

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

Filer's Information

Cordova, France A

Director, National Science Foundation

Report Year: 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/ Cordova, France A [electronically signed on 06/27/2017 by Cordova, France A in Integrity.gov] - Filer received a 45 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/ Clay, Robin, Certifying Official [electronically signed on 06/27/2017 by Clay, Robin in Integrity.gov]

Other review conducted by

U.S. Office of Government Ethics Certification

/s/ Skalla, Daniel L, Certifying Official [electronically signed on 07/10/2017 by Skalla, Daniel L in Integrity.gov]

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Wells Fargo Generation Skipping Trust		Trust	Trustee	1/1990	Present
2	Wells Fargo Living Trust		Trust	Trustee	1/1988	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	SEP IRA:				
1.1	- Fidelity International Index Premium Class See Endnote	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.2	- Fidelity Pacific Basin	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
1.3	- Matthews Asia Dividend Fund	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
2	Roth IRA:				
2.1	- Fidelity Four in One Index	Yes	\$1,001 - \$15,000		None (or less than \$201)
3	University of California, defined benefit plan (value not readily ascertainable)	N/A		Retirement Payments (annual)	\$25,278
4	Edison International Stock Options	N/A	\$50,001 - \$100,000	ordinary income	\$79,084
4.1	- 2,500 sh, 4/26/07; strike price \$53.57; exp 4/17	N/A			None (or less than \$201)
4.2	- - 2,500 sh, 4/24/08; strike price \$52.78; exp 4/18	N/A			None (or less than \$201)
4.3	- 2,500 sh, 4/23/09; strike price \$28.00; exp 4/19	N/A			None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5	Edison In'tl deferred Compensation Plan	No			
5.1	- Cash Account	N/A	\$500,001 - \$1,000,000	Interest	\$15,001 - \$50,000
5.2	- Deferred Stock Unit Account	N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)
6	Edison Internation deferred comp payout distribution:				
6.1	- Cash Acct distribution	N/A		cash account payout	\$151,934
6.2	- Stock Distribution	N/A		stock payout	\$201,175
7	SAIC Key Executive Stock Deferred Plan - Restricted Stock Units	N/A	\$500,001 - \$1,000,000	Dividends	\$5,001 - \$15,000
7.1	- Plan payout			payout	\$178,886
8	Edison International stock	N/A	\$500,001 - \$1,000,000	Dividends	\$5,001 - \$15,000
9	Leidos Stock	N/A	\$50,001 - \$100,000	Dividends	\$15,001 - \$50,000
10	Fidelity Rollover IRA:				
10.1	Fidelity Freedom 2040	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
10.2	Fidelity Total Bond	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
10.3	Fidelity Pacific Basin	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
10.4	Fidelity Puritan	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
10.5	Fidelity Four In One Index	Yes	\$1,000,001 - \$5,000,000		\$50,001 - \$100,000
10.6	Fidelity Blue Chip Growth	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.7	American Bond Fund of America	Yes	\$1,001 - \$15,000		None (or less than \$201)
10.8	American Capital Income Builder	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
10.9	American Capital World Growth & Income	Yes	\$15,001 - \$50,000		\$201 - \$1,000
10.10	Harbor High-Yield Bond Instl	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
10.11	Nuveen Symphony Flat Rate Income	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
10.12	Pimco Income Fund Institutional	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
11	TIAA	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Purdue	West Lafayette,, Indiana	Continue to participate in TIAA/CREF 401(a)	6/2007
2	University of California	Riverside, California	Receive monthly pension payment.	7/2007
3	Edison International	Rosemead, California	Continued part in Edison Deferred Comp plan comprised of cash and deferred stock Units and receive annual payout. Continue to hold stock options.	5/2004
4	SAIC	McLean, Virginia	Continued participation in plan and receive annual payout.	12/2008
5	Mayo Clinic	Rochester, Minnesota	As a former Trustee, receive lifetime medical coverage at Mayo Clinics for myself and my spouse in accordance with Trustee benefit plan	5/2008

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	TIAA Traditional	No	\$1,001 - \$15,000	Interest	\$201 - \$1,000
2	Fidelity Rollover IRA				
2.1	- Fidelity International Discovery	N/A	\$100,001 - \$250,000		\$1,001 - \$2,500
2.2	- Fidelity Canada Fund	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
2.3	- Vanguard Life Strategy Mod Growth	Yes	Over \$1,000,000		\$15,001 - \$50,000
3	Roth IRA - Vanguard Life Strategy Moderate Growth	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
4	New Mexico State Retirement System, defined benefit plan (value not readily ascertainable)	N/A		Retirement Payments	

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Purdue Federal Credit Union Cash Account	N/A	\$1,000,001 - \$5,000,000	Interest	\$5,001 - \$15,000
2	Jackson Life Perspective II: Lifeguard Freedom 6 Annuity	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.1	Lazard Emerging Markets Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.2	T. Rowe Price Mid-Cap Growth	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.3	MC Dow Index Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.4	Red Rocks Listed Private Equity Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.5	MC Technology Sector Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
3	Capital Guardian	No			
3.1	American Mutual Fund	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
3.2	Capital Group Core Municipal Fund	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
3.3	Capital Income Builder	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
3.4	Capital World Growth & Income Fund	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
3.5	Fundamental Investors Fund	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
3.6	International Growth & Income Fund	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
3.7	New Economy Fund	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
3.8	New Perspective Fund	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
3.9	Washington Mutual Investors	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
4	Wells Fargo - Living Trust - est. 1988	No			
4.1	American Century Tax-Free Bond Fund	Yes	None (or less than \$1,001)		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.2	Nuveen High Yield Municipal Bond Fund	Yes	None (or less than \$1,001)		\$201 - \$1,000
4.3	Nuveen Intermediate Duration Bond Fund	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
4.4	Nuveen Limited Term Municipal Bond Fund	Yes	None (or less than \$1,001)		\$201 - \$1,000
4.5	T. Rowe Price Institutional Float Rate Fund	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.6	Fidelity Advisors Emerging Markets Income Fund	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
4.7	Artisan Mid Cap Fund	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
4.8	Dodge & Cox International Stock Fund	Yes	None (or less than \$1,001)		\$201 - \$1,000
4.9	AQR Managed Futures Strategy Fund	Yes	\$1,001 - \$15,000		\$5,001 - \$15,000
4.10	ASG Global Alternatives Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.11	Blackrock Global Long/Short Credit Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.12	Boston Partners Long/Short Research Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.13	Eaton Vance Global Macro Absolute Return Fund	Yes	\$1,001 - \$15,000		\$201 - \$1,000
4.14	Neuberger Berman Long Short Fund Inst	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.15	The Merger Fund Class Inst	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.16	Credit Suisse Commodity Return Strategy Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.17	SPDR DJ Wilshire International Real Estate ETF	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.18	T. Rowe Price Real Estate Fund	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.19	Vanguard REIT Viper	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
4.20	Oppenheimer Developing Markets N	Yes	None (or less than \$1,001)		\$15,001 - \$50,000
4.21	MFS Value Fund	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
4.22	Blackrock Institutional Funds Trust for Federal Securities	Yes	\$50,001 - \$100,000		None (or less than \$201)
4.23	JP Morgan High Yield Fund Select	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
4.24	Vanguard Inflation Protected Securities Fund - ADM	Yes	\$1,001 - \$15,000		\$201 - \$1,000
4.25	Vanguard Intermediate Term B	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
4.26	Vanguard Short Term Bond ETF	Yes	\$50,001 - \$100,000		\$201 - \$1,000
4.27	AMEX Consumer Discr SPDR	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.28	Consumer Staples Sector SPDR Tr	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.29	AMEX Energy Select SPDR	Yes	\$1,001 - \$15,000		\$201 - \$1,000
4.30	Financial Select Sector SPDR Fund	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.31	Healthcare Select Sector SPDR	Yes	\$50,001 - \$100,000		\$201 - \$1,000
4.32	AMEX Industrial	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.33	AMEX Technology Select SPDR	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.34	AMEX Materials SPDR	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.35	iShares Core S&P Small-Cap ETF	Yes	\$50,001 - \$100,000		\$201 - \$1,000
4.36	iShares S&P Mid-Cap 400 Growth	Yes	\$50,001 - \$100,000		\$201 - \$1,000
4.37	iShares S&P Mid-Cap 400	Yes	\$50,001 - \$100,000		\$201 - \$1,000
4.38	Real Estate Select Sector SPDR Fund	See Endnote	\$1,001 - \$15,000		None (or less than \$201)
4.39	Vanguard FTSE Developed Markets ETF	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
4.40	Vanguard FTSE Emerging Markets ETF	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
5	Generation Skipping Trust (1990) - Wells Fargo	No			
5.1	Blackrock Institutional Funds Trust for Federal Securities T-Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.2	American Century Tax-Free Bond Fund	Yes	None (or less than \$1,001)		\$201 - \$1,000
5.3	Nuveen High Yield Municipal Bond	Yes	\$1,001 - \$15,000		\$201 - \$1,000
5.4	Nuveen Intermediate Duration Bond Fund	Yes	None (or less than \$1,001)		\$201 - \$1,000
5.5	Nuveen Limited Term Municipal Bond Fund	Yes	None (or less than \$1,001)		\$201 - \$1,000
5.6	T. Rowe Price Institutional Float Rate Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.7	Fidelity Advisors Emerging Markets Income Fund	Yes	\$1,001 - \$15,000		\$201 - \$1,000
5.8	MFS Value Fund	Yes	None (or less than \$1,001)		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.9	AQR Managed Futures Strategy Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.10	ASG Global Alternatives Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.11	Blackrock Global Long/Short Credit Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.12	Boston Partners Long/Short Research Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.13	Eaton Vance Global Macro Absolute Return Fund	Yes	\$1,001 - \$15,000		\$201 - \$1,000
5.14	The Merger Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.15	Credit Suisse Commodity Return Strategy Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.16	SPDR DJ Wilshire Intl Real Estate ETF	Yes	\$1,001 - \$15,000		\$201 - \$1,000
5.17	T. Rowe Price Real Estate Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.18	Vanguard REIT Viper	Yes	\$1,001 - \$15,000		\$201 - \$1,000
5.19	JP Morgan High Yield Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.20	Wells Fargo Intermediate Tax-Free Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.21	AMEX Consumer Discr SPDR	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.22	Consumer Staples Sector SPDR TR	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.23	AMEX Energy Select SPDR	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.24	Financial Select Sector SPDR	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.25	Health Care Select Sector SPDR	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT	
5.26	AMEX Industrial SPDR	Yes	\$1,001 - \$15,000		None (or less than \$201)	
5.27	AMEX Technology Select SPDR	Yes	\$15,001 - \$50,000		None (or less than \$201)	
5.28	AMEX Materials SPDR	Yes	\$1,001 - \$15,000		None (or less than \$201)	
5.29	iShares Core S&P Small-Cap ETF	Yes	\$15,001 - \$50,000		\$201 - \$1,000	
5.30	iShares S&P Mid-Cap 400 Growth	Yes	\$15,001 - \$50,000		None (or less than \$201)	
5.31	iShares S&P Mid Cap 400 Value	Yes	\$15,001 - \$50,000		\$201 - \$1,000	
5.32	Real Estate Select Sector SPDR Fund	See Endnote	Yes	\$1,001 - \$15,000	None (or less than \$201)	
5.33	Morgan Stanley Institutional Fund - Frontier Emerging Markets	Yes	\$1,001 - \$15,000		None (or less than \$201)	
5.34	Templeton Emerging Markets Small Cap	Yes	\$1,001 - \$15,000		None (or less than \$201)	
5.35	Vanguard FTSE Developed Markets ETF	Yes	\$15,001 - \$50,000		\$201 - \$1,000	
5.36	Vanguard FTSE Emerging Markets ETF	Yes	\$1,001 - \$15,000		\$201 - \$1,000	
5.37	Principal Global Multi-Strategy Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)	
6	American Tax Credit Properties III, Real Estate LP, Greenwich CT	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000	
7	AMS Group, LLC (mini-storage in Covina CA)	See Endnote	No	\$250,001 - \$500,000	Interest Capital Gains	\$201 - \$1,000

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Capital Group Core Municipal	Purchase	various	\$50,001 - \$100,000
2	Capital World Growth & Income Fd CL F2	Purchase	various	\$100,001 - \$250,000
3	Fundamental Investors CL F2	Purchase	various	\$100,001 - \$250,000
4	New Persepective Fund CL F2	Purchase	various	\$100,001 - \$250,000
5	Capital Income Builder CL F2	Purchase	various	\$1,001 - \$15,000
6	International Growth & Income Fund CL F2	Purchase	various	\$1,001 - \$15,000
7	American Mutual Fund CL F2	Purchase	various	\$15,001 - \$50,000
8	Washington Mutual Investors Fund CL F2	Purchase	various	\$15,001 - \$50,000
9	New Economy Fund CL F2	Purchase	various	\$1,001 - \$15,000
10	Capital Group Core Municipal	Sale	various	\$1,001 - \$15,000
11	Amer Cent Small Cap Gr Inst	Purchase	1/25/16	\$1,001 - \$15,000
12	Amer Cent Tax-Free Bond	Purchase	various	\$1,001 - \$15,000
13	Amex Consumer Discr SPDR	Purchase	various	\$15,001 - \$50,000
14	Amex Energy Select SPDR	Purchase	various	\$15,001 - \$50,000
15	Amex Industrial SPDR	Purchase	various	\$15,001 - \$50,000
16	Amex Materials SPDR	Purchase	6/27/16	\$1,001 - \$15,000
17	Amex Technology Select SPR	Purchase	various	\$50,001 - \$100,000
18	AQR Managed Futures STR-I	Purchase	various	\$15,001 - \$50,000
19	Artisan Mid Cap Fund	Purchase	1/25/16	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
20	Artisan Mid Cap Funds	Purchase	4/25/16	\$1,001 - \$15,000
21	Blackrock GI L/S Credit	Purchase	various	\$1,001 - \$15,000
22	Consumer Staples Sector SPDR TR	Purchase	various	\$15,001 - \$50,000
23	Dodge & Cox Int'l Stock Fd	Purchase	1/25/16	\$1,001 - \$15,000
24	Eaton Vance global Macro	Purchase	8/26/16	\$15,001 - \$50,000
25	Fid Adv Emer Mkts Inc	Purchase	8/26/16	\$15,001 - \$50,000
26	Financial Select Sector SPDR	Purchase	various	\$15,001 - \$50,000
27	Harbor Capital App	Purchase	1/25/16	\$1,001 - \$15,000
28	Health Care Select Sector	Purchase	various	\$50,001 - \$100,000
29	iShares Core S&P Small Cap	Purchase	various	\$50,001 - \$100,000
30	iShares S&P Mid Cap 400 Value	Purchase	6/27/16	\$50,001 - \$100,000
31	iShares S&P Mid Cap 400 Growth	Purchase	6/27/16	\$50,001 - \$100,000
32	JP Morgan Mid Cap Value I	Purchase	1/25/16	\$1,001 - \$15,000
33	JP Morgan High Yield Fund SS	Purchase	various	\$50,001 - \$100,000
34	Merger Fund Inst	Purchase	8/26/16	\$1,001 - \$15,000
35	MFS Value Fund Class I	Purchase	1/25/16	\$1,001 - \$15,000
36	Nuveen High Yield Muni Bond R	Purchase	4/5/16	\$1,001 - \$15,000
37	Nuveen Int Duration Fd Fd	Purchase	various	\$1,001 - \$15,000
38	Nuveen Limited Term Muni Bd	Purchase	5/12/16	\$1,001 - \$15,000
39	Fidelity Advisor Capital Developing Mkt	Purchase	1/25/16	\$50,001 - \$100,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
40	Sterling Capital Stratton Small Cap	Purchase	1/27/16	\$1,001 - \$15,000
41	T Rowe Price Inst Float Rate	Purchase	4/25/16	\$1,001 - \$15,000
42	Vanguard FTSE Developed ETF	Purchase	6/27/16	\$100,001 - \$250,000
43	Vanguard FTSE Emerging Markets ETF	Purchase	6/27/16	\$50,001 - \$100,000
44	Vanguard Inflat-Prot Secs-ADM	Purchase	various	\$1,001 - \$15,000
45	Vanguard Intermediate Term B	Purchase	various	\$50,001 - \$100,000
46	Vanguard Short Term Bond ETF	Purchase	various	\$50,001 - \$100,000
47	American Cent Small Cap Gr Inst	Sale	various	\$15,001 - \$50,000
48	Amer Cent Tax-Free Bond	Sale	various	\$50,001 - \$100,000
49	Amex Energy Select SPDR	Sale	11/21/16	\$1,001 - \$15,000
50	Artisan International Fd	Sale	various	\$50,001 - \$100,000
51	Artisan Mid Cap Funds	Sale	6/23/16	\$50,001 - \$100,000
52	ASG Global Alternatives	Sale	various	\$1,001 - \$15,000
53	Boston P Lng/Shrt Res	Sale	8/24/16	\$1,001 - \$15,000
54	Consumer Staples Sector SPDR TR	Sale	12/06/16	\$1,001 - \$15,000
55	Dodge & Cox Int'l Stock Fd	Sale	various	\$50,001 - \$100,000
56	Fid Adv Emer Mkts Inc	Sale	1/21/16	\$1,001 - \$15,000
57	Harbor Capital Appreciation Inst	Sale	various	\$100,001 - \$250,000
58	iShares MSCI Emerging Mkts	Sale	1/25/16	\$50,001 - \$100,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
59	iShares Russell Mid-Cap ETF	Sale	1/25/16	\$15,001 - \$50,000
60	iShares S&P Mid-Cap 400 Growth	Sale	8/26/16	\$1,001 - \$15,000
61	iShares S&P Mid-Cap 400 Value	Sale	8/26/16	\$1,001 - \$15,000
62	JP Morgan Mid Cap Value	Sale	various	\$50,001 - \$100,000
63	MFS Value Fund Class I	Sale	various	\$100,001 - \$250,000
64	Neuberger Berman Long Sh Ins	Sale	various	\$1,001 - \$15,000
65	Nuveen High Yield Muni Bd	Sale	various	\$15,001 - \$50,000
66	Nuveen Int Duration Bd	Sale	various	\$50,001 - \$100,000
67	Nuveen Limited Term Muni Bd	Sale	various	\$15,001 - \$50,000
68	Oppenheimer Developing Mkt	Sale	various	\$50,001 - \$100,000
69	SPDR DJ Wilshire Int'l Real	Sale	various	\$15,001 - \$50,000
70	Sterling Capital Stratton Small Cap	Sale	various	\$15,001 - \$50,000
71	Vanguard FTSE Developed ETF	Sale	8/26/16	\$15,001 - \$50,000
72	Vanguard FTSE Emerging Mkts ETF	Sale	8/26/16	\$15,001 - \$50,000
73	Vanguard Intermediate Term B	Sale	8/26/16	\$1,001 - \$15,000
74	Vanguard REIT Viper	Sale	various	\$15,001 - \$50,000
75	Vanguard Short Term Bond ETF	Sale	8/26/16	\$15,001 - \$50,000
76	American Century Tax-Free Bond	Purchase	various	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
77	AMEX Consumer DISC SPDR	Purchase	various	\$1,001 - \$15,000
78	AMEX Energy Select SPDR	Purchase	various	\$1,001 - \$15,000
79	AMEX Industrial SPDR	Purchase	various	\$1,001 - \$15,000
80	AMEX Materials SPDR	Purchase	various	\$1,001 - \$15,000
81	AMEX Technology Select SPDR	Purchase	various	\$15,001 - \$50,000
82	AQR Managed Futures STR-I	Purchase	various	\$1,001 - \$15,000
83	Artisan Mid Cap Fund	Purchase	1/25/16	\$1,001 - \$15,000
84	Ashmore Emerging Mkts CR DB	Purchase	7/13/16	\$1,001 - \$15,000
85	Boston P Lng/Shrt Res - Ins	Purchase	7/13/16	\$1,001 - \$15,000
86	Consumer Staples Sector SPDR Tr	Purchase	various	\$1,001 - \$15,000
87	Credit Suisse Comm Ret St-I	Purchase	7/13/16	\$1,001 - \$15,000
88	Dodge & Cox Int'l Stock Fund	Purchase	1/25/16	\$1,001 - \$15,000
89	Eaton Vance Global Macro	Purchase	various	\$1,001 - \$15,000
90	Fidelity Advisor Emerging Markets Inc - CL I	Purchase	8/26/16	\$1,001 - \$15,000
91	Fidelity Select Sector SPdR	Purchase	various	\$15,001 - \$50,000
92	Harbor Capital Appreciation Instl	Purchase	1/25/16	\$1,001 - \$15,000
93	Health Care Select Sector	Purchase	various	\$15,001 - \$50,000
94	iShares Core S&P Small Cap E	Purchase	various	\$15,001 - \$50,000
95	iShares S&P Mid-Cap 400 Value	Purchase	various	\$15,001 - \$50,000
96	iShares S&P Mid-Cap 400 Growth	Purchase	various	\$15,001 - \$50,000
97	MFS Value Fund Cl I	Purchase	1/25/16	\$1,001 - \$15,000
98	Morgan Stanley Ins Fr Emg - I	Purchase	7/13/16	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
99	Niveen High Yield Muni Bd	Purchase	4/25/16	\$1,001 - \$15,000
100	Nuveen Int Duration Fd Fd	Purchase	various	\$1,001 - \$15,000
101	Nuveen Limited Term Muni Bd	Purchase	5/12/16	\$1,001 - \$15,000
102	Oppenheimer Developing Mkt	Purchase	1/25/16	\$1,001 - \$15,000
103	Principal GI Mult Strat-Inst	Purchase	7/13/16	\$1,001 - \$15,000
104	T. Rowe Price Inst Float Rate	Purchase	4/25/16	\$1,001 - \$15,000
105	Templeton Emer Mkt S/C-Adv	Purchase	7/13/16	\$1,001 - \$15,000
106	Vanguard FTSE Developed ETF	Purchase	7/13/16	\$15,001 - \$50,000
107	Vanguard FTSE Emerging Markets ETF	Purchase	7/13/16	\$15,001 - \$50,000
108	Wells Fargo Intm T/F-Ins	Purchase	various	\$15,001 - \$50,000
109	American Centruy Small Cap Growth Inst	Sale	various	\$1,001 - \$15,000
110	American Century Tax-Free Bond	Purchase	various	\$1,001 - \$15,000
111	AMEX Energy Select SPDR	Purchase	11/21/16	\$1,001 - \$15,000
112	AQR Managed Futures Str-I	Purchase	various	\$1,001 - \$15,000
113	Artisan International Fund Ins	Sale	various	\$15,001 - \$50,000
114	Artisan Mid Cap Funds	Sale	7/11/16	\$1,001 - \$15,000
115	ASG Global Alternatives-Y	Sale	various	\$1,001 - \$15,000
116	Ashmore Emerging Mkts Cr Db-Ins	Sale	8/24/16	\$1,001 - \$15,000
117	Blackrock Global L/S Credit-Ins	Sale	various	\$1,001 - \$15,000
118	Boston P L/S Res-Ins	Sale	8/24/16	\$1,001 - \$15,000
119	Consumer Staples Sector SPDR TR	Sale	12/06/16	\$1,001 - \$15,000
120	Credit Suisse Comm Ret St-I	Sale	8/24/16	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
121	Dox & Cox International Stock Fund	Sale	various	\$15,001 - \$50,000
122	Eaton Vance Global Macro - I	Sale	various	\$1,001 - \$15,000
123	Fidelity Advisor Emerging Markets Inc B	Sale	various	\$1,001 - \$15,000
124	Harbor Capital Appreciation Inst	Sale	various	\$15,001 - \$50,000
125	JP Morgan Mid Cap Value - I	Sale	various	\$15,001 - \$50,000
126	MFS Value Fund CL I	Sale	various	\$15,001 - \$50,000
127	Morgan Stanley Ins Fr Emg-I	Sale	8/24/16	\$1,001 - \$15,000
128	Neuberger Berman Long Sh-Ins	Sale	various	\$1,001 - \$15,000
129	Nuveen High Yield Muni Bd	Sale	various	\$1,001 - \$15,000
130	Nuveen Int Duration Bd Fd	Sale	various	\$1,001 - \$15,000
131	Nuveen Limited Term Muni Bd	Sale	various	\$1,001 - \$15,000
132	Oppenheimer Developing Mkt-I	Sale	various	\$15,001 - \$50,000
133	SPDR DJ Wilshire International Real	Sale	various	\$1,001 - \$15,000
134	Sterling Capital Stratton Small Cap	Sale	various	\$1,001 - \$15,000
135	T. Rowe Price Inst Float Rate	Sale	various	\$1,001 - \$15,000
136	T. Rowe Price Real Estate Fund	Sale	various	\$1,001 - \$15,000
137	Templeton Emerging Mkt S/C Adv	Sale	8/24/16	\$1,001 - \$15,000
138	Vanguard FTSE Developed ETF	Sale	8/26/16	\$1,001 - \$15,000
139	Vanguard FTSE Emerging Markets ETF	Sale	8/26/16	\$1,001 - \$15,000
140	Vanguard REIT Viper	Sale	various	\$1,001 - \$15,000
141	Wells Fargo Intermediate T/F Ins	Sale	8/24/16	\$1,001 - \$15,000
142	Fidelity International Discovery	Purchase	12/09/16	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
143	Fidelity Canada	Purchase	12/09/16	\$1,001 - \$15,000
144	Vanguard Life Strategy Moderate Growth Inv	Purchase	various	\$15,001 - \$50,000
145	Fidelity Pacific Basin	Purchase	various	\$15,001 - \$50,000
146	Mathews Asia Dividend Fund	Purchase	various	\$15,001 - \$50,000
147	Fidelity Freedom 2040	Purchase	various	\$1,001 - \$15,000
148	Fidelity Total Bond	Purchase	various	\$1,001 - \$15,000
149	Fidelity Pacific Basin	Purchase	12/16/16	\$1,001 - \$15,000
150	Fidelity Puritan	Purchase	various	\$15,001 - \$50,000
151	Fidelity Four-in-One Index	Purchase	various	\$50,001 - \$100,000
152	Fidelity Blue Chip Growth	Purchase	various	\$15,001 - \$50,000
153	American Capital Income Builder	Purchase	various	\$1,001 - \$15,000
154	Harbor High-Yield Bond Instl	Purchase	various	\$1,001 - \$15,000
155	Nuveen Symphony Flat Rate Income	Purchase	various	\$15,001 - \$50,000
156	Pimco Income Fund Institutional	Purchase	various	\$15,001 - \$50,000

8. Liabilities

None

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
2.	1.1	Reported as Spartan International Index Fid Adv class on prior report - name change
6.	4.38	Spinoff of Financial Select Sector SPDR
6.	5.32	Spinoff of Financial Select SPDR
6.	7	Includes personal ownership and ownership through Frederick and Joan Cordova Family Trust.

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.

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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.

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