

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Katsas, Gregory

Deputy Counsel to the President, White House

Date of Appointment: 01/21/2017

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/ Katsas, Gregory G [electronically signed on 02/15/2017 by Katsas, Gregory G 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/ Schultz, James D, Certifying Official [electronically signed on 03/31/2017 by Schultz, James D in Integrity.gov]

Other review conducted by

/s/ Schultz, James D, Ethics Official [electronically signed on 03/31/2017 by Schultz, James D in Integrity.gov]

U.S. Office of Government Ethics Certification

Data Revised 03/31/2017

Data Revised 03/30/2017

Data Revised 03/29/2017

Data Revised 03/28/2017

Data Revised 03/24/2017

Data Revised 03/08/2017

Data Revised 03/07/2017

Data Revised 03/06/2017

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Jones Day	Washington, District of Columbia	Law Firm	Partner	11/2009	1/2017
2	National Federation of Independent Business	Washington, District of Columbia	Non-Profit	Advisory Board	1/2015	1/2017
3	Trump for America, Inc.	Washington, District of Columbia	Presidential Transition Team	DOJ/WH Counsel Policy Advisor	11/2016	1/2017
4	Family Trust (Inherited IRA)	Boston, Massachusetts	Trust	Trustee	6/2012	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Jones Day (law firm)	N/A		Partner Compensation	\$3,860,668
2	Jones Day Capital Account	N/A	\$500,001 - \$1,000,000	Interest	\$2,501 - \$5,000
3	Jones Day, defined benefit plan (value not readily ascertainable): eligible for payments at retirement	No		Retirement Payments (annual)	\$28,000
4	Jones Day, (401k) defined contribution plan	No			
4.1	American Funds Growth Fund of Amer R6	Yes	\$250,001 - \$500,000		\$1,001 - \$2,500
4.2	T. Rowe Price Mid-Cap Growth	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
4.3	Vanguard Admiral Treasury Money Market	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.4	Hotchkis & Wiley Mid-Cap Value Fund	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
4.5	Fidelity Institutional Asset Management	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
5	Schwab IRA				
5.1	BE Aerospace (BEAV) (sold)	No	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
5.2	Apple Inc. (covered call) (sold)	No	None (or less than \$1,001)	Ordinary Income	\$1,000
5.3	FireEye Inc. (FEYE) (sold)	No	None (or less than \$1,001)	Capital Gains Dividends	\$201 - \$1,000
5.4	iShares S&P U.S. Preferred Stock Index (sold)	No	None (or less than \$1,001)	Dividends	\$201 - \$1,000
5.5	TrueCar, Inc. - Common Stock (sold)	No	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
5.6	Whiting Petroleum Co (WLL) (sold)	No	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
5.7	Yelp Yelp, Inc.	No	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
5.8	Apple Inc. - Common Stock (sold)	No	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
5.9	Apple Inc. (covered call)	No	None (or less than \$1,001)	Ordinary Income Call Premium	\$210
6	Federalist Society (July 12, 2016)	N/A		Honorarium	\$1,000

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Jones Day Defined Benefit Pension Plan	Washington, District of Columbia	I am vested and will receive this benefit upon retirement until one month prior to death. The benefit will be approximately \$28,000 annually.	10/1992
2	Jones Day Partnership Agreement (Capital Account Return)	Washington, District of Columbia	My capital account was returned to me on the date of my withdrawal from the Firm, per its Partnership Agreement.	11/2009
3	Jones Day Partnership Agreement (Bonus)	Washington, District of Columbia	Bonus payment made upon my withdrawal from Jones Day, payable at the discretion of its Managing Partner under the Jones Day partnership agreement.	1/2017
4	Jones Day 401k Defined Contribution Plan	Washington, District of Columbia	I will continue to participate in this 401k plan. The plan sponsor will not make further contributions after my separation.	10/1992

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	Jones Day (law firm)	Washington, District of Columbia	Partner/Attorney
2	Audax Management Co., LLC	Boston, Massachusetts	Client to which I provided legal services
3	Cardinal Health Inc.	Dublin, Ohio	Client to which I provided legal services
4	Chevron Corporation	San Ramon, California	Client to which I provided legal services
5	Eaton Corporation	Dublin, Outside U.S.	Client to which I provided legal services
6	Laura and John Arnold Foundation	Houston, Texas	Client to which I provided legal services
7	R.J. Reynolds Tobacco Company	Winston Salem, North Carolina	Client to which I provided legal services
8	United Parcel Service	Atlanta, Georgia	Client to which I provided legal services
9	United States House of Representatives	Washington, District of Columbia	Client to which I provided legal services

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
10	First American Financial Corporation	Santa Ana, California	Client to which I provided legal services
11	Proctor & Gamble Company	Cincinnati, Ohio	Client to which I provided legal services

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Schwab Rollover IRA [underlying assets listed below] See Endnote	No	\$500,001 - \$1,000,000		\$100,001 - \$1,000,000
2	8x8 Inc - Common Stock (sold)	No	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
3	Adobe Systems Incorporated - Common Stock (sold)	No	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
4	Amazon.com, Inc. - Common Stock (sold)	No	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
5	Apple Inc. - Common Stock (sold)	No	None (or less than \$1,001)	Capital Gains	\$50,001 - \$100,000
6	Automatic Data Processing, Inc. - Common Stock (sold)	No	None (or less than \$1,001)	Capital Gains Dividends	\$1,001 - \$2,500
7	Brinks Co (BCO) (sold)	No	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
8	Brocade Communications Systems, Inc. - Common Stock (sold)	No	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
9	iShares Nasdaq Biotechnology (covered calls)	No	None (or less than \$1,001)	Ordinary Income	\$2,210
10	Callon Petroleum Co (sold)	No	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
11	Children's Place, Inc. (The) - Common Stock (sold)	No	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
12	Columbia Sportswear Company - Common Stock (sold)	No	None (or less than \$1,001)	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
13	CULP Inc (CFI) (sold)	No	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
14	Duke Energy Corp (sold)	No	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
15	El Pollo Loco Holdings, Inc. - Common Stock (sold)	No	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
16	Francesca's Holdings Corporation - Common Stock (sold)	No	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
17	General Mills, Inc. (sold)	No	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
18	iShares Silver Trust (sold)	No	None (or less than \$1,001)	Capital Gains Interest	\$2,501 - \$5,000
19	Lululemon Athletica, Inc. - Common Stock (sold)	No	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
20	Square, Inc. (sold)	No	None (or less than \$1,001)	Capital Gains Dividends	\$1,001 - \$2,500
21	TrueCar, Inc. - Common Stock (sold)	No	None (or less than \$1,001)	Interest	\$1,001 - \$2,500
22	Twilio Inc. (TWLO) (sold)	No	None (or less than \$1,001)	Capital Gains Dividends	\$15,001 - \$50,000
23	Walt Disney Co (sold)	No	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
24	Whiting Petroleum Co (WLL) (sold)	No	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
25	BHP Billiton Ltd (BHP)	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
26	Apple Inc. - Common Stock	No	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
27	Finisar Corporation - Common Stock (sold)	No	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
28	Las Vegas Sands (LVS)	No	\$15,001 - \$50,000	Dividends	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
29	PACCAR Inc. - Common Stock (sold)	No	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
30	Palo Alto Networks, Inc.	No	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
31	Pan American Silver Corp. - Common Stock	No	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
32	SE Spectra Energy (covered call) (sold)	No	None (or less than \$1,001)	Ordinary Income Call Premium	\$638
33	Spectra Energy Corp (sold)	No	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
34	iShares Nasdaq Biotechnology Index Fund	No	\$15,001 - \$50,000	Capital Gains	\$5,001 - \$15,000
35	FRT Federal Realty Invite Reit (sold)	No	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
36	Ubiquiti Networks, Inc. - Common Stock	No	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
37	Callon Petroleum Company (CPE)	No	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
38	Seagate Technology. - Common Stock (sold)	No	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Schwab 529 # 1	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
1.1	Vanguard Total Stock Fund (VSM PX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
1.2	Invesco Advisors Stable Value Portfolio	Yes	\$1,001 - \$15,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2	Schwab 529 # 2	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
2.1	Vanguard Total Stock Fund (VSMPX)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
2.2	Invesco Advisors Stable Value Portfolio	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3	Western Digital Corporation (Fidelity) - Common Stock (sold)	No	None (or less than \$1,001)	Capital Gains Interest	\$2,501 - \$5,000
4	Stratasys, Ltd. (covered call)	No	None (or less than \$1,001)	Ordinary Income Option Premium	\$903
5	Soda International, Inc.	No	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
6	iShares Silver Trust (covered call)	No	None (or less than \$1,001)	Ordinary Income Option Premium	\$377
7	Newmont Mining Corp (covered call)	No	None (or less than \$1,001)	Ordinary Income Option Premium	\$4,048
8	The Middleby Corporation - Common Stock (sold)	No	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
9	Magna International, Inc.	No	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
10	SPDR Gold Shares (sold)	No	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
11	Rocket Fuel Inc. - Common Stock (sold)	No	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
12	Cabelas, Inc.	No	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
13	BlackRock, Inc. (covered call)	No	None (or less than \$1,001)	Ordinary Income Option Premium	\$1,885
14	Amazon, Inc. (covered call)	No	None (or less than \$1,001)	Ordinary Income Option Premium	\$9,125

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
15	Apple Inc. (covered call)	No	None (or less than \$1,001)	Ordinary Income Option Premium	\$1,250
16	Apple Inc. (Fidelity holding)	No	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
17	Apple Inc. (covered call)	No	None (or less than \$1,001)	Ordinary Income Option Premium	\$259
18	Amazon, Inc.	No	\$100,001 - \$250,000	Capital Gains	\$5,001 - \$15,000
19	Amazon, Inc. (covered call)	No	\$1,001 - \$15,000	Ordinary Income Option Premium	\$4,554
20	BlackRock, Inc. (sold)	No	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
21	BlackRock, Inc. (covered call)	No	None (or less than \$1,001)	Ordinary Income Option Premium	\$2,175
22	Walt Disney Co (sold)	No	None (or less than \$1,001)	Capital Gains Dividends	\$15,001 - \$50,000
23	Walt Disney Co (covered call)	No	None (or less than \$1,001)	Ordinary Income Option Premium	\$1,107
24	SPDR Gold Shares (covered call)	No	None (or less than \$1,001)	Ordinary Income Option Premium	\$385
25	Home Depot, Inc. (sold)	No	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
26	iShares Silver Trust	No	\$15,001 - \$50,000	Capital Gains	\$15,001 - \$50,000
27	iShares Silver Trust (covered call)	No	None (or less than \$1,001)	Ordinary Income Option Premium	\$878

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
28	Stratasys, Ltd. (covered call)	No	None (or less than \$1,001)	Ordinary Income Option Premium	\$337
29	Bond Pennsylvania Turnpike	No	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
30	Bond Las Vegas NV CTFS City Hall	No	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
31	PG&E Corporation	No	None (or less than \$1,001)	Capital Gains Dividends	\$1,001 - \$2,500
32	Johnson & Johnson	No	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
33	Merck & Co Inc	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
34	Coca-Cola Co	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
35	Bristol-Myers Squibb	No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
36	Intel Corporation - Common Stock	No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
37	General Electric Co	No	\$1,001 - \$15,000	Interest	\$1,001 - \$2,500
38	CTBB Quest Corp PFD	No	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
39	Entergy PFD (EAI)	No	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
40	Entergy LA PFD (ELC)	No	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
41	iShares S&P 500 Index	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
42	VIG Vanguard DVD App	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
43	Vanguard 500 Index Admiral Shares	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
44	FMIHX FMI Large Cap	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
45	IJH Oscars care s&p mid etf (sold)	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
46	Dodge & Cox Intl FD (DODFX)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
47	TrueCar, Inc. - Common Stock (sold)	No	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
48	Sasol Limited (SSL)	No	None (or less than \$1,001)	Capital Gains Interest	\$201 - \$1,000
49	Salesforce.com (sold)	No	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
50	Vale SA ADR	No	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
51	Virginia Pre-pay College Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
52	Virginia Pre-pay College Fund		\$15,001 - \$50,000		None (or less than \$201)
53	VA 529 total stock index	Yes	\$15,001 - \$50,000		None (or less than \$201)
54	VA 529 total stock index		\$1,001 - \$15,000	Interest	\$1,001 - \$2,500
55	VA 529 total stock index		\$15,001 - \$50,000	Interest	\$201 - \$1,000
56	VA 529 total stock index		\$15,001 - \$50,000		None (or less than \$201)
57	VA 529 total stock index		\$1,001 - \$15,000		None (or less than \$201)
58	VA 529 total stock index		\$1,001 - \$15,000		None (or less than \$201)
59	VA 529 total stock index		\$1,001 - \$15,000		None (or less than \$201)
60	DexCom, Inc. - Common Stock (sold)	No	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
61	BlackRock, Inc. (sold)	No	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
62	Raytheon Co	No	None (or less than \$1,001)	Capital Gains Dividends	\$201 - \$1,000
63	Hotchkis & Wiley Mid Cap Value	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
64	Fiam Small Cap Core	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
65	T. Rowe Price Mid-Cap Growth	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
66	Fidelity Stock Selector Sm Cp	Yes	\$15,001 - \$50,000		None (or less than \$201)
67	Schwab U.S. Dividend Equity ETF	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
68	Schwab U.S. Broad Market ETF	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
69	Schwab U.S. Large-Cap Value ETF	Yes	\$15,001 - \$50,000		\$201 - \$1,000
70	Schwab U.S. Small-Cap ETF	Yes	\$50,001 - \$100,000		\$201 - \$1,000
71	Schwab U.S. Large-Cap Growth ETF	Yes	\$50,001 - \$100,000		\$201 - \$1,000
72	Schwab U.S. Mid-Cap ETF	Yes	\$50,001 - \$100,000		\$201 - \$1,000
73	Schwab U.S. Large-Cap ETF	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
74	Schwab U.S. Dividend Equity ETF - Schwab dividend equity etf	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
75	U.S. Bank Accounts (cash)	N/A			
75.1	U.S. bank account # 1 (cash)	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
75.2	U.S. bank account # 2 (cash)	N/A	None (or less than \$1,001)	Interest	None (or less than \$201)
75.3	U.S. bank account # 3 (cash)	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
75.4	U.S. bank account # 4 (cash) (trust account)	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
76	Schwab Brokerage Account (spouse)	No			
76.1	Yelp Yelp, Inc. (sold)	No	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
76.2	Amazon.com, Inc. - Common Stock (sold)	No	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
76.3	Boston Beer Company (SAM) (sold)	No	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
76.4	United Rentals, Inc. (URI)	No	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
76.5	Amazon, Inc. (AMZN) (covered calls) (sold)	No	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
77	Schwab Brokerage Account (Joint)	No			
77.1	Apple Inc. - Common Stock	No	\$100,001 - \$250,000	Dividends Capital Gains	\$5,001 - \$15,000
77.2	Apple Inc. (covered call)	No	\$1,001 - \$15,000	Ordinary Income Option Premium	\$3,000
77.3	Francesca's Holdings Corporation - Common Stock (sold)	No	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
77.4	PVH Corp (sold)	No	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
77.5	AT&T Inc	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
77.6	Apple Inc. - Common Stock	No	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
77.7	Apple, Inc. (covered calls) (sold)	No	None (or less than \$1,001)	Ordinary Income Option Premium	\$5,000
77.8	BHP Billiton LTD (BHP)	No	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
77.9	Coca-Cola Co	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
77.10	Duke Energy Corp	No	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
77.11	General Electric Co	No	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
77.12	Intel Corporation - Common Stock	No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
77.13	Johnson & Johnson	No	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000
77.14	Merck & Co Inc	No	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
77.15	Procter & Gamble	No	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
78	Inherited Wells Fargo IRA (in trust for minor children)	No			
78.1	WD-40 Company - Common Stock (sold)	No	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
78.2	Apple Inc. - Common Stock	No	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
78.3	Duk Duke Energy Corp	No	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
78.4	Home Depot, Inc.	No	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
78.5	General Mills, Inc.	No	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
78.6	NetApp, Inc. - Common Stock (sold)	No	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
78.7	Splunk Inc. - Common Stock (sold)	No	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
78.8	Cliffs Natural Resources, Inc. (sold)	No	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
78.9	EMP Energy MS 4.9%	No	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
78.10	AXIS Cap HldGS Ltd	No	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
78.11	iShares S&P 500 Index	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
78.12	iShares S&P MidCap 400 Index	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
78.13	IJR shares core S&P SML ETF	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
78.14	Fidelity Advisor New Insights I	Yes	\$15,001 - \$50,000		\$201 - \$1,000
78.15	HSPCX Finl ins Emerald CI C	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500

7. Transactions

(N/A) - Not required for this type of report

8. Liabilities

None

9. Gifts and Travel Reimbursements

(N/A) - Not required for this type of report

Endnotes

PART	#	ENDNOTE
5.	1	Roll over account from prior employment.

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.

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