

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

Filer's Information

Raskin, Sarah B

Deputy Secretary, Department of the Treasury

Date of Termination: 01/20/2017

Other Federal Government Positions Held During the Preceding 12 Months:

None

Electronic Signature - I certify that the statements I have made in this form are true, complete and correct to the best of my knowledge.

/s/ Raskin, Sarah B [electronically signed on 02/21/2017 by Raskin, Sarah B 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/ Horton, Elizabeth A, Certifying Official [electronically signed on 04/20/2017 by Horton, Elizabeth A in Integrity.gov]

Other review conducted by

/s/ Riesen, Peter, Ethics Official [electronically signed on 04/14/2017 by Riesen, Peter in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Rounds, Emory, Certifying Official [electronically signed on 04/21/2017 by Rounds, Emory in Integrity.gov]

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	PBLB, LLC	Greenwich, Connecticut	Corporation	Manager	12/2012	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	TIAA-CREF TRUST CO CASH DEPOSIT ACCT	N/A	\$100,001 - \$250,000	Interest	\$201 - \$1,000
2	FIDELITY ADV EMERGING MKTS INC FD-I	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3	DFA INFLATION PROTECTED SEC FUND	Yes	\$15,001 - \$50,000		None (or less than \$201)
4	FEDERATED TOTAL RETURN BOND FUND-IN	Yes	\$1,001 - \$15,000		\$201 - \$1,000
5	VANGUARD BD INDEX FD INC	Yes	\$15,001 - \$50,000		\$201 - \$1,000
6	VANGUARD S/T BOND INDEX-ADM	Yes	\$15,001 - \$50,000		None (or less than \$201)
7	TIAA-CREF HIGH YIELD FD INST CL	Yes	\$15,001 - \$50,000		\$201 - \$1,000
8	COHEN & STEERS REAL ESTATE SEC I	Yes	\$15,001 - \$50,000		\$201 - \$1,000
9	DIAMOND HILL LONG/SHORT-I	Yes	\$15,001 - \$50,000		None (or less than \$201)
10	JOHN HANCOCK III INT GRW I	Yes	None (or less than \$1,001)		\$15,001 - \$50,000
11	DFA EMERGING MARKETS PORT	Yes	\$15,001 - \$50,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12	DFA INTL SMALL CAP VALUE PT	Yes	\$15,001 - \$50,000		\$201 - \$1,000
13	DFA LARGE CAP INTL PORTFOLIO	Yes	\$15,001 - \$50,000		\$201 - \$1,000
14	ISHARES RUSSELL 1000 GROWTH ETF	Yes	\$50,001 - \$100,000		\$201 - \$1,000
15	ISHARES RUSSELL 1000 VALUE ETF	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
16	VANGUARD IND FD MID-CAP	Yes	\$50,001 - \$100,000		\$201 - \$1,000
17	VANGUARD SMALL-CAP ETF	Yes	\$15,001 - \$50,000		\$201 - \$1,000
18	FID Growth Co Pool	Yes	\$15,001 - \$50,000		None (or less than \$201)
19	Fimm Mmkt	N/A	\$1,001 - \$15,000		None (or less than \$201)
20	Columbia Pipeline Group - Defined Benefit Plan (inc. CPG stock fund)	See Endnote	N/A		\$50,001 - \$100,000

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Agentrics, LLC		This was an existing 401K plan. No further contributions by employer or filer were made during this period. 401K was involuntarily terminated on 10/19/2016. Lump sum payout was provided.	2/2001
2	Nisource		This was an existing 401K plan. No further contributions by employer or filer were made during this period. NiSource 401K was involuntarily rolled into CPG plan prior to termination of CPG.	5/1998
3	Columbia Pipeline Group - Defined Benefit Plan	Houston, Texas	Columbia Pipeline Group (CPG) accounts were involuntarily terminated due to company merger. Lump sum payout was provided.	5/1998

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-CREF TRUST CO CASH DEPOSIT ACCT	N/A	\$1,001 - \$15,000		None (or less than \$201)
2	FIDELITY ADV EMERGING MKTS INC FD-I	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3	DFA INFLATION PROTECTED SEC FUND	Yes	\$1,001 - \$15,000		None (or less than \$201)
4	FEDERATED TOTAL RETURN BOND FUND-IN	Yes	\$1,001 - \$15,000		None (or less than \$201)
5	VANGUARD BD INDEX FD INC	Yes	\$1,001 - \$15,000		None (or less than \$201)
6	VANGUARD S/T BOND INDEX-ADM	Yes	\$1,001 - \$15,000		None (or less than \$201)
7	TIAA-CREF HIGH YIELD FD INST CL	Yes	\$1,001 - \$15,000		\$201 - \$1,000
8	COHEN & STEERS REAL ESTATE SEC I	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
9	DIAMOND HILL LONG/SHORT-I	Yes	\$1,001 - \$15,000		None (or less than \$201)
10	TIAA-CREF GROWTH & INC FD INST CL	Yes	None (or less than \$1,001)		\$15,001 - \$50,000
11	JOHN HANCOCK III INT GRW I	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
12	DFA EMERGING MARKETS PORT	Yes	\$1,001 - \$15,000		\$201 - \$1,000
13	DFA INTL SMALL CAP VALUE PT	Yes	\$1,001 - \$15,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
14	DFA LARGE CAP INTL PORTFOLIO	Yes	\$1,001 - \$15,000		None (or less than \$201)
15	ISHARES RUSSELL 1000 GROWTH ETF	Yes	\$15,001 - \$50,000		\$201 - \$1,000
16	ISHARES RUSSELL 1000 VALUE ETF	Yes	\$15,001 - \$50,000		\$201 - \$1,000
17	VANGUARD IND FD MID-CAP	Yes	\$15,001 - \$50,000		\$201 - \$1,000
18	VANGUARD SMALL-CAP ETF	Yes	\$15,001 - \$50,000		\$201 - \$1,000
19	TIAA Traditional	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
20	CREF Stock R2	Yes	\$50,001 - \$100,000		None (or less than \$201)
21	CREF Global Equities R2	Yes	\$100,001 - \$250,000		None (or less than \$201)
22	TIAA-CREF International Equity Fund - Institutional Class	Yes	None (or less than \$1,001)		\$15,001 - \$50,000
23	TIAA-CREF Large-Cap Value Fund - Institutional Class	Yes	None (or less than \$1,001)		\$100,001 - \$1,000,000
24	TIAA-CREF Mid-Cap Value Fund - Institutional Class	Yes	None (or less than \$1,001)		\$100,001 - \$1,000,000
25	TIAA-CREF Small-Cap Equity Fund - Institutional Class	Yes	None (or less than \$1,001)		\$100,001 - \$1,000,000
26	TIAA-CREF International Equity Index Fund - Institutional Class	Yes	None (or less than \$1,001)		\$100,001 - \$1,000,000
27	TIAA-CREF Large-Cap Value Index Fund - Institutional Class	Yes	None (or less than \$1,001)		\$100,001 - \$1,000,000
28	TIAA-CREF Real Estate Securities Fund - Institutional Class	Yes	None (or less than \$1,001)		\$15,001 - \$50,000
29	TIAA Real Estate	Yes	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
30	TIAA-CREF Bond Fund - Institutional Class	Yes	None (or less than \$1,001)		\$50,001 - \$100,000
31	CREF Social Choice R2	Yes	\$1,001 - \$15,000		None (or less than \$201)
32	FID Growth Co K	Yes	\$1,001 - \$15,000		\$15,001 - \$50,000
33	FID Magellan K	Yes	\$1,001 - \$15,000		None (or less than \$201)
34	FID Europe	Yes	\$1,001 - \$15,000		\$2,501 - \$5,000
35	FID Pacific Basin	Yes	\$1,001 - \$15,000		\$5,001 - \$15,000
36	State of MD, defined benefit plan (value not readily ascertainable)	N/A			None (or less than \$201)
37	American University	N/A		salary	
38	State of Maryland	N/A		salary	
39	We the Students (book) ; SAGE Publications, Inc./CQ Press (Publisher)	N/A		Royalties	
40	People for the American Way	N/A		consulting fees	

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	TIAA-CREF TRUST CO CASH DEPOSIT ACCT	N/A	\$1,001 - \$15,000		None (or less than \$201)
2	FIDELITY ADV EMERGING MKTS INC FD-I	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3	VANGUARD HI YIELD T/E FD-ADMIRAL	Yes	\$1,001 - \$15,000		None (or less than \$201)
4	VANGUARD LONG-TERM TAX-EXEMPT FD-ADM	Yes	\$1,001 - \$15,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5	WELLS FARGO ULTRA S/T MUN-IS	Yes	\$1,001 - \$15,000		None (or less than \$201)
6	VANGUARD GROWTH INDEX FD ADM	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
7	VANGUARD LARGE CAP IDX-ADM	Yes	\$15,001 - \$50,000		\$201 - \$1,000
8	VANGUARD VALUE INDEX FD ADM	Yes	\$15,001 - \$50,000		\$201 - \$1,000
9	JOHN HANCOCK III INT GRW I	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
10	DFA INTL SMALL CAP VALUE PT	Yes	\$1,001 - \$15,000		\$201 - \$1,000
11	DFA LARGE CAP INTL PORTFOLIO	Yes	\$1,001 - \$15,000		None (or less than \$201)
12	COLUMBIA ACORN FUND-Z	Yes	\$100,001 - \$250,000		\$50,001 - \$100,000
13	COLUMBIA SMALL CAP GROWTH FUND-A	Yes	\$50,001 - \$100,000		\$50,001 - \$100,000
14	DFA LARGE CAP INTL PORTFOLIO	Yes	\$1,001 - \$15,000		None (or less than \$201)
15	Rental Property, Takoma Park, MD	N/A	\$100,001 - \$250,000	Rent or Royalties	\$5,001 - \$15,000
16	Bank of America (CDs)	N/A	\$50,001 - \$100,000		None (or less than \$201)
17	Harvard University Employees Credit Union	N/A	\$1,001 - \$15,000		None (or less than \$201)
18	Synchrony Bank (CDs, money market) (formerly GE Retail Capital Bank)	N/A	\$100,001 - \$250,000	Interest	\$1,001 - \$2,500
19	Bank of America (Checking)	N/A	\$1,001 - \$15,000		None (or less than \$201)
20	AT&T Corporation (Common Stock)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
21	Source Capital, Inc.	Yes	\$1,001 - \$15,000		None (or less than \$201)
22	Bank of America (savings)	N/A	\$15,001 - \$50,000		None (or less than \$201)
23	Aberdeen International Equity Fund (Mutual Fund), UTMA	Yes	\$1,001 - \$15,000		\$201 - \$1,000
24	Janus Global Research Fund D (Mutual Fund), UTMA	Yes	\$100,001 - \$250,000		\$201 - \$1,000
25	Beneficiary Distribution from Inherited Retirement Account	N/A	None (or less than \$1,001)		\$5,001 - \$15,000
26	CitiBank - 5-Year Retirement CD	N/A	\$1,001 - \$15,000		None (or less than \$201)
27	Touchstone Focused Fund Class Y	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
28	CIT Bank (formerly OneWest Bank, FSB) (CDs)	No	\$1,001 - \$15,000		None (or less than \$201)
29	Bank of America, NA (Savings), UTMA	N/A	\$1,001 - \$15,000		None (or less than \$201)
30	Wells Fargo Advantage Money Market (Mutual Fund)	Yes	\$1,001 - \$15,000		None (or less than \$201)
31	Baron Asset Fund (Mutual Fund), UTMA	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
32	Vanguard Variable Annuity (DVA) Equity Index	Yes	\$50,001 - \$100,000		None (or less than \$201)
33	Vanguard Variable Annuity (DVA) Mid-Cap Index	Yes	\$100,001 - \$250,000		None (or less than \$201)
34	Agentrics (now NeoGrid), LLC 401k Plan, Royce Opportunity Inv	Yes	None (or less than \$1,001)		\$50,001 - \$100,000
35	Agentrics (now NeoGrid), LLC 401k Plan, Royce Value Plus (became Wasatch Core Growth)	Yes	None (or less than \$1,001)		\$50,001 - \$100,000
36	MD SRP, American Euro Pacific Growth	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
37	MD SRP, American Growth Fund of America	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
38	MD SRP, T. Rowe Price Small Cap Stock Fund	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
39	MD SRP, T. Rowe Price Mid Cap Value Fund	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
40	MD SRP, Vanguard Institutional Index Fund	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
41	NiSource Stock Fund	No	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
42	Fidelity Magellan	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
43	Fidelity Money Market Fund	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
44	Wells Fargo Sweep Account (cash)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
45	IBM Common	N/A	\$1,001 - \$15,000		None (or less than \$201)
46	Maryland 529 (portfolio for college)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
47	Maryland 529 (portfolio for college)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
48	HGTT LLC (house, Westport, CT)	N/A	\$250,001 - \$500,000		None (or less than \$201)
49	Connecticut Higher Education Trust	N/A	\$15,001 - \$50,000		None (or less than \$201)
50	Federated Capital Reserves (Money Market)	N/A	\$15,001 - \$50,000		None (or less than \$201)
51	Abbott Labs Com (common stock)	No	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
52	Abbvie Inc Com (common stock)	No	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
53	Alphabet Inc Cap Stk CL C	No	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
54	Anthem Inc (common stock)	No	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
55	Bank Amer Corp (common stock)	No	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
56	Baxalta Inc (common stock)	No	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
57	Baxter Intl Inc (common stock)	No	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
58	Bemis Co Inc (common stock)	No	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
59	Biogen IDEC Inc (common stock)	No	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
60	Bristol Myers Squibb Co (common stock)	No	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
61	Chevron Corp New (common stock)	No	None (or less than \$1,001)	Capital Gains Dividends	\$5,001 - \$15,000
62	Citigroup Inc (common stock)	No	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
63	Colgate Palmolive Co (common stock)	No	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
64	ConocoPhillips (common stock)	No	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
65	Exxon Mobil Corp (common stock)	No	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
66	FireEye, Inc. - Common Stock	No	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
67	General Electric Co (common stock)	No	None (or less than \$1,001)	Dividends Capital Gains	\$15,001 - \$50,000
68	Genworth Finl Inc Com CL A	No	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
69	GlaxoSmithKline PLC Spons ADR	No	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
70	Johnson & Johnson (common stock)	No	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
71	MPLX LP COM UNIT REPSTG LTD PARTNER	No	None (or less than \$1,001)	Dividends Capital Gains	\$2,501 - \$5,000
72	Martin Midstream Partners LP UNIT (common stock)	No	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
73	PepsiCo (common stock)	No	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
74	Procter & Gamble (common stock)	No	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
75	Radian Group (common stock)	No	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
76	Siemens A G Sponsored ADR	No	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
77	3M (common stock)	No	None (or less than \$1,001)	Dividends Capital Gains	\$15,001 - \$50,000
78	Verizon Communications (common stock)	No	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
79	Vodafone Group PLC New Sponsored ADR	No	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
80	Wells Fargo & Co New COM	No	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
81	Deutsche BK Contingent CAP TR (preferred stock)	No	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
82	iShares INC MSCI Singapore ETF	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
83	iSHARES INC MSCI Hong Kong ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
84	iSHARES TR Select DIVID ETF FD	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
85	Vanguard Specialized Portfolios Dividend (ETF)	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
86	Vanguard World FDS Vanguard Health Care	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
87	Vanguard World FDS Vanguard Information (ETF)	Yes	\$1,001 - \$15,000		\$2,501 - \$5,000
88	Vanguard Index FDS Vanguard Growth ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
89	NextEra Energy Inc (common stock)	No	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
90	Shire PLC	No	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
91	SELECT SECTOR SPDR TR CONSUMER DISCRETIONARY	Yes	\$1,001 - \$15,000		None (or less than \$201)
92	VANGUARD INDEX FDS VANGUARD VALUE ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
93	VANGUARD WORLDS FDS VANGUARD ENERGY ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
94	VANGUARD WORLD FDS VANGUARD MATLS ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
95	VANGUARD WORLD FDS VANGUARD FINLS ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
96	ISHARES TR S&P U S PFD STK INDEX FD	Yes	\$15,001 - \$50,000		None (or less than \$201)
97	SELECT SECTOR SPDR TR UTILS	Yes	\$1,001 - \$15,000		None (or less than \$201)
98	VANGUARD SPECIALIZEDPORTFOLIOS DIVIDEND APPRECIATION INDEX FD ETF	Yes	\$15,001 - \$50,000		None (or less than \$201)
99	John Hancock Disciplnd VAL R6	Yes	\$100,001 - \$250,000		None (or less than \$201)
100	Harbor Capital Appr Inst	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
101	MFS Mid Cap Value R6	Yes	\$50,001 - \$100,000		None (or less than \$201)
102	Vang Extended Mkt Idx Adm	Yes	\$50,001 - \$100,000		None (or less than \$201)
103	Vang Ttl Intl Stk Idx Adm	Yes	\$100,001 - \$250,000		None (or less than \$201)
104	Vang Target Ret 2025 Inv	Yes	\$15,001 - \$50,000		None (or less than \$201)
105	Metropolitan TotRet B Pln	Yes	\$50,001 - \$100,000		None (or less than \$201)

7. Transactions

#	DESCRIPTION		TYPE	DATE	AMOUNT
1	CPG Stock Fund	See Endnote	Purchase	07/01/2015	\$1,001 - \$15,000
2	GENERAL ELECTRIC CO COM		Sale	08/04/2016	\$15,001 - \$50,000
3	BIOGEN IDEC INC COM		Sale	08/04/2016	\$15,001 - \$50,000
4	3M CO COM		Sale	08/04/2016	\$15,001 - \$50,000
5	EXXON MOBIL CORP COM		Sale	08/04/2016	\$1,001 - \$15,000
6	ABBVIE INC COM		Sale	02/08/2016	\$1,001 - \$15,000
7	ALPHABET INC CAP STKCL C		Sale	08/04/2016	\$1,001 - \$15,000
8	ABBOTT LABS COM		Sale	08/04/2016	\$1,001 - \$15,000
9	CHEVRON CORP NEW COM		Sale	08/04/2016	\$1,001 - \$15,000
10	COLGATE PALMOLIVE COCOM		Sale	08/04/2016	\$1,001 - \$15,000
11	PROCTER & GAMBLE CO COM		Sale	08/04/2016	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
12	DEUTSCHE BK	Sale	08/04/2016	\$1,001 - \$15,000
13	BEMIS CO INC COM	Sale	08/04/2016	\$1,001 - \$15,000
14	ANTHEM INC COM	Sale	08/04/2016	\$1,001 - \$15,000
15	JOHNSON & JOHNSON COM	Sale	08/04/2016	\$1,001 - \$15,000
16	VANGUARD WORLD FDS VANGUARD HEALTH CAREETF	Sale	02/08/2016	\$1,001 - \$15,000
17	PEPSICO INC COM	Sale	08/04/2016	\$1,001 - \$15,000
18	NEXTERA ENERGY INC COM	Sale	08/04/2016	\$1,001 - \$15,000
19	AT&T INC COM	Sale	08/04/2016	\$1,001 - \$15,000
20	VERIZON COMMUNICATIONS INC COM	Sale	08/04/2016	\$1,001 - \$15,000
21	BRISTOL MYERS SQUIBBCO COM	Sale	08/04/2016	\$1,001 - \$15,000
22	VANGUARD SPECIALIZEDPORTFOLIOS DIVIDEND APPRECIATION INDEX FD ETF	Sale	02/08/2016	\$1,001 - \$15,000
23	BAXTER INTL INC COM	Sale	08/04/2016	\$1,001 - \$15,000
24	WELLS FARGO & CO NEW COM	Sale	08/04/2016	\$1,001 - \$15,000
25	SIEMENS A G	Sale	08/04/2016	\$1,001 - \$15,000
26	RADIAN GROUP INC COM	Sale	01/15/2016	\$1,001 - \$15,000
27	MPLX LP COM UNIT	Sale	01/11/2016	\$1,001 - \$15,000
28	BANK AMER CORP COM	Sale	08/04/2016	\$1,001 - \$15,000
29	VANGUARD WORLD FDS VANGUARD INFORMATIONTECHNOLOGY ETF	Sale	01/15/2016	\$1,001 - \$15,000
30	GLAXOSMITHKLINE PLC SPONS ADR	Sale	08/04/2016	\$1,001 - \$15,000
31	Shire plc	Sale	08/04/2016	\$1,001 - \$15,000
32	BAXALTA INC COM	Sale	07/25/2016	\$1,001 - \$15,000
33	CONOCOPHILLIPS COM	Sale	8/4/2016	\$1,001 - \$15,000
34	VODAFONE GROUP PLC	Sale	1/11/2016	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
35	ISHARES INC MSCI SINGAPORE ETF	Sale	8/4/2016	\$1,001 - \$15,000
36	MERGER SECURITY EXCHANGED: BAXALTA INC COM // SHIRE PLC	Exchange	06/03/2016	\$1,001 - \$15,000
37	MARTIN MIDSTREAM PARTNERS	Sale	01/15/2016	\$1,001 - \$15,000
38	FIREEYE INC COM	Sale	01/15/2016	\$1,001 - \$15,000
39	CITIGROUP INC	Sale	08/04/2016	\$1,001 - \$15,000
40	SELECT SECTOR SPDR TR CONSUMER DISCRETIONARY	Purchase	03/30/2016	\$1,001 - \$15,000
41	SHIRE PLC	Purchase	07/25/2016	\$1,001 - \$15,000
42	NEXTERA ENERGY INC COM	Purchase	01/27/2016	\$1,001 - \$15,000
43	VANGUARD INDEX FDS VANGUARD VALUE ETF	Purchase	11/01/2016	\$1,001 - \$15,000
44	VANGUARD WORLDS FDS VANGUARD ENERGY ETF	Purchase	03/30/2016	\$1,001 - \$15,000
45	VANGUARD WORLD FDS VANGUARD MATLS ETF	Purchase	11/11/2016	\$1,001 - \$15,000
46	VANGUARD WORLD FDS VANGUARD INFORMATIONTECHNOLOGY ETF	Purchase	11/01/2016	\$1,001 - \$15,000
47	VANGUARD WORLD FDS VANGUARD FINLS ETF	Purchase	11/11/2016	\$1,001 - \$15,000
48	ISHARES TR S&P U S PFD STK INDEX FD	Purchase	01/27/2016	\$1,001 - \$15,000
49	SELECT SECTOR SPDR TR UTILS	Purchase	01/27/2016	\$1,001 - \$15,000
50	ISHARES TR S&P U S PFD STK INDEX FD	Purchase	10/24/2016	\$15,001 - \$50,000
51	VANGUARD SPECIALIZEDPORTFOLIOS DIVIDEND APPRECIATION INDEX FD ETF	Purchase	11/01/2016	\$15,001 - \$50,000
52	DFA EMERGING MARKETS PORT	Purchase	12/28/2016	\$1,001 - \$15,000
53	AMERICAN EUROPACIFIC GRTH	Purchase	10/31/2016	\$1,001 - \$15,000
54	JOHN HANCOCK III-INT GRW-I	Sale	10/31/2016	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
55	VANGUARD SMALL-CAP ETF	Purchase	4/29/2016	\$1,001 - \$15,000
56	TIAA-CREF GROWTH & INC FD INST CL	Purchase	4/27/2016	\$1,001 - \$15,000
57	DFA LARGE CAP INTL PORTFOLIO	Purchase	4/27/2016	\$1,001 - \$15,000
58	VANGUARD HI YIELD T/E FD-ADMIRAL	Purchase	12/28/2016	\$1,001 - \$15,000
59	DFA LARGE CAP INTL PORTFOLIO	Purchase	12/28/2016	\$1,001 - \$15,000
60	JOHN HANCOCK III-INT GRW-I	Sale	12/28/2016	\$1,001 - \$15,000
61	VANGUARD GROWTH INDEX FD ADM	Sale	4/20/2016	\$1,001 - \$15,000
62	ISHARES RUSSELL 1000 VALUE ETF	Purchase	12/30/2016	\$1,001 - \$15,000
63	ISHARES RUSSELL 1000 GROWTH ETF	Purchase	12/30/2016	\$1,001 - \$15,000
64	DFA LARGE CAP INTL	Purchase	12/28/2016	\$1,001 - \$15,000
65	DFA INTL SMALL CAP VALUE PT	Purchase	12/28/2016	\$1,001 - \$15,000
66	DFA EMERGING MARKETS PORT	Purchase	12/28/2016	\$1,001 - \$15,000
67	ISHARES RUSSELL 1000 VALUE ETF	Purchase	6/3/2016	\$1,001 - \$15,000
68	ISHARES RUSSELL 1000 GROWTH ETF	Purchase	6/3/2016	\$1,001 - \$15,000
69	DFA EMERGING MARKETS PORT	Purchase	6/1/2016	\$1,001 - \$15,000
70	ISHARES RUSSELL 1000 VALUE ETF	Purchase	2/24/2016	\$15,001 - \$50,000
71	ISHARES RUSSELL 1000 GROWTH ETF	Purchase	2/24/2016	\$15,001 - \$50,000
72	DFA LARGE CAP INTL PORTFOLIO	Purchase	2/22/2016	\$1,001 - \$15,000
73	DFA INTL SMALL CAP VALUE	Purchase	2/22/2016	\$1,001 - \$15,000
74	DFA EMERGING MARKETS PORT	Purchase	12/28/2016	\$1,001 - \$15,000
75	VANGUARD SMALL-CAP ETF	Purchase	11/16/2016	\$1,001 - \$15,000
76	VANGUARD IND FD MID-CAP	Purchase	11/16/2016	\$1,001 - \$15,000
77	ISHARES RUSSELL 1000 VALUE ETF	Purchase	11/16/2016	\$1,001 - \$15,000
78	ISHARES RUSSELL 1000 GROWTH ETF	Purchase	11/16/2016	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
79	VANGUARD SMALL-CAP ETF	Purchase	11/14/2016	\$1,001 - \$15,000
80	VANGUARD S/T BOND INDEX-ADM	Purchase	11/14/2016	\$1,001 - \$15,000
81	VANGUARD IND FD MID-CAP	Purchase	11/14/2016	\$1,001 - \$15,000
82	VANGUARD BD INDEX FD INC	Purchase	11/14/2016	\$1,001 - \$15,000
83	TIAA-CREF HIGH YIELD FD INST CL	Purchase	11/14/2016	\$1,001 - \$15,000
84	TIAA-CREF GROWTH & INC FD INST CL	Purchase	11/14/2016	\$1,001 - \$15,000
85	ISHARES RUSSELL 1000 VALUE ETF	Purchase	11/14/2016	\$1,001 - \$15,000
86	ISHARES RUSSELL 1000 GROWTH ETF	Purchase	11/14/2016	\$1,001 - \$15,000
87	FIDELITY ADV EMRG MKTS INC	Purchase	11/14/2016	\$1,001 - \$15,000
88	DFA INTL SMALL CAP VALUE PT	Purchase	11/14/2016	\$1,001 - \$15,000
89	DFA INFLATION PROTECTED SEC FUND	Purchase	11/14/2016	\$1,001 - \$15,000
90	DFA EMERGING MARKETS PORT	Purchase	11/14/2016	\$1,001 - \$15,000
91	COHEN & STEERS REAL ESTATE SEC I	Purchase	11/14/2016	\$1,001 - \$15,000
92	AMERICAN EUROPACIFIC GRTH-F2	Purchase	11/14/2016	\$1,001 - \$15,000
93	VANGUARD S/T BOND INDEX-ADM	Purchase	11/9/2016	\$1,001 - \$15,000
94	VANGUARD BD INDEX FD INC	Purchase	11/9/2016	\$1,001 - \$15,000
95	TIAA-CREF HIGH YIELD FD INST CL	Purchase	11/9/2016	\$1,001 - \$15,000
96	TIAA-CREF GROWTH & INC FD INST CL	Purchase	11/9/2016	\$1,001 - \$15,000
97	FIDELITY ADV EMRG MKTS INC-I	Purchase	11/9/2016	\$1,001 - \$15,000
98	DIAMOND HILL LONG/SHORT-I	Purchase	11/9/2016	\$1,001 - \$15,000
99	DFA LARGE CAP INTL PORTFOLIO	Purchase	11/9/2016	\$1,001 - \$15,000
100	DFA INTL SMALL CAP VALUE PT	Purchase	11/9/2016	\$1,001 - \$15,000
101	DFA INFLATION PROTECTED SEC FUND	Purchase	11/9/2016	\$1,001 - \$15,000
102	DFA EMERGING MARKETS PORT	Purchase	11/9/2016	\$1,001 - \$15,000
103	COHEN & STEERS REAL ESTATE SEC I	Purchase	11/9/2016	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
104	AMERICAN EUROPACIFIC GRTH-F2	Purchase	10/31/2016	\$15,001 - \$50,000
105	JOHN HANCOCK III-INT GRW-I	Sale	10/31/2016	\$15,001 - \$50,000
106	ISHARES RUSSELL 1000 GROWTH ETF	Purchase	9/21/2016	\$1,001 - \$15,000
107	DFA INTL SMALL CAP VALUE PT	Purchase	9/19/2016	\$1,001 - \$15,000
108	TIAA-CREF GROWTH & INC FD INST CL	Purchase	6/14/2016	\$1,001 - \$15,000
109	DFA INFLATION PROTECTED SEC FUND	Purchase	1/6/17	\$1,001 - \$15,000
110	FIDELITY ADV EMRG MKTS INC-I	Purchase	1/6/17	\$1,001 - \$15,000
111	VANGUARD HI YIELD T/E FD-ADMIRAL	Purchase	1/6/17	\$1,001 - \$15,000
112	John Hancock Disciplnd VAL R6	Purchase	1/5/2017	\$1,001 - \$15,000
113	American EuroPac Grw R6	Purchase	10/14/2016	\$15,001 - \$50,000
114	Harbor Capital Appr Inst	Purchase	10/14/2016	\$15,001 - \$50,000
115	John Hancock Disc Val R6	Purchase	10/14/2016	\$100,001 - \$250,000
116	MFS Mid Cap Value R6	Purchase	10/14/2016	\$50,001 - \$100,000
117	Vang Extended Mkt Idx Adm	Purchase	10/14/2016	\$50,001 - \$100,000
118	Vang Ttl Intl Stk Idx Adm	Purchase	10/14/2016	\$100,001 - \$250,000
119	Vang Target Ret 2025 Inv	Purchase	10/14/2016	\$15,001 - \$50,000
120	Metropolitan TotRet B Pln	Purchase	10/14/2016	\$50,001 - \$100,000
121	T-C Intl Eq-Inst	Sale	10/14/2016	\$15,001 - \$50,000
122	T-C Gr & Inc-Inst	Sale	10/14/2016	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
123	T-C Lg-Cap Val-Inst	Sale	10/14/2016	\$100,001 - \$250,000
124	T-C Mid-Cap Val-Inst	Sale	10/14/2016	\$50,001 - \$100,000
125	T-C Sm-Cap Eq-Inst	Sale	10/14/2016	\$50,001 - \$100,000
126	T-C Intl Eq Idx-Inst	Sale	10/14/2016	\$100,001 - \$250,000
127	T-C Lg-Cap Val Idx-Inst	Sale	10/14/2016	\$100,001 - \$250,000
128	T-C Real Est Secs-Inst	Sale	10/14/2016	\$15,001 - \$50,000
129	T-C Bond-Inst	Sale	10/14/2016	\$50,001 - \$100,000
130	American EuroPac Grw R6	Purchase	10/14/2016	\$1,001 - \$15,000
131	John Hancock Disc Val R6	Purchase	10/14/2016	\$15,001 - \$50,000
132	MFS Mid Cap Value R6	Purchase	10/14/2016	\$1,001 - \$15,000
133	Vang Extended Mkt Idx Adm	Purchase	10/14/2016	\$1,001 - \$15,000
134	Vang Ttl Intl Stk Idx Adm	Purchase	10/14/2016	\$15,001 - \$50,000
135	John Hancock Disc Val R6	Purchase	10/14/2016	\$1,001 - \$15,000
136	Vang Target Ret 2025 Inv	Purchase	10/14/2016	\$1,001 - \$15,000
137	Metropolitan TotRet B Pln	Purchase	10/14/2016	\$1,001 - \$15,000
138	T-C Intl Eq-Inst	Sale	10/14/2016	\$1,001 - \$15,000
139	T-C Lg-Cap Val-Inst	Sale	10/14/2016	\$15,001 - \$50,000
140	T-C Mid-Cap Val-Inst	Sale	10/14/2016	\$1,001 - \$15,000
141	T-C Sm-Cap Eq-Inst	Sale	10/14/2016	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
142	T-C Intl Eq Idx-Inst	Sale	10/14/2016	\$15,001 - \$50,000
143	T-C Lg-Cap Val Idx-Inst	Sale	10/14/2016	\$1,001 - \$15,000
144	T-C Real Est Secs-Inst	Sale	10/14/2016	\$1,001 - \$15,000
145	T-C Bond-Inst	Sale	10/14/2016	\$1,001 - \$15,000

8. Liabilities

None

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
2.	20	Columbia Pipeline Group (CPG) accounts were involuntarily terminated due to company merger. Lump sum payout was provided.
7.	1	The result of a stock split, dividends from NiSource Stock Fund were automatically reinvested in CPG Stock Fund.

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).
