000
63	Vanguard Total International Stock ETF (VXUS)		Purchase	03/01/2016	\$15,001 - \$50,000
64	Vanguard Total International Stock ETF (VXUS)		Sale	10/26/2016	\$15,001 - \$50,000
65	DFA World ex-US Government (NEST 529)		Purchase	04/29/2016	\$1,001 - \$15,000
66	SPDR Barclays Capital International Treasury (NEST 529)		Sale	04/29/2016	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
67	Vanguard Inflation-Protected Securities (NEST 529)	Sale	04/29/2016	\$1,001 - \$15,000
68	Vanguard Short-Term Inflation-Protected Secs (NEST 529)	Purchase	04/29/2016	\$1,001 - \$15,000
69	DFA World ex-US Government (NEST 529)	Purchase	04/29/2016	\$1,001 - \$15,000
70	SPDR Barclays Capital International Treasury (NEST 529)	Sale	04/29/2016	\$1,001 - \$15,000
71	Vanguard Inflation-Protected Securities (NEST 529)	Sale	04/29/2016	\$1,001 - \$15,000
72	Vanguard Short-Term Inflation-Protected Secs (NEST 529)	Purchase	04/29/2016	\$1,001 - \$15,000

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Aspire Resources Inc., West Des Moines, IA	Student Loan	\$15,001 - \$50,000	2004	2.625%	25 Years
2	Chase, Washington, D.C.	Mortgage on Personal Residence	\$250,001 - \$500,000	2013	2%	30 Years (5 year ARM)

9. Gifts and Travel Reimbursements

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION	VALUE
1	Ford's Theatre Society	Washington, District of Columbia	Five tickets (\$85/ticket) to a production of "A Christmas Carol" at Ford's Theatre on Saturday, December 3, 2016.	\$425

Endnotes

PART	#	ENDNOTE
7.	54	Class exchange into VWIUX
7.	55	Class exchange out of VWITX

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

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