

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

## Filer's Information

---

**Work, Robert O.**

Deputy Secretary of Defense, Department of Defense

Date of Termination: 07/18/2017

---

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/ Work, Robert O. [electronically signed on 08/13/2017 by Work, Robert O. 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/ Rishel, Eric C, Certifying Official [electronically signed on 10/24/2017 by Rishel, Eric C in Integrity.gov]**

---

Other review conducted by

---

U.S. Office of Government Ethics Certification

**/s/ Skalla, Daniel L, Certifying Official [electronically signed on 10/25/2017 by Skalla, Daniel L in Integrity.gov]**

---

Data Revised 10/24/2017

Data Revised 08/28/2017

---

## 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	CSBA 403b GSRA	No			
1.1	CREF Stock	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
1.2	CREF Global Equities	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.3	CREF Equity Index	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.4	CREF Growth	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.5	CREF Bond Market Fund	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
1.6	CREF Inflation-Linked Bond	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
1.7	TIAA Real Estate (QREARX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2	CSBA 403b GRA	No			
2.1	TIAA Traditional	N/A	\$100,001 - \$250,000		\$5,001 - \$15,000
2.2	CREF Stock	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
2.3	CREF Global Equities	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
2.4	CREF Equity Index	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
2.5	CREF Growth	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000

---

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.6	CREF Bond Market Fund	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
2.7	CREF Inflation-Linked Bond	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
2.8	TIAA Real Estate (QREARX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3	CSBA 457b	No			
3.1	CREF Stock	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
3.2	CREF Bond Market Fund	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3.3	CREF Inflation-Linked Bond	Yes	\$1,001 - \$15,000		\$201 - \$1,000
4	CSBA Voya Financial 403B Variable Annuity	See Endnote	No		
4.1	Voya Fixed Account	See Endnote	No	None (or less than \$1,001)	Interest None (or less than \$201)
4.2	Voya Fixed Plus Account	See Endnote	No	\$1,001 - \$15,000	\$201 - \$1,000
5	CNAS 403B	See Endnote	No		
5.1	American Funds AMCAP R6(40)	Yes	None (or less than \$1,001)		\$201 - \$1,000
5.2	Principal Real Estate Securities Instit (20)	Yes	None (or less than \$1,001)		\$201 - \$1,000
5.3	Putnam Inc Fund Class R6(40)	Yes	None (or less than \$1,001)		\$201 - \$1,000
5.4	Vanguard Total Bond Market Admiral Shares	Yes	None (or less than \$1,001)		\$201 - \$1,000

### 3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY		CITY, STATE	STATUS AND TERMS	DATE
1	Center for Strategic and Budgetary Analysis	See Endnote	Washington, District of Columbia	I have a vested 403b plan and 457b plan at CSBA. CSBA no longer makes contributions to these plans on my behalf.	5/2009
2	Center for a New American Security	See Endnote	Washington, District of Columbia	I had a vested 401k plan at CNAS. CNAS made no contributions to this plan on my behalf.	4/2013
3	Battelle Corporation		Columbus, Ohio	Battelle asked me to compete for the job of CEO. I recused myself from all DoD dealings with Battelle. I flew to Columbus, Ohio to be interviewed. Battelle paid for my airfare and hotel.	4/2017
4	Telemus Group, LLC		Falls Church, Virginia	Telemus asked that I consider coming on as Senior Counselor upon termination of my government service. I recused myself from all DoD dealings with Telemus.	1/2017
5	Raytheon Corp		Waltham, Massachusetts	Raytheon asked that I consider joining their Board of Directors upon termination of government service. I recused myself from all DOD dealings with Raytheon	6/2017

#### 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	Robert O Work IRA Acct (NFS-HDM)	See Endnote	No			
1.1	US bank acct #1 Deposit Sweep (cash)		No	None (or less than \$1,001)		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.2	BlackRock 20/80 Target Allocation Fund      See Endnote	Yes	None (or less than \$1,001)		\$201 - \$1,000
1.3	Ivy Balanced A	Yes	None (or less than \$1,001)		\$201 - \$1,000
1.4	Loomis Sayles Global Equity & Income Fund	Yes	None (or less than \$1,001)		\$201 - \$1,000
1.5	Oppenheimer Core Bond Fund B	Yes	None (or less than \$1,001)		\$201 - \$1,000
1.6	Oppenheimer Global Fund A	Yes	None (or less than \$1,001)		None (or less than \$201)
1.7	Oppenheimer Portfolio Series Equity Inv A	Yes	None (or less than \$1,001)		None (or less than \$201)
1.8	Oppenheimer Portfolio Series Equity Inv B	Yes	None (or less than \$1,001)		None (or less than \$201)
1.9	Vanguard Intermediate-Term Bond Index Fund Admiral Shares	Yes	None (or less than \$1,001)		None (or less than \$201)
1.10	Doubleline Core Fixed Income Fund	Yes	None (or less than \$1,001)		\$201 - \$1,000
1.11	Oppenheimer Core Bond A	Yes	None (or less than \$1,001)		None (or less than \$201)
1.12	Vanguard 500 Index Fund Investor CL1	Yes	None (or less than \$1,001)		\$201 - \$1,000
1.13	Vanguard Balanced Index Fund Investor Shares	Yes	None (or less than \$1,001)		\$201 - \$1,000
2	Robert O Work IRA Acct (NFS-B3S)	No			
2.1	US bank acct #2 Deposit Sweep (cash)	No	\$1,001 - \$15,000		None (or less than \$201)
2.2	Calamos Market Neutral Inc Fund Instl	Yes	None (or less than \$1,001)		None (or less than \$201)
2.3	Doubleline Core Fixed Income Fund	Yes	\$1,001 - \$15,000		\$2,501 - \$5,000
2.4	Oakmark Fund	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.5	PIMCO Income Fund	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
2.6	T Rowe Price Blue Chip Growth Fund	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
2.7	T. Rowe Price Floating Rate Fund	Yes	None (or less than \$1,001)		None (or less than \$201)
2.8	T Rowe Price New Horizons Fund	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
2.9	TCW Total Return Bond Fund N	Yes	None (or less than \$1,001)		\$201 - \$1,000
2.10	Vanguard Capital Value Fund Inv	Yes	None (or less than \$1,001)		\$201 - \$1,000
2.11	Vanguard 500 Index Fund Investor Cl1	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
2.12	Vanguard Balanced Index Fund Investor Shares	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
2.13	Vanguard Intermediate-Term Bond Index Fund Inv	Yes	\$1,001 - \$15,000		\$201 - \$1,000
2.14	Invesco Diversified Dividend Fund Y	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2.15	Lord Abbett Floating Rate Fund Inv	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2.16	Prudential Short Duration High-Yield Inc Fund	Yes	\$1,001 - \$15,000		\$201 - \$1,000
2.17	Schwab Total Stock Mkt Index Fund	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3	Spouse Roth IRA Acct NFS	See Endnote	No		
3.1	US bank acct #3 Deposit Sweep (cash)	No	None (or less than \$1,001)		None (or less than \$201)
3.2	American Beacon Small Cap Val Instl	Yes	None (or less than \$1,001)		\$201 - \$1,000
3.3	American Funds EuroPac Growth F2	Yes	None (or less than \$1,001)		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.4	AMG Systematic Mid-Cap Value Fund	Yes	None (or less than \$1,001)		\$201 - \$1,000
3.5	Eaton Vance Income Fund of Boston	Yes	None (or less than \$1,001)		None (or less than \$201)
3.6	Fidelity Total Bond Fund	Yes	None (or less than \$1,001)		\$201 - \$1,000
3.7	FPA New Income Fund	Yes	None (or less than \$1,001)		None (or less than \$201)
3.8	FMI Large Cap Fund	Yes	None (or less than \$1,001)		\$201 - \$1,000
3.9	Harding Loevner Emerging Mkt Portfolio	Yes	None (or less than \$1,001)		None (or less than \$201)
3.10	John Hancock Disciplined Value	Yes	None (or less than \$1,001)		\$201 - \$1,000
3.11	Legg Mason BW Global Opportunities Bond	Yes	None (or less than \$1,001)		None (or less than \$201)
3.12	MFS Growth Fund I	Yes	None (or less than \$1,001)		\$201 - \$1,000
3.13	Nuveen Real Estate I	Yes	None (or less than \$1,001)		None (or less than \$201)
3.14	Prudential Short Term Corp Bond Fund	Yes	None (or less than \$1,001)		\$201 - \$1,000
3.15	Touchstone Mid-Cap Growth Fund Y	Yes	None (or less than \$1,001)		\$201 - \$1,000
3.16	Victory Trivalent Intl Small-Cap Fund	Yes	None (or less than \$1,001)		None (or less than \$201)
3.17	Voya Floating Rate Fund W	Yes	None (or less than \$1,001)		None (or less than \$201)
4	Joint Mgd Brokerage Account #1-B3S	No			
4.1	US bank acct #4 Deposit Sweep (cash)	No	\$1,001 - \$15,000		None (or less than \$201)
4.2	American Funds Capital World G/I F1	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.3	Calamos Market Neutral Inc Fund Instl	Yes	None (or less than \$1,001)		\$201 - \$1,000
4.4	DFA TA US Core Equity 2 Port Instl	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
4.5	DFA Tax-Managed US Mktwide Val Port	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
4.6	DFA US Vector Equity Port Instl	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
4.7	Doubleline Core Fixed Inc Fund	Yes	None (or less than \$1,001)		\$201 - \$1,000
4.8	Gabelli Asset AAA	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
4.9	John Hancock Strat Inc Opportunities I	Yes	None (or less than \$1,001)		\$201 - \$1,000
4.10	Oakmark Equity & Income Fund I	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
4.11	PIMCO Income Fund	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
4.12	T Rowe Price Cap Appreciation Fund	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
4.13	T. Rowe Price Floating Rate Fund	Yes	None (or less than \$1,001)		\$201 - \$1,000
4.14	Vanguard Div Growth Fund Inv	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
4.15	Vanguard Diversified Equity Fund	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
4.16	Vanguard Equity Income Fund Inv	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
4.17	Vanguard Global Minimum Volatility Fund	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
4.18	Vanguard Intermediate-Term Gov't Bond Index	Yes	\$1,001 - \$15,000		\$201 - \$1,000
4.19	Vanguard Strategic Equity Fund	Yes	\$1,001 - \$15,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.20	Vanguard 500 Index Fund Admiral Shares	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
4.21	Vanguard Total Stock Market Index Admiral Shares	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
4.22	Vanguard Dividend Appreciation Index Fund Inv	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
4.23	Federated Instit High-Yield Bond Fund	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
4.24	Lord Abbett Floating Rate Fund	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.25	Prudential Short-term Corp Bond Fund	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.26	Vanguard Intermediate -Term Government Bond ETF	Yes	None (or less than \$1,001)		\$201 - \$1,000
4.27	American Capital World Growth & Income A	Yes	None (or less than \$1,001)		\$201 - \$1,000
5	Spouse IRA Acct (NFS-H2Y)	See Endnote	No		
5.1	US bank acct #5 Deposit Sweep (cash)	No	\$1,001 - \$15,000		
5.2	Columbia Contrarian Core Fund C	Yes	None (or less than \$1,001)		\$201 - \$1,000
5.3	Ivy International Core Equity C	Yes	None (or less than \$1,001)		None (or less than \$201)
5.4	Vanguard Intermediate-Term Bond Index Investor Shares	Yes	\$1,001 - \$15,000		\$201 - \$1,000
5.5	Vanguard US Growth Portfolio Fund	Yes	\$1,001 - \$15,000		\$201 - \$1,000
6	US Joint bank acct #1	No			
6.1	Joint checking acct	No	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
6.2	Joint savings acct	No	None (or less than \$1,001)	Interest	None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.3	Joint money market acct	See Endnote	No	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
6.4	Savings certificate	See Endnote	No	None (or less than \$1,001)	Interest	None (or less than \$201)
6.5	Savings certificate	See Endnote	No	None (or less than \$1,001)	Interest	None (or less than \$201)
7	US joint bank acct #2		No	\$1,001 - \$15,000	Interest	None (or less than \$201)
8	NMAA Whole Life Ins Pol Cash Value		No	\$50,001 - \$100,000	Interest	\$201 - \$1,000
9	Spouse Roth IRA Acct B3S					
9.1	US bank acct #6 Bank Deposit Sweep (cash)		Yes	\$1,001 - \$15,000		None (or less than \$201)
9.2	Doubleline Core Fixed Inc Fund		Yes	\$15,001 - \$50,000		\$201 - \$1,000
9.3	Vanguard 500 Index Fund Admiral Shares		Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
9.4	Vanguard Total Stock Market Index Fund Admiral Shares		Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
9.5	Vanguard Growth Index Funds Instl Shares		Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
9.6	Vanguard Mid-Cap Index Funds Inv Shares		Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
9.7	Vanguard Total International Stock Index Fund		Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
9.8	Vanguard High-Yield Corp Fund Admiral Shares		Yes	\$1,001 - \$15,000		\$201 - \$1,000
9.9	Vanguard Intermediate-Term Bond Index Admiral Shares		Yes	None (or less than \$1,001)		None (or less than \$201)
10	Spouse IRA Acct 3961					
10.1	US Bank Deposit Sweep (cash)		Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.2	Vanguard Mid-Cap Value Index Fund Admiral Shares	Yes	\$1,001 - \$15,000		\$201 - \$1,000
10.3	Vanguard Intermediate-Term Bond Index Inv Shares	Yes	\$1,001 - \$15,000		\$201 - \$1,000
10.4	Vanguard US Growth Portfolio Fund Investor Shares	Yes	\$1,001 - \$15,000		\$201 - \$1,000
10.5	Vanguard Wellesley Income Fund Investor Shares	Yes	\$1,001 - \$15,000		\$201 - \$1,000
10.6	Vanguard Value Index Fund Instl Shares	Yes	\$1,001 - \$15,000		\$201 - \$1,000
10.7	Vanguard Global Minimum Volatility Fund Investor Shares	Yes	\$1,001 - \$15,000		\$201 - \$1,000
11	Condominium	N/A	\$100,001 - \$250,000		

## 7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Vanguard Equity Income	Purchase	01/25/2016	\$1,001 - \$15,000
2	Vanguard Equity Income	Purchase	02/25/2016	\$1,001 - \$15,000
3	Vanguard Equity Income	Purchase	03/28/2016	\$1,001 - \$15,000
4	Vanguard Equity Income	Purchase	04/25/2016	\$1,001 - \$15,000
5	Vanguard Equity Income	Purchase	05/25/2016	\$1,001 - \$15,000
6	Vanguard Equity Income	Purchase	06/27/2016	\$1,001 - \$15,000
7	Vanguard Equity Income	Purchase	07/25/2016	\$1,001 - \$15,000
8	Vanguard Equity Income	Purchase	08/25/2016	\$1,001 - \$15,000
9	Vanguard Equity Income	Purchase	09/26/2016	\$1,001 - \$15,000
10	Vanguard Equity Income	Purchase	10/25/2016	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
11	Vanguard Equity Income	Purchase	11/25/2016	\$1,001 - \$15,000
12	Vanguard Equity Income	Purchase	12/27/2016	\$1,001 - \$15,000
13	Vanguard Equity Income	Purchase	01/25/2017	\$1,001 - \$15,000
14	Vanguard Equity Income	Purchase	02/27/2017	\$1,001 - \$15,000
15	Vanguard Equity Income	Purchase	03/27/2017	\$1,001 - \$15,000
16	Vanguard Equity Income	Purchase	04/25/2017	\$1,001 - \$15,000
17	Vanguard Equity Income	Purchase	05/25/2017	\$1,001 - \$15,000
18	Vanguard Equity Income	Purchase	06/26/2017	\$1,001 - \$15,000
19	Vanguard 500 Index Admiral Shares	Purchase	04/13/2016	\$15,001 - \$50,000
20	Vanguard Total Stock Market Index Admiral Shares	Purchase	04/13/2016	\$15,001 - \$50,000
21	Federated Instit High-Yield Bond Fund Instit Shares	Purchase	12/16/2016	\$1,001 - \$15,000
22	Federated Instit High-Yield Bond Fund Instit Shares	Purchase	12/16/2016	\$15,001 - \$50,000
23	Vanguard Div Appreciation Index Fund	Purchase	12/16/2016	\$15,001 - \$50,000
24	Lord Abbett Floating Rate Fund	Purchase	12/16/2016	\$1,001 - \$15,000
25	Lord Abbett Floating Rate Fund	Purchase	12/16/2016	\$1,001 - \$15,000
26	Prudential Short-Term Corporate Bd Z	Purchase	12/16/2016	\$1,001 - \$15,000
27	T. Rowe Price Capital Appreciation	Purchase	12/16/2016	\$15,001 - \$50,000
28	Doubleline Core Fixed Income Find	Sale	04/12/2016	\$15,001 - \$50,000
29	T. Rowe Price Floating Rate Fund	Sale	04/12/2016	\$15,001 - \$50,000
30	Calamos Market Neutral income Find Instit	Sale	04/12/2016	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
31	John Hancock Strategic Income Opportunities Fund	Sale	11/10/2016	\$1,001 - \$15,000
32	Vanguard Intermediate -Term Government Bond Index Fund Instit	Sale	12/15/2016	\$1,001 - \$15,000
33	Vanguard Intermediate -Term Government Bond Index Fund Instit	Sale	12/15/2016	\$1,001 - \$15,000
34	Oakmark Equity & Income Fund	Sale	12/15/2016	\$15,001 - \$50,000
35	John Hancock Strategic Income Opportunities Fund	Sale	12/15/2016	\$15,001 - \$50,000
36	John Hancock Strategic Income Opportunities Fund	Sale	12/15/2016	\$15,001 - \$50,000
37	Vanguard Diversified Equity Fund	Sale	12/16/2016	\$15,001 - \$50,000
38	Vanguard Intermediate-Term Bond Index Admiral Shares	Sale	03/15/2017	\$1,001 - \$15,000
39	T. Rowe Price Blue Chip Growth Adv	Purchase	04/12/2016	\$1,001 - \$15,000
40	Vanguard 500 Index Admiral Shares	Purchase	04/12/2016	\$1,001 - \$15,000
41	Vanguard 500 Index Admiral Shares	Purchase	04/13/2016	\$1,001 - \$15,000
42	Vanguard 500 Index Admiral Shares	Purchase	12/16/2016	\$1,001 - \$15,000
43	Lord Abbett Floating Rate Fund	Purchase	12/16/2016	\$15,001 - \$50,000
44	Prudential Short Duration High-Yield Income Fund	Purchase	12/16/2016	\$1,001 - \$15,000
45	Schwab Total Stock Market Index	Purchase	12/19/2016	\$1,001 - \$15,000
46	Invesco Diversified Dividend Fund	Purchase	12/19/2016	\$15,001 - \$50,000
47	Prudential Short Duration High-Yield Income Fund	Purchase	12/19/2016	\$1,001 - \$15,000
48	Vanguard Capital Value Fund	Sale	4/12/2016	\$1,001 - \$15,000
49	T. Rowe Price Floating Rate Fund	Sale	4/12/2016	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
50	Calamos Market Neutral income Find Instit	Sale	4/12/2016	\$15,001 - \$50,000
51	TCW Total Return Bond	Sale	12/15/2016	\$15,001 - \$50,000
52	Ivy Balance Fund CI A	Sale	12/16/2016	\$15,001 - \$50,000
53	Oppenheimer Portfolio Series Equity Investor Fund	Sale	12/16/2016	\$1,001 - \$15,000
54	Ooppenheimer Global Fund A	Sale	12/16/2016	\$1,001 - \$15,000
55	Oppenheimer Total Return Bond Fund A	Sale	12/16/2016	\$1,001 - \$15,000
56	Oppenheimer Total Return Bond B	Sale	12/16/2016	\$1,001 - \$15,000
57	Doubleline Core Fixed Income	Sale	12/16/2016	\$1,001 - \$15,000
58	Doubleline Core Fixed Income	Purchase	04/20/2016	\$15,001 - \$50,000
59	Vanguard Total International Stock Index Fund	Purchase	04/20/2016	\$1,001 - \$15,000
60	Vanguard 500 Index Fund Admiral	Purchase	04/20/2016	\$15,001 - \$50,000
61	Vanguard Total Stock Market Index Fund	Purchase	04/20/2016	\$15,001 - \$50,000
62	Vanguard Mid-Cap Index Fund Investor Shares	Purchase	04/20/2016	\$1,001 - \$15,000
63	Vanguard Intermediate Term Bond Index Fund Admiral Shares	Purchase	04/20/2016	\$15,001 - \$50,000
64	Vanguard Growth Index Fund Instit Shares	Purchase	04/20/2016	\$1,001 - \$15,000
65	Vanguard High-Yield Corporate Fund Admiral Shares	Purchase	12/15/2016	\$1,001 - \$15,000
66	Vanguard Intermediate Term Bond Index Fund Admiral Shares	Sale	12/15/2016	\$1,001 - \$15,000
67	Vanguard Intermediate Term Bond Index Fund Admiral Shares	Sale	03/21/2017	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
68	Vanguard Wellesley Income Fund Investor Shares	Purchase	01/03/2017	\$1,001 - \$15,000
69	Vanguard Mid-Cap Value Index Fund Admiral Shares	Purchase	01/03/2017	\$1,001 - \$15,000
70	Vanguard Value Index Fund Instit Shares	Purchase	01/04/2017	\$1,001 - \$15,000
71	Vanguard Global Minimum Volatility Fund Investor Shares	Purchase	01/04/2017	\$1,001 - \$15,000
72	Ivy Core International Core Equity Fund	Sale	01/03/2017	\$1,001 - \$15,000
73	Vanguard Intermediate-Term Bond Index Fund Investor Shares	Sale	01/03/2017	\$1,001 - \$15,000
74	Columbia Contrarian Core C	Sale	01/03/2017	\$1,001 - \$15,000
75	Legg Mason BW Global Opportunities Bd C1	Sale	04/13/2016	\$1,001 - \$15,000
76	AMG Systematic Mid-Cap Value Fund	Sale	04/13/2016	\$1,001 - \$15,000
77	American Beacon Small-Cap Value Fund Instit	Sale	04/13/2016	\$1,001 - \$15,000
78	Eaton Vance Income Fund of Boston C	Sale	04/13/2016	\$1,001 - \$15,000
79	FPA New Income Fund	Sale	04/13/2016	\$1,001 - \$15,000
80	FMI Large-Cap Fund	Sale	04/13/2016	\$1,001 - \$15,000
81	Fidelity Total Bond Fund	Sale	04/13/2016	\$1,001 - \$15,000
82	Harding Loevner Instit Emerging Market Portfolio	Sale	04/13/2016	\$1,001 - \$15,000
83	MFS Growth Fund CL 1	Sale	04/13/2016	\$1,001 - \$15,000
84	AmericanFunds EuroPacific Growth fund Cl F-2	Sale	04/13/2016	\$1,001 - \$15,000
85	John Hancock Disciplined Value Fund CL1	Sale	04/13/2016	\$1,001 - \$15,000
86	Touchstone Mid Cap Growth Y	Sale	04/13/2016	\$1,001 - \$15,000
87	Prudential Short-Term Corporate Bd Z	Sale	04/13/2106	\$1,001 - \$15,000
88	Nuveen Real Estate Securities Fund Cl1	Sale	04/13/2016	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
89	Voya Floating Rate Fund	Sale	04/13/2016	\$1,001 - \$15,000
90	Victory Trevalent International Small-Cap Fund	Sale	04/13/2016	\$1,001 - \$15,000
91	Vanguard Balanced Index Fund Investor Shares	Purchase	04/13/2016	\$15,001 - \$50,000
92	Vanguard 500 Index Fund Investor CL1	Purchase	04/13/2016	\$15,001 - \$50,000
93	Loomis Sayles Global Equity & Income Fund C	Sale	04/12/2016	\$1,001 - \$15,000
94	Oppenheimer Portfolio Series Equity Inv A	Sale	04/12/2016	\$1,001 - \$15,000
95	BlackRock 20/80 Target Investor C	Sale	04/12/2016	\$15,001 - \$50,000
96	Voya Fixed Account	Sale	11/01/2016	\$15,001 - \$50,000
97	Voya Fixed Plus Account	Sale	11/01/2016	\$1,001 - \$15,000
98	American Funds AMCAP R6(40)	Sale	04/27/2016	\$1,001 - \$15,000
99	Principal Real Estate Securities Instit(20)	Sale	04/27/2016	\$1,001 - \$15,000
100	Putnam Inc Fund CI R6(40)	Sale	04/27/2016	\$1,001 - \$15,000
101	Vanguard Total Bond Market Index Admiral Shares	Sale	04/27/2016	\$1,001 - \$15,000
102	Purchased condominium 1427 Northgate Square, Reston, VA	Purchase	10/21/2016	\$100,001 - \$250,000

## 8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	BB&T	Mortgage on Personal Residence	\$250,001 - \$500,000	2011	4	30 Year

## 9. Gifts and Travel Reimbursements

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION	VALUE
1	Battelle Memorial Institute	Columbus, Ohio	Battelle Memorial Institute covered the expenses to fly me to Columbus, Ohio to interview as a Director of their Board.	\$603.28

## Endnotes

PART	#	ENDNOTE
2.	4	Originally CSBA ING Group. Shifted to Voya Financial
2.	4.1	Closed account on 11/01/16 and rolled \$25127 to my TSP account
2.	4.2	On 11/01/16 rolled \$1100 over to my TSP account
2.	5	Closed account on April 27, 2016 and rolled over to TSP
3.	1	Filer erroneously put 1/2007 in prior report.
3.	2	Previously erroneously reported as a 403b plan. I closed this account on April 27, 2016 and rolled the proceedings over to my TSP account
6.	1	Closed account and combined with Robert O. Work IRA B3S
6.	1.2	Sold 4/12/2016 along with Oppenheimer Portfolio Series Equity Inv A (1.8) and Loomis Sayles Global Equity & Inc Fund (1.4) to purchase same amount of Vanguard 500 Index Fund Investor CL1 (1.12) and Vanguard Balanced Index Fund Investor Shares (1.13).
6.	3	Spouse PPS Roth IRA Account B8G closed; rolled over to new Spouse Roth IRA Account B3S (see new entry)
6.	5	Account closed 12/30/2016 and reinvested in New Spouse IRA Acct 2383 (see new entry)
6.	6.3	Withdrew \$160K to purchase a condo on 10/21/2016
6.	6.4	Certificate matured d on 9/12/2016; rolled over to checking
6.	6.5	Certificate matured 9/12/2016; rolled over to checking

# Summary of Contents

## 1. Filer's Positions Held Outside United States Government

Part 1 discloses positions that the filer held at any time during the reporting period (excluding positions with the United States Government). Positions are reportable even if the filer did not receive compensation.

This section does not include the following: (1) positions with religious, social, fraternal, or political organizations; (2) positions solely of an honorary nature; (3) positions held as part of the filer's official duties with the United States Government; (4) mere membership in an organization; and (5) passive investment interests as a limited partner or non-managing member of a limited liability company.

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

Part 2 discloses the following:

- Sources of earned and other non-investment income of the filer totaling more than \$200 during the reporting period (e.g., salary, fees, partnership share, honoraria, scholarships, and prizes)
- Assets related to the filer's business, employment, or other income-generating activities that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in income during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

## 3. Filer's Employment Agreements and Arrangements

Part 3 discloses agreements or arrangements that the filer had during the reporting period with an employer or former employer (except the United States Government), such as the following:

- Future employment
- Leave of absence
- Continuing payments from an employer, including severance and payments not yet received for previous work (excluding ordinary salary from a current employer)
- Continuing participation in an employee welfare, retirement, or other benefit plan, such as pensions or a deferred compensation plan
- Retention or disposition of employer-awarded equity, sharing in profits or carried interests (e.g., vested and unvested stock options, restricted stock, future share of a company's profits, etc.)

## 4. Filer's Sources of Compensation Exceeding \$5,000 in a Year

Part 4 discloses sources (except the United States Government) that paid more than \$5,000 in a calendar year for the filer's services during any year of the reporting period.

The filer discloses payments both from employers and from any clients to whom the filer personally provided services. The filer discloses a source even if the source made its payment to the filer's employer and not to the filer. The filer does not disclose a client's payment to the filer's employer if the filer did not provide the services for which the client is paying.

## **5. Spouse's Employment Assets & Income and Retirement Accounts**

Part 5 discloses the following:

- Sources of earned income (excluding honoraria) for the filer's spouse totaling more than \$1,000 during the reporting period (e.g., salary, consulting fees, and partnership share)
- Sources of honoraria for the filer's spouse greater than \$200 during the reporting period
- Assets related to the filer's spouse's employment, business activities, other income-generating activities that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in income during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's spouse's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF). Amounts of income are not required for a spouse's earned income (excluding honoraria).

## **6. Other Assets and Income**

Part 6 discloses each asset, not already reported, that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in investment income during the reporting period. For purposes of the value and income thresholds, the filer aggregates the filer's interests with those of the filer's spouse and dependent children.

This section does not include the following types of assets: (1) a personal residence (unless it was rented out during the reporting period); (2) income or retirement benefits associated with United States Government employment (e.g., Thrift Savings Plan); and (3) cash accounts (e.g., checking, savings, money market accounts) at a single financial institution with a value of \$5,000 or less (unless more than \$200 of income was produced). Additional exceptions apply. Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

## **7. Transactions**

Part 7 discloses purchases, sales, or exchanges of real property or securities in excess of \$1,000 made on behalf of the filer, the filer's spouse or dependent child during reporting period.

This section does not include transactions that concern the following: (1) a personal residence, unless rented out; (2) cash accounts (e.g., checking, savings, CDs, money market accounts) and money market mutual funds; (3) Treasury bills, bonds, and notes; and (4) holdings within a federal Thrift Savings Plan account. Additional exceptions apply.

## 8. Liabilities

Part 8 discloses liabilities over \$10,000 that the filer, the filer's spouse or dependent child owed at any time during the reporting period.

This section does not include the following types of liabilities: (1) mortgages on a personal residence, unless rented out (limitations apply for PAS filers); (2) loans secured by a personal motor vehicle, household furniture, or appliances, unless the loan exceeds the item's purchase price; and (3) revolving charge accounts, such as credit card balances, if the outstanding liability did not exceed \$10,000 at the end of the reporting period. Additional exceptions apply.

## 9. Gifts and Travel Reimbursements

This section discloses:

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

For purposes of this section, the filer need not aggregate any gift or travel reimbursement with a value of \$150 or less. Regardless of the value, this section does not include the following items: (1) anything received from relatives; (2) anything received from the United States Government or from the District of Columbia, state, or local governments; (3) bequests and other forms of inheritance; (4) gifts and travel reimbursements given to the filer's agency in connection with the filer's official travel; (5) gifts of hospitality (food, lodging, entertainment) at the donor's residence or personal premises; and (6) anything received by the filer's spouse or dependent children totally independent of their relationship to the filer. Additional exceptions apply.

## Privacy Act Statement

Title I of the Ethics in Government Act of 1978, as amended (the Act), 5 U.S.C. app. § 101 et seq., as amended by the Stop Trading on Congressional Knowledge Act of 2012 (Pub. L. 112-105) (STOCK Act), and 5 C.F.R. Part 2634 of the U. S. Office of Government Ethics regulations require the reporting of this information. The primary use of the information on this report is for review by Government officials to determine compliance with applicable Federal laws and regulations. This report may also be disclosed upon request to any requesting person in accordance with sections 105 and 402(b)(1) of the Act or as otherwise authorized by law. You may inspect applications for public access of your own form upon request. Additional disclosures of the information on this report may be made: (1) to any requesting person, subject to the limitation contained in section 208(d)(1) of title 18, any determination granting an exemption pursuant to sections 208(b)(1) and 208(b)(3) of title 18; (2) to a Federal, State, or local law enforcement agency if the disclosing agency becomes aware of violations or potential violations of law or regulation; (3) to another Federal agency, court or party in a court or Federal administrative proceeding when the Government is a party or in order to comply with a judge-issued subpoena; (4) to a source when necessary to obtain information relevant to a conflict of interest investigation or determination; (5) to the National Archives and Records Administration or the General Services Administration in records management inspections; (6) to the Office of Management and Budget during legislative coordination on private relief legislation; (7) to the Department of Justice or in certain legal proceedings when the disclosing agency, an employee of the disclosing agency, or the United States is a party to litigation or has an interest in the litigation and the use of such records is deemed relevant and necessary to the litigation; (8) to reviewing officials in a new office, department or agency when an employee transfers or is detailed from one covered position to another; (9) to a Member of Congress or a congressional office in response to an inquiry made on behalf of an individual who is the subject of the record; (10) to contractors and other non-Government employees working on a contract, service or assignment for the Federal Government when necessary to accomplish a function related to an OGE Government-wide system of records; and (11) on the OGE Website and to any person, department or agency, any written ethics agreement filed with OGE by an individual nominated by the President to a position requiring Senate confirmation. See also the OGE/GOVT-1 executive branch-wide Privacy Act system of records.

## Public Burden Information

This collection of information is estimated to take an average of three hours per response, including time for reviewing the instructions, gathering the data needed, and completing the form. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Program Counsel, U.S. Office of Government Ethics (OGE), Suite 500, 1201 New York Avenue, NW., Washington, DC 20005-3917.

Pursuant to the Paperwork Reduction Act, as amended, an agency may not conduct or sponsor, and no person is required to respond to, a collection of information unless it displays a currently valid OMB control number (that number, 3209-0001, is displayed here and at the top of the first page of this OGE Form 278e).

---