

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

Filer's Information

Shanahan, Patrick Michael

Deputy Secretary of Defense, Department of Defense

Report Year: 2019

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/ Shanahan, Patrick Michael [electronically signed on 05/23/2019 by Shanahan, Patrick Michael in Integrity.gov] - Filer received a 17 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/ Thompson, Scott F, Certifying Official [electronically signed on 05/24/2019 by Thompson, Scott F in Integrity.gov]

Other review conducted by

/s/ Thompson, Scott F, Ethics Official [electronically signed on 05/24/2019 by Thompson, Scott F in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Granahan, Megan, Certifying Official [electronically signed on 06/04/2019 by Granahan, Megan in Integrity.gov]

Data Revised 05/30/2019

Data Revised 05/24/2019

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	The Boeing Company Retirement Benefits	N/A			
1.1	The Boeing Company - Life Insurance Benefits	No	\$1,001 - \$15,000	Paid Life Insurance	\$3,652
1.2	The Boeing Company - Defined Benefit Supplemental Executive Retirement Plan (SERP)	N/A	\$5,000,001 - \$25,000,000	Retirement Payments (Annual)	\$438,778
1.3	The Boeing Company - Tax Preperation Benefit	N/A	None (or less than \$1,001)	Tax Prep Fees (paid in '18 for '17)	\$4,116
2	IRA #1 (Traditional)	No			
2.1	Delaware Small Cap Core (DCCIX)	Yes	\$100,001 - \$250,000		\$201 - \$1,000
2.2	Eaton Vance Atlanta Capital SMID-Cap Fd (EISMX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
2.3	Loomis Sayles Growth Fund (LSGRX)	Yes	\$250,001 - \$500,000		\$1,001 - \$2,500
2.4	Principal MidCap Fund (PCBIX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
2.5	Vanguard Total Stock Market ETF (VTI)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.6	Diamond Hill Large Cap (DHLRX)	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
3	IRA #2 (Roth)	No			
3.1	Delaware Small Cap Core (DCCIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.2	Eaton Vance Atlanta Capital SMID-Cap Fd (EISMX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.3	Loomis Sayles Growth Fund (LSGRX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.4	Principal MidCap Fund (PCBIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.5	Vanguard Total Stock Market ETF (VTI)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.6	Diamond Hill Large Cap (DHLRX)	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	The Boeing Company (Pension)	Chicago, Illinois	I will continue to participate in the Defined Benefit Supplemental Executive Retirement Plan.	3/1986

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	US Credit Union Checking Account (cash)	N/A	\$50,001 - \$100,000	Interest	\$201 - \$1,000
2	US Money Market Accounts	N/A			
2.1	US Brokerage Money Market Account (cash) #1 (6512)	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
2.2	U.S. Brokerage Money Market Account (cash) #2 (0934)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.3	US Brokerage Money Market Account (cash) #3 (7165)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.4	US Brokerage Money Market Account (cash) #4 (5548)	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
2.5	US Brokerage Money Market Account (cash)#5 (6595)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3	Individual Acct 1 of 3 (iShares/6793 & 6595))				
3.1	I Shares Core Aggressive Alloc (AOA)	Yes	\$5,000,001 - \$25,000,000		\$100,001 - \$1,000,000
3.2	I Shares Core Aggressive Alloc (AOA)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
4	Individual Acct 2 of 3 (Mutual Funds/7165)				
4.1	Roche Holdings (RHHVF)	See Endnote	N/A	None (or less than \$1,001)	Capital Gains \$100,001 - \$1,000,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.2	DELAWARE SMALL CAP CORE (DCCIX)		Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
4.3	EATON VANCE ATLANTA CAP SMID CAP (EISMX)		Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
4.4	EUROPACIFIC GROWTH CL F2(AEPFX)		Yes	None (or less than \$1,001)		\$2,501 - \$5,000
4.5	FEDERATED STRATEGIC VALUE DIVIDEND INSTL CL(SVAIX)		Yes	None (or less than \$1,001)		\$1,001 - \$2,500
4.6	LOOMIS SAYLES GROWTH CL Y(LSGRX)		Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
4.7	PRINCIPAL MID CAP INSTL CL(PCBIX)		Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
4.8	VANGUARD TOTAL INTL STOCK INDEX FUND (VXUS)		Yes	None (or less than \$1,001)		\$1,001 - \$2,500
4.9	VANGUARD TOTAL STOCK MARKET (VTI)		Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
4.10	Diamond Hill Large Cap (DHLRX)	See Endnote	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
5	Individual Acct 3 of 3 (Bonds / 5548)					
5.1	Oklahoma State, Bond		N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
5.2	Arizona State, Bonds					
5.2.1	AZ TRANSN BRD SER A		N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
5.2.2	AZ BRD REGTS ST UNIV		N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
5.3	California State Bonds					

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.3.1	CA RFDG VARIOUS PURP 2029	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
5.3.2	CA VARIOUS PURP DUE 2027	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
5.4	Chicago, Ill, Bonds				
5.4.1	CHICAGO IL O HARE ARPT 2025	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
5.4.2	CHICAGO IL OHARE ARPT 2034	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
5.5	Colorado State, Bond	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
5.6	Denver, CO, Bond	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
5.7	District of Columbia, Bond	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
5.8	Florida State, Bond	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
5.9	Illinois State, Bonds				
5.9.1	ILLINOIS FIN AUTH CLEAN WTR 2033	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
5.9.2	ILLINOIS FIN AUTH UNIV CHICAGO 2026	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
5.9.3	ILLINOIS ST TOLL HWY 2028	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
5.10	Indiana State, Bonds				
5.10.1	INDIANA FIN AUTH HOSP RFDG PARKVIEW HLTH 2027	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.10.2	INDIANA FIN AUTH HWY REV RFDG 2024	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
5.10.3	INDIANA GREEN BDS 2024	N/A	None (or less than \$1,001)	Interest	\$1,001 - \$2,500
5.11	Massachusetts State, Bonds				
5.11.1	MASS CLEAN WTR 5% DUE 02/01/34	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
5.11.2	MASS FEDL HWY REV GRANT 2027	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
5.11.3	MASS BAY TRANSN 2026	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
5.12	New York MTA, Bonds				
5.12.1	METROPOLITAN TRAN TAX 2025	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
5.12.2	METROPOLITAN TRANSN AUTH 2027	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
5.13	Michigan State, Bond	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
5.14	Nebraska State, Bond	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
5.15	NEW YORK STATE, BONDS	N/A	\$50,001 - \$100,000	Interest Capital Gains	\$5,001 - \$15,000
5.15.1	NEW YORK ST TWY AUTH 2030	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
5.15.2	NEW YORK ST DORM SALES TAX REV 2024	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
5.15.3	NEW YORK DORM SALES TAX REV 2026	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.16	OREGON STATE, BONDS				
5.16.1	OREGON ST RFDG ARTICLE XI 2027	N/A	\$50,001 - \$100,000	Interest	\$201 - \$1,000
5.16.2	OREGON DPT ADMIN SVCS LOTTERY	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
5.17	Virginia State, Bonds	N/A	\$100,001 - \$250,000	Interest Capital Gains	\$5,001 - \$15,000
5.17.1	FAIRFAX CNTY VA SWR 2026	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
5.17.2	FAIRFAX CNTY VA SWR 2029	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
5.17.3	HENRICO COUNTY, VA BOND	N/A	None (or less than \$1,001)	Interest	\$5,001 - \$15,000
5.17.4	VIRGINIA CLLG BLDG V EDL FACS REV 21ST CENTY CLLG & EQUIP 2028	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
5.17.5	VIRGINIA RES AUTH INFRA REV 11/01/22	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
5.17.6	VIRGINIA RES AUTH CLEAN WTR 2023	N/A	None (or less than \$1,001)	Interest	\$2,501 - \$5,000
5.17.7	VIRGINIA RES AUTH INFRA 2024	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
5.17.8	VIRGINIA ST PUB BLDG AUTH 2024 #1	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
5.17.9	VIRGINIA ST PUB BLDG AUTH 2024 #2	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
5.17.10	VIRGINIA ST PUB BLDG AUTH 2026	N/A	\$50,001 - \$100,000	Interest Dividends	\$2,501 - \$5,000
5.17.11	VIRGINIA ST RES AUTH INFRA REV #1 2024	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.17.1 2	VIRGINIA ST RES AUTH CLEAN WTR REV RFDG REVLVG 2024	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
5.17.1 3	VIRGINIA ST RES AUTH INFRA REV 2026	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
5.17.1 4	VIRGINIA ST RES AUTH INFRA REV A 2027	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
5.17.1 5	VIRGINIA COMMLTH TRANS FEDL 2025	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
5.18	Wisconsin State, Bond	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
5.19	CAPE FEAR PUB UTIL A NC WTR & SWR SYS	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
5.20	GEORGIA ST RFDG BOND 2024	N/A	None (or less than \$1,001)	Interest	\$5,001 - \$15,000
5.21	MARYLAND ST ST & LOC FACS BOND 2029	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
5.22	MINNESOTA STATE BOND	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
5.23	NEW JERSEY ST TPK AUTH BOND 2025	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
5.24	OHIO STATE, BONDS				
5.24.1	OHIO ST HOSP BOND 2033	N/A	None (or less than \$1,001)	Interest	\$2,501 - \$5,000
5.24.2	OHIO ST CAP FAC LSE APPROP ADMIN BLDG BOND 2024	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
5.24.3	OHIO ST COMM SCHS SER A 2026	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
5.24.4	OHIO ST HIGHER ED 2028	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.25	SAN ANTONIO TX ELEC GAS BOND	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
6	MISSOURI ST HLTH & EDL 2029	N/A	\$100,001 - \$250,000		None (or less than \$201)
7	Texas State Bonds				
7.1	AUSTIN TX WTR & WSTW SYS BOND	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
7.2	COMAL TX SCH DIST BOND	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
7.3	NORTH TX TWY AUTH 2030	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
7.4	UNIVERSITY TX BOND 2025	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
7.5	NORTH TX TWY AUTH 5% DUE 01/01/24	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
7.6	TARRANT CNTY TX CULTURAL ED 2028	N/A	\$100,001 - \$250,000	Interest	\$1,001 - \$2,500
8	Washington State Bonds				
8.1	CENTRAL PUGET SOUND WA BOND 2023	N/A	None (or less than \$1,001)	Interest	\$2,501 - \$5,000
8.2	WASHINGTON STATE BOND VAQARIUS PURP 2029	N/A	\$100,001 - \$250,000		None (or less than \$201)
8.3	Energy NW WA (Bond) - Indiv Acct #3 of 3	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000

7. Transactions

#	DESCRIPTION		TYPE	DATE	AMOUNT
1	Roche (RHHBF) - Indiv Acct #2 of 3	See Endnote	Sale	08/21/2018	\$100,001 - \$250,000
2	Diamond Hill Large Cap CL I (DHLRX) - Roth #1		Purchase	5/17/2018	\$250,001 - \$500,000
3	Federated Strategic Value Divident Instl CL (SVAIX) - Roth #1		Sale	05/17/2018	\$250,001 - \$500,000
4	Delaware Small Cap Core (DCCIX) - Roth #1		Purchase	08/20/2018	\$100,001 - \$250,000
5	Europacific Growth CL F2 (AEPFX) - Roth #1		Sale	08/20/2018	\$100,001 - \$250,000
6	Oakmark Intl Instl CL (OANIX) - Roth #1		Sale	08/20/2018	\$100,001 - \$250,000
7	Vanguard Total Intl Stock Index Fund (VXUS) - Roth #1		Sale	08/21/2018	\$100,001 - \$250,000
8	Vanguard Total Stock Market ETF (VTI) - Roth #1		Purchase	08/21/2018	\$100,001 - \$250,000
9	Diamond Hill Large Cap CL I (DHLRX) - Roth #2		Purchase	05/17/2018	\$15,001 - \$50,000
10	Federated Strategic Value Dividend Inst CL (SVAIX)- Roth #2		Sale	05/17/2018	\$15,001 - \$50,000
11	Delaware Small Cap Core (DCCIX) - Roth #2		Purchase	08/20/2018	\$15,001 - \$50,000
12	Europacific Growth CL F2 (AEPFX) - Roth #2		Sale	08/20/2018	\$15,001 - \$50,000
13	Oakmark Intl Instl CL (OANIX) - Roth #2		Sale	08/20/2018	\$15,001 - \$50,000
14	Vanguard Total Intl Stock Index Fund (VXUS) - Roth #2		Sale	08/21/2018	\$1,001 - \$15,000
15	Vanguard Total Stock Market ETF (VTI) - Roth #2		Purchase	08/21/2019	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
16	Vanguard Total Intl Stock Index Fund (VXUS) - Indiv Acct #2 of 3	Sale	01/08/2018	\$15,001 - \$50,000
17	Vanguard Total Stock Market ETF (VTI) - Indiv Acct #2 of 3	Sale	01/08/2018	\$50,001 - \$100,000
18	Delaware Small Cap Core (DCCIX) - Indiv Acct #2 of 3	Sale	01/11/2018	\$15,001 - \$50,000
19	Eaton Vance Atlanta Cap SMID Cap CL I (EISMX) - Indiv Acct #2 of 3	Sale	01/11/2019	\$15,001 - \$50,000
20	Europacific Growth CL F2 (AEPFX) - Indiv Acct #2 of 3	Sale	01/11/2018	\$15,001 - \$50,000
21	Federated Strategic Value Dividend Inst CL (SVAIX)- Indiv Acct# 2 of 3	Purchase	01/11/2018	\$100,001 - \$250,000
22	Oakmark Intl Instl CL (OANIX) - Indiv Acct #2 of 3	Purchase	01/11/2018	\$15,001 - \$50,000
23	Loomis Sayles Growth CL Y (LSGRX) - Indiv Acct #2 of 3	Sale	01/11/2018	\$50,001 - \$100,000
24	Principal Mid Cap Inst CL (PCBIX)	Sale	01/18/2018	\$15,001 - \$50,000
25	Diamond Hill Large Cap CL I (DHLRX) - Indiv Acct #2 of 3	Purchase	05/17/2018	\$100,001 - \$250,000
26	Federated Strategic Value Dividend Inst CL (SVAIX) - Indiv Acct #2 of 3	Sale	05/17/2018	\$100,001 - \$250,000
27	Europacific Growth CL F2 (AEPFX) - Indiv Acct # 2 of 3	Sale	08/20/2018	\$50,001 - \$100,000
28	Oakmark Intl Instl CL (OANIX) - Indiv Acct #2 of 3	Sale	08/20/2018	\$50,001 - \$100,000
29	Vanguard Total Intl Stock Index Fund (VXUS) - Indiv Acct #2 of 3	Sale	08/21/2018	\$50,001 - \$100,000
30	OHIO ST HOSP 2033 (Bond)- Indiv Acct# 3 of 3	Sale	04/27/2018	\$100,001 - \$250,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
31	MASS BAY TRANSN 2023 - Indiv Acct #3 of 3	Purchase	05/01/2018	\$100,001 - \$250,000
32	CENTRAL PUGET SOUND WA 2023 (Bond) - Indiv Acct #3of 3	Sale	06/08/2018	\$50,001 - \$100,000
33	GEORGIA ST RFDG 2024 (Bond)- Indiv Acct #3 of 3	Sale	06/08/2018	\$250,001 - \$500,000
34	OREGON DPT ADMIN SVCS LOTTERY (Bond) - Indiv Acct #3 of 3	Sale	07/31/2018	\$15,001 - \$50,000
35	HENRICO COUNTY, VA BOND (Bond) - Indiv Acct #3 of 3	Sale	08/02/2018	\$100,001 - \$250,000
36	OHIO ST HIGHER ED 2028 (Bond) - Indiv Acct #3 of 3	Purchase	08/03/2018	\$100,001 - \$250,000
37	TARRANT CNTY TX CULTURAL ED 2028 (Bond) - Indiv Acct #3 of 3	Purchase	08/03/2018	\$100,001 - \$250,000
38	Florida State, Bond	Sale	08/20/2018	\$15,001 - \$50,000
39	WASHINGTON STATE BOND VAQARIUS 2029 (Bond) - Indiv Acct #3 of 3	See Endnote Purchase	08/24/2018	\$100,001 - \$250,000
40	AZ BRD REGTS ST UNIV (Bond) - Indiv Acct #3 of 3	Sale	09/07/2018	\$15,001 - \$50,000
41	VIRGINIA ST RES AUTH INFRA REV A 2027 (Bond) - Indiv Acct #3 of 3	Purchase	09/24/2018	\$100,001 - \$250,000
42	VIRGINIA RES AUTH CLEAN WTR 2023 (Bond) - Indiv Acct #3 of 3	Sale	10/19/2018	\$50,001 - \$100,000
43	Norfolk VA Econ Dev Hlth Care Fac (Bond) - Indiv Acct #3 of 3	Sale	10/26/2018	\$15,001 - \$50,000
44	Wisconsin State, Bond	Sale	10/26/2018	\$15,001 - \$50,000
45	MISSOURI ST HLTH & EDL 2029 (Bond) - Indiv Acct #3 of 3	Purchase	11/08/2018	\$100,001 - \$250,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
46	INDIANA GREEN BDS 2024 (Bond) - Indiv Acct #3 of 3	Sale	11/23/2018	\$15,001 - \$50,000
47	Vanguard FTSE Emerging Markets ETF (VWO) See Endnote	Sale	09/20/2017	\$15,001 - \$50,000

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM	
1	Goldman Sachs Bank	See Endnote	Mortgage on Personal Residence	\$500,001 - \$1,000,000	2018	4.00%	30 Years

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
6.	4.1	Gift from Mother. Transferred into municipal bond account (5548) on 8/23/18. On 8/24/18, a bond (WA ST VAQARIOUS PURP) was purchased. Long term capital gain is what's reflected here.
6.	4.10	Long-term Capital Gain distribution
7.	1	On 21 AUG 2018, sold RHHBF previously acquired by gift after last annual OGE 278 report.
7.	39	Sale of Roche (RHHBF) funds used to aquire this bond.

PART	#	ENDNOTE
7.	47	2017 Annual Report reflects transaction (sold) - item #385. Item was erroneously left in 2018 report; should have been deleted.
8.	1	Refinanced in 2018

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.

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