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

Filer's Information

Azar, Alex M.

Secretary, Department of Health & Human Services

Other Federal Government Positions Held During the Preceding 12 Months:
None

Names of Congressional Committees Considering Nomination:

- **Committee on Finance**

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/ Azar, Alex M. [electronically signed on 10/23/2017 by Azar, Alex M. 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/ Fischmann, Elizabeth, Certifying Official [electronically signed on 11/15/2017 by Fischmann, Elizabeth in Integrity.gov]

Other review conducted by
/s/ Hall, Randall, Ethics Official [electronically signed on 11/15/2017 by Hall, Randall in Integrity.gov]

U.S. Office of Government Ethics Certification
/s/ Apol, David, Certifying Official [electronically signed on 11/17/2017 by Apol, David in Integrity.gov]

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Lilly USA, LLC		Indianapolis, Indiana	LLC	President	1/2012	1/2017
2	HMS Holdings, Inc.		Irving, Texas	Corporation	Member, Board of Directors	10/2016	Present
3	American Council on Germany		New York, New York	Non-Profit	Member, Board of Directors	12/2010	Present
4	Biotechnology Innovation Organization		Washington, District of Columbia	Non-Profit	Member, Board of Directors; Member, Executive Committee; Co-Chair of Board Standing Committee on Reimbursement	4/2013	1/2017
5	Healthcare Leadership Council		Washington, District of Columbia	Non-Profit	Member, Board of Trustees and Executive Committee, Treasurer	1/2008	1/2017
6	Indianapolis Symphony Society		Indianapolis, Indiana	Non-Profit	Member, Board of Directors	11/2008	Present
7	Seraphim Strategies, LLC		Indianapolis, Indiana	LLC	Chairman and Founder	1/2017	Present
8	Alex M. Azar II Trust	See Endnote	Indianapolis, Indiana	Trust	Trustee	1/2009	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	IRA Roth	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.1	IShares Core S&P 500 ETF (IVV)	Yes	$1,001 - $15,000		None (or less than $201)
1.2	IShares Core S&P Mid-Cap ETF (IJH)	Yes	$1,001 - $15,000		None (or less than $201)
1.3	American Funds Growth Fund of Amer F-1 (GFAFX)	Yes	$50,001 - $100,000		$2,501 - $5,000
1.4	Columbia Contrarian Core (SMGSZ)	Yes	$100,001 - $250,000		$1,001 - $2,500
1.5	Columbia Acorn Z (ACRNX)	Yes	$15,001 - $50,000		$5,001 - $15,000
1.6	Keeley Small Cap Value A (KSCVX)	Yes	$15,001 - $50,000		$1,001 - $2,500
1.7	Dodge & Cox International Stock (DODFX)	Yes	$50,001 - $100,000		$2,501 - $5,000
1.8	Goldman Sachs Strategic Income Instl (GSZIX)	Yes	$100,001 - $250,000		$5,001 - $15,000
1.9	Columbia Value and Restructuring (UMBIX)	Yes	None (or less than $1,001)		$5,001 - $15,000
2	IRA Rollover	No			
2.1	iShares Core S&P Mid-Cap ETF (IJH)	Yes	$100,001 - $250,000		$2,501 - $5,000
2.2	iShares Core S&P Small-Cap ETF (IJR)	Yes	$250,001 - $500,000		$2,501 - $5,000
2.3	iShares S&P 500 Value (IVE)	Yes	$15,001 - $50,000		$201 - $1,000
2.4	Schwab Government money market SWGXX	Yes	$1,001 - $15,000		None (or less than $201)
3	Eli Lilly & Co. 401(k)	No			
3.1	Stable Value Fund	Yes	None (or less than $1,001)		$5,001 - $15,000
3.2	US All Cap Equity - Active	Yes	None (or less than $1,001)		$2,501 - $5,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.3	US All Cap Equity - Index		Yes	None (or less than $1,001)		$201 - $1,000
3.4	International Equity - Active		Yes	None (or less than $1,001)		$1,001 - $2,500
4	Lilly Excess Savings Plan		No			
4.1	Stable Income - Active		Yes	None (or less than $1,001)		$5,001 - $15,000
4.2	US All Cap Equity - Active		Yes	None (or less than $1,001)		$5,001 - $15,000
4.3	US All Cap Equity - Index		Yes	None (or less than $1,001)		$1,001 - $2,500
4.4	International Equity - Active		Yes	None (or less than $1,001)		$5,001 - $15,000
5	Seraphim Strategies, LLC	See Endnote	N/A	$15,001 - $50,000		None (or less than $201)
5.1	Med Impact (booked through World Wide Speaker's Group) - 03/10/2017		N/A		Speaker honorarium	$12,000
5.2	Veeva Systems (booked through World Wide Speaker's Group) - 5/8/17		N/A		Speaking honorarium	$12,000
5.3	National Association of Specialty Pharmacy (booked through World Wide Speaker's Group) - 9/9/17		N/A		Speaking honorarium	$20,000
5.4	Center for Corporate Innovation, Inc. - 3/2/17		N/A		Speaking honorarium	$2,500
6	Lilly USA, LLC		N/A		Severance	$1,600,000
7	Lilly USA, LLC		N/A		Salary/Bonus	$1,996,817
8	Lilly USA, LLC		N/A		Value of various travel reported as income and associated tax gross-up payments.	$16,199

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9	Lilly USA, LLC		N/A		Payment of accrued vacation upon departure.	$5,479
10	Lilly USA, LLC		N/A		Employer match to excess savings plan.	$28,352
11	Lilly USA, LLC		N/A		Distribution of excess savings plan after departure.	$705,073
12	Eli Lilly & Co (LLY)	See Endnote	N/A	None (or less than $1,001)	Dividends Capital Gains	$100,001 - $1,000,000
13	Lilly USA, LLC		N/A		Contributions to health savings account.	$1,600
14	Eli Lilly and Company Defined Benefit Plan (Nonqualified)		N/A	$500,001 - $1,000,000		None (or less than $201)
15	Eli Lilly and Company Defined Benefit Plan (Qualified) (value not readily ascertainable): eligible for benefits at ages 55 and 65; estimated benefit for age 55 with 75% annuity for spouse is $64,577/year	See Endnote	N/A			None (or less than $201)
16	HMS Holdings Inc. Deferred Compensation Plan		No			
16.1	HMS Holdings, Inc., stock options (vested) (7057 options)	See Endnote	N/A	$15,001 - $50,000		None (or less than $201)
16.2	HMS Holdings, Inc. stock options (unvested until 5/23/2018) (6743 options) (value not ascertainable)	See Endnote	N/A			None (or less than $201)
16.3	HMS Holdings, Inc. restricted stock units (vested) (10,291 units)	See Endnote	N/A	$100,001 - $250,000		None (or less than $201)
16.4	HMS Holdings, Inc. restricted stock units (unvested until 5/23/2018) (6,743 units)	See Endnote	N/A	$100,001 - $250,000		None (or less than $201)

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	HMS Holdings, Inc.	Irving, Texas	Pursuant to the company's compensation plan, I will continue to receive restricted stock units on a quarterly basis until my resignation from the board. I will forfeit any stock options and restricted stock units that are unvested at the time of my resignation. Within 90 days of my confirmation, I will divest all of my vested stock options in HMS Holdings, Inc. If I divest the stock options by exercising them, I will divest any resulting stock within 90 days of my confirmation. I will receive stock for all my vested restricted stock units. I will divest all of the resulting stock within 90 days of my confirmation.	10/2016
2	Eli Lilly and Company	Indianapolis, Indiana	I will continue to participate in the Eli Lilly and Company defined benefit plan, which has both qualified and unqualified components. The organization does not make any further contributions to my account. The distributions are set and defined. I am eligible to start receiving such payments at ages 55 and 65.	6/2007
3	Seraphim Strategies, LLC	Indianapolis, Indiana	This LLC will be inactive during the period of my appointment. Any outstanding fees will be received prior to my entering Government service.	1/2017
4	Eli Lilly and Company	Indianapolis, Indiana	I receive, as a former employee of Lilly, Departing Executive Outplacement services which will expire in February 2018. If confirmed I will no longer accept this service.	1/2017
5	Indianapolis Airport Authority	Indianapolis, Indiana	As a former member of the Board of Directors of the Indianapolis Airport Authority, I have two parking passes for the Indianapolis Airport.	12/2012

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	Lilly USA, LLC	Indianapolis, Indiana	President of U.S. affiliate of biopharmaceutical company Eli Lilly and Company

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
2	National Pharmaceutical Council	Washington, District of Columbia	Retained Seraphim Strategies, LLC, for my consulting activities.
3	Veeva Systems	Pleasanton, California	Through World Wide Speakers Group, retained Seraphim Strategies, LLC, for me to deliver a speech.
4	MedImpact	San Diego, California	Through World Wide Speakers Group, retained Seraphim Strategies, LLC, for me to moderate a debate.
5	UCB, Inc.	Smyrna, Georgia	Retained Seraphim Strategies, LLC, for my consulting activities.
6	National Association of Specialty Pharmacy	Alexandria, Virginia	Through World Wide Speakers Group, retained Seraphim Strategies, LLC, for me to deliver a speech.
7	HMS Holdings, Inc.	Irving, Texas	Member, Board of Directors
8	Seraphim Strategies, LLC	Indianapolis, Indiana	Chairman and Founder

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	IRA ROTH	No			
1.1	iShares Core S&P 500 ETF (IVV)	Yes	$1,001 - $15,000		None (or less than $201)
1.2	iShares Core S&P Mid-Cap ETF (IJH)	Yes	$1,001 - $15,000		None (or less than $201)
1.3	American Funds Growth Fund of Amer F-1 (GFAFX)	Yes	$100,001 - $250,000		$5,001 - $15,000

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Brokerage Account #1	No			
1.1	Schwab Municipal Money Fund (SWXXX)	Yes	$50,001 - $100,000		$201 - $1,000
1.2	iShares Core S&P 500 ETF (IVV)	Yes	$500,001 - $1,000,000		$15,001 - $50,000
1.3	iShares Core S&P Mid-Cap ETF (IJH)	Yes	$100,001 - $250,000		$15,001 - $50,000
1.4	iShares Core S&P Small-Cap ETF (IJR)	Yes	$250,001 - $500,000		$5,001 - $15,000
1.5	iShares S&P 500 Value (IVE)	Yes	$500,001 - $1,000,000		$15,001 - $50,000
1.6	iShares Core MSCI EAFE (IEFA)	Yes	$500,001 - $1,000,000		$15,001 - $50,000
1.7	iShares Core MSCI Pacific (IPAC)	Yes	$100,001 - $250,000		$5,001 - $15,000
1.8	iShares Currency Hedged MSCI EAFE (HEFA)	Yes	$50,001 - $100,000		$1,001 - $2,500
1.9	Vanguard FTSE Emerging Markets ETF (VWO)	Yes	$250,001 - $500,000		$15,001 - $50,000
1.10	Loomis Sayles Bond Retail (LSBRX)	Yes	$1,001 - $15,000		None (or less than $201)
1.11	iShares S&P 500 Growth (IVW)	Yes	$500,001 - $1,000,000		$5,001 - $15,000
2	CHET 529 Plan (FBO Minor Child #1)	No			
2.1	Moderate Managed Allocation 17 Years	Yes	$250,001 - $500,000		None (or less than $201)
3	CHET 529 Plan (FBO Minor Child #2)	No			
3.1	High Equity Balanced Option	Yes	$100,001 - $250,000		None (or less than $201)
4	IN College Choice 529 Plan (FBO Minor Child #1)	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.1	US Equity Index Portfolio	Yes	$15,001 - $50,000		None (or less than $201)
5	IN College Choice 529 Plan (FBO Minor Child #2)	No			
5.1	US Equity Index Portfolio	Yes	$250,001 - $500,000		None (or less than $201)
6	Brokerage Account #2	No			
6.1	American Mun Pwr Ohio Inc Rev (CUSIP: 02765UHH0)	N/A	$50,001 - $100,000	Interest	$5,001 - $15,000
6.2	American Mun Pwr Ohio Inc Rev Energy Re (CUSIP: 02765UBB9)	N/A	$50,001 - $100,000	Interest	$5,001 - $15,000
6.3	Bloomington Ind Redev Dist Tax (CUSIP: 094717BH7)	N/A	$15,001 - $50,000	Interest	$5,001 - $15,000
6.4	Chicago Ill Brd Ed (CUSIP: 1675016D2)	N/A	$50,001 - $100,000	Interest	$5,001 - $15,000
6.5	Concord Ind Cmnty Schs Bldg Co (CUSIP: 206256PV5)	N/A	$50,001 - $100,000	Interest	$5,001 - $15,000
6.6	Delaware Mun Elec Corp Elec Re (CUSIP: 246154BU1)	N/A	$50,001 - $100,000	Interest	$5,001 - $15,000
6.7	Dover Del Elec Rev (CUSIP: 260039JC7)	N/A	$50,001 - $100,000	Interest	$5,001 - $15,000
6.8	Evansville Ind Loc Pub Impt Bd (CUSIP: 299348BV3)	N/A	$50,001 - $100,000	Interest	$5,001 - $15,000
6.9	Greater Clark Cnty Sch Bldg Co (CUSIP: 391673EG1)	N/A	$50,001 - $100,000	Interest	$5,001 - $15,000
6.10	Gulf Shores Ala Pub Edl Bldg A (CUSIP: 40252NAW0)	N/A	$100,001 - $250,000		None (or less than $201)
6.11	Harris Cnty Tex Cultural Ed Fa (CUSIP: 414008BJ0)	N/A	$50,001 - $100,000		None (or less than $201)
6.12	Humble Tex Indpt Sch Dist Sch Bldg (CUSIP: 4450425Q3)	N/A	$50,001 - $100,000	Interest	$5,001 - $15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.13	Illinois St Toll Hwy Auth Toll (CUSIP: 452252JV2)	N/A	$50,001 - $100,000	Interest	$1,001 - $2,500
6.14	Illinois St Toll Hwy Auth Toll (CUSIP: 452252KS7)	N/A	$50,001 - $100,000	Interest	$2,501 - $5,000
6.15	Indiana Fin Auth Hosp Rev (CUSIP: 45471AKA9)	N/A	$100,001 - $250,000	Interest	$1,001 - $2,500
6.16	Indiana Fin Auth Hosp Rev (CUSIP: 45471ANW8)	N/A	$50,001 - $100,000	Interest	$5,001 - $15,000
6.17	Indiana Health Fac Fing Auth R (CUSIP: 454798TA7)	N/A	$50,001 - $100,000	Interest	$2,501 - $5,000
6.18	Indiana St Fin Auth Rev (CUSIP: 45506DUL7)	N/A	$100,001 - $250,000	Interest	$5,001 - $15,000
6.19	Indiana St Fin Auth Rev (CUSIP: 455057F87)	N/A	$15,001 - $50,000		None (or less than $201)
6.20	Indiana St Fin Auth Wastewater (CUSIP: 45505MAT3)	N/A	$50,001 - $100,000	Interest	$5,001 - $15,000
6.21	Indiana St Fin Auth Wastewater (CUSIP: 45505MBJ4)	N/A	$50,001 - $100,000	Interest	$5,001 - $15,000
6.22	Indiana St Fin Auth Wastewater (CUSIP: 45505MFD3)	N/A	$50,001 - $100,000	Interest	$2,501 - $5,000
6.23	Indianapolis Ind Loc Pub Impt (CUSIP: 45528UAT8)	N/A	$50,001 - $100,000	Interest	$5,001 - $15,000
6.24	Indianapolis Ind Loc Pub Impt (CUSIP: 45528UAV3)	N/A	$50,001 - $100,000	Interest	$5,001 - $15,000
6.25	Indianapolis Ind Loc Pub Impt (CUSIP: 45528UFU0)	N/A	$50,001 - $100,000	Interest	$5,001 - $15,000
6.26	Jackson Cnty Miss Util Auth Wt (CUSIP: 467319AV1)	N/A	$100,001 - $250,000	Interest	$2,501 - $5,000
6.27	King Cnty Was Sch Dist No 401 Go Bds (CUSIP: 495033AL6)	N/A	$50,001 - $100,000	Interest	$5,001 - $15,000
6.28	Lake Central Ind Multi-Dist Sc (CUSIP: 507686PP2)	N/A	$50,001 - $100,000	Interest	$5,001 - $15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.29	Laredo Tex Wtrwks Swr Sys Rev Rev Bds (CUSIP: 517039FZ1)	N/A	$50,001 - $100,000	Interest	$5,001 - $15,000
6.30	Las Vegas Valley Nev Wtr Dist (CUSIP: 5178405T7)	N/A	$100,001 - $250,000		None (or less than $201)
6.31	Lee Cnty Fla Tourist Dev Tax R (CUSIP: 523520CK8)	N/A	$50,001 - $100,000	Interest	$1,001 - $2,500
6.32	Lower Colo Riv Auth Tex Rev (CUSIP: 54811GLU2)	N/A	$50,001 - $100,000	Interest	$5,001 - $15,000
6.33	Lower Colo Riv Auth Tex Transm (CUSIP: 54811BPX3)	N/A	$100,001 - $250,000	Interest	$1,001 - $2,500
6.34	Maine Mun Bd Bk (CUSIP: 560459M97)	N/A	$50,001 - $100,000	Interest	$5,001 - $15,000
6.35	Metropolitan Govt Nashville & (CUSIP: 592090FH2)	N/A	$50,001 - $100,000	Interest	$5,001 - $15,000
6.36	Miami-Dade Cnty Fla Wtr & Swr (CUSIP: 59334DGU2)	N/A	$50,001 - $100,000	Interest	$5,001 - $15,000
6.37	Mt Vernon Ind Sch Bldg Corp (CUSIP: 623495BP2)	N/A	$50,001 - $100,000	Interest	$5,001 - $15,000
6.38	N Tx Twy Auth (CUSIP: 66285WTE6)	N/A	$1,001 - $15,000	Interest	$201 - $1,000
6.39	N Tx Twy Auth (CUSIP: 66285WPS9)	N/A	$15,001 - $50,000	Interest	$2,501 - $5,000
6.40	N Tx Twy Auth (CUSIP: 66285WSW7)	N/A	$15,001 - $50,000	Interest	$5,001 - $15,000
6.41	Noblesville Ind Redev Auth Eco (CUSIP: 65516QFW7)	N/A	$50,001 - $100,000	Interest	$15,001 - $50,000
6.42	Olmsted Falls Ohio City Sch Di (CUSIP: 681233DU3)	N/A	$100,001 - $250,000		None (or less than $201)
6.43	Orlando & Orange Cnty Expwy Au (CUSIP: 686543UB3)	N/A	$50,001 - $100,000	Interest	$5,001 - $15,000
6.44	Pennsylvania St Tpk Commn Tpk (CUSIP: 709223ZQ7)	N/A	$50,001 - $100,000	Interest	$5,001 - $15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.45	Pennsylvania St Tpk Commn Tpk (CUSIP: 709224HN2)	N/A	$50,001 - $100,000	Interest	$5,001 - $15,000
6.46	Port Tacoma Wash (CUSIP: 735422LD7)	N/A	$50,001 - $100,000	Interest	$5,001 - $15,000
6.47	Regional Transn Dist Colo Ctfs (CUSIP: 75913THV9)	N/A	$100,001 - $250,000	Interest	$15,001 - $50,000
6.48	Riverside Ohio Loc Sch Dist (CUSIP: 769229BJ3)	N/A	$100,001 - $250,000	Interest	$5,001 - $15,000
6.49	Rock Hill S C Util Sys Rev (CUSIP: 772249QC5)	N/A	$100,001 - $250,000	Interest	$2,501 - $5,000
6.50	Sandusky Ohio City Sch Dist (CUSIP: 800205EP7)	N/A	$100,001 - $250,000		None (or less than $201)
6.51	South Carolina St Pub Svcs Aut (CUSIP: 837151HW2)	N/A	$100,001 - $250,000	Interest	$15,001 - $50,000
6.52	South Montgomery In (CUSIP: 84455RCC6)	N/A	$50,001 - $100,000		None (or less than $201)
6.53	Utah Tran Auth Sales Tax Rev (CUSIP: 917565MK6)	N/A	$100,001 - $250,000	Interest	$15,001 - $50,000
6.54	Warsaw Ind Multi-Sch Bldg Corp (CUSIP: 93638RCK9)	N/A	$50,001 - $100,000	Interest	$5,001 - $15,000
6.55	Washington St Higher Ed Facs A (CUSIP: 939781Q60)	N/A	$50,001 - $100,000	Interest	$5,001 - $15,000
6.56	Winton Woods City Sch Dist Ohi (CUSIP: 97650ECE6)	N/A	$100,001 - $250,000		None (or less than $201)
6.57	Wppi Energy Wis Pwr Supply Sys (CUSIP: 92937NAQ7)	N/A	$50,001 - $100,000	Interest	$5,001 - $15,000
6.58	Wells Fargo Advantage Ult S/T Mun Inc A (SMAVX)	Yes	$250,001 - $500,000		$2,501 - $5,000
6.59	DALLAS TEX AREA RAPID TRAN (CUSIP: 235241RF5)	N/A	None (or less than $1,001)	Interest	$1,001 - $2,500
6.60	Dallas Tex Area Rapid Tran Sales Tax Rev Prerefund (CUSIP: 235241QS8)	N/A	None (or less than $1,001)	Interest	$1,001 - $2,500

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.61	Massachusetts St Sch Bldg Auth (CUSIP: 576000SL8)		N/A	None (or less than $1,001)	Interest	$5,001 - $15,000
6.62	N Tx Twy Auth (CUSIP: 66285WQC3)		N/A	None (or less than $1,001)	Interest	$201 - $1,000
6.63	Washington St Higher Ed Facs A (CUSIP: 939781Q60)		N/A	None (or less than $1,001)	Interest	$2,501 - $5,000
6.64	Aldine Tex Indpt Sch Dist (CUSIP: 014393MS8)		N/A	None (or less than $1,001)	Interest	$5,001 - $15,000
6.65	Arizona St Transn Brd Hwy Rev (CUSIP: 040654PV1)		N/A	None (or less than $1,001)	Interest	$5,001 - $15,000
6.66	Chicago Ill Brd Ed (CUSIP: 167505FA9)		N/A	None (or less than $1,001)	Interest	$201 - $1,000
6.67	Cincinnati Ohio Wtr Sys Rev Rmkt Wtr (CUSIP: 172311FT4)		N/A	None (or less than $1,001)	Interest	$5,001 - $15,000
6.68	Clark Cnty Nev For Issues Dtd Bond Bk B (CUSIP: 180848AL7)		N/A	None (or less than $1,001)	Interest	$2,501 - $5,000
6.69	North Carolina Eastn Mun Pwr A Pwr Sys R (CUSIP: 658196P46)		N/A	None (or less than $1,001)	Interest	$1,001 - $2,500
6.70	Pierce Cnty Wash Sch Dist No 4 Ult Go Bd (CUSIP: 720560QJ3)		N/A	None (or less than $1,001)	Interest	$1,001 - $2,500
6.71	Seminole Cnty Fla Wtr & Swr Re Wtr And S (CUSIP: 816705GQ4)		N/A	None (or less than $1,001)	Interest	$5,001 - $15,000
6.72	Washington St Go Bds (CUSIP: 93974BSD5)		N/A	None (or less than $1,001)	Interest	$1,001 - $2,500
6.73	U.S. brokerage account (Cash)		N/A	$50,001 - $100,000		None (or less than $201)
7	NBC Investors, LLC		No			
7.1	NBC Industrial, LLC		No			
7.1.1	Commercial Real Estate #1, Indianapolis Indiana	See Endnote	N/A	$250,001 - $500,000	Rent or Royalties	$15,001 - $50,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.1.2	Commercial Real Estate, Indianapolis, IN	See Endnote	N/A	None (or less than $1,001)	Rent or Royalties Capital Gains	$100,001 - $1,000,000
8	SQN Venture Income Fund, LP		No			
8.1	Mainframe, loan receivable (cloud-based platforms)		N/A	$15,001 - $50,000	Interest	$1,001 - $2,500
8.2	Soraa, loan receivable (lighting development and manufacturing)		N/A	$50,001 - $100,000	Interest	$1,001 - $2,500
8.3	Calysta, loan receivable (development of biological)		N/A	$15,001 - $50,000	Interest	$1,001 - $2,500
8.4	Tigo Energy, loan receivable (solar power installations)		N/A	$50,001 - $100,000	Interest	$2,501 - $5,000
8.5	Boardwalk Tech, loan receivable (business process automation)		N/A	$15,001 - $50,000	Interest	$5,001 - $15,000
8.6	Kaazing Inc, loan receivable (enterprise infrastructure products)		N/A	$15,001 - $50,000	Interest	$2,501 - $5,000
8.7	Vantage Robotics, loan receivable (flying camera technology)		N/A	$1,001 - $15,000	Interest	$201 - $1,000
8.8	Crop One Holdings, Inc, loan receivable (farming technology)		N/A	$1,001 - $15,000	Interest	$201 - $1,000
8.9	Knowledge Factor, loan receivable (education software)		N/A	$15,001 - $50,000	Interest	$1,001 - $2,500
8.10	Shapeways, loan receivable (3D printing and related services)		N/A	$15,001 - $50,000	Interest	$1,001 - $2,500
8.11	FR8Hub, loan receivable (freight industry technology)		N/A	$1,001 - $15,000		None (or less than $201)
8.12	Luminar, loan receivable (sensor technologies for automatic vehicles)		N/A	$15,001 - $50,000	Interest	$201 - $1,000
8.13	Gluware, loan receivable (multi-vendor IT automation)		N/A	$15,001 - $50,000	Interest	$201 - $1,000
8.14	Volta Charging, loan receivable (electronic vehicle charging)		N/A	$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.15	Volta Charging warrants (electronic vehicle charging)	N/A	$1,001 - $15,000		None (or less than $201)
8.16	Soraa warrants (lighting development and manufacturing)	N/A	$1,001 - $15,000		None (or less than $201)
8.17	Mainframe warrants (cloud based platforms)	N/A	$1,001 - $15,000		None (or less than $201)
8.18	Tigo Energy warrants (solar power installations)	N/A	$1,001 - $15,000		None (or less than $201)
8.19	Boardwalk Tech warrants (business process automation)	N/A	$1,001 - $15,000		None (or less than $201)
8.20	Knowledge Factors warrants (education software)	N/A	$1,001 - $15,000		None (or less than $201)
8.21	Kaazing Corp. warrants (enterprise infrastructure products)	N/A	$15,001 - $50,000		None (or less than $201)
8.22	Shapeways warrants (3D printing and related services)	N/A	$1,001 - $15,000		None (or less than $201)
8.23	Gluware warrants (multi-vendor IT automation)	N/A	$1,001 - $15,000		None (or less than $201)
8.24	Incredible Foods warrants (frozen food production and marketing)	N/A	$1,001 - $15,000		None (or less than $201)
8.25	Suniva, loan receivable (solar power technology)	N/A	$50,001 - $100,000		None (or less than $201)
8.26	U.S. bank account (Cash Account)	N/A	$100,001 - $250,000		None (or less than $201)
9	U.S. Credit Union #1 (Cash Account)	N/A	$1,001 - $15,000		None (or less than $201)
10	U.S. Credit Union #2 (Cash Account)	N/A	$1,001 - $15,000		None (or less than $201)
11	Health Savings Account	No			
11.1	U.S. bank account (Cash Account)	N/A	$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
11.2	PIMCO Investment Grade Corporate Bond Instl Fund (PIGIX)		Yes	$15,001 - $50,000		None (or less than $201)
11.3	Vanguard Total Stock Market Index Fund (VITSX)		Yes	$50,001 - $100,000		None (or less than $201)
11.4	MFS Agressive Growth Allocation Fund Class A (MAAGX)		Yes	None (or less than $1,001)		$1,001 - $2,500
11.5	PIMCO StocksPLUS Small A Fund (PCKAX)		Yes	None (or less than $1,001)		$1,001 - $2,500
12	Irrevocable Life Insurance Trust	See Endnote	No			
12.1	Northwestern Mutual Estate Complife Policy #1 (whole life and term hybrid product)		N/A	$50,001 - $100,000	Dividends	$2,501 - $5,000
12.2	Northwestern Mutual Estate Complife #2 (whole life and term hybrid product)		N/A	$100,001 - $250,000	Dividends	$5,001 - $15,000
12.3	Northwestern Mutual Life Insurance Adjustable Complife (whole life and term hybrid product)		N/A	$250,001 - $500,000	Dividends	$15,001 - $50,000
13	SD College Choice Savings		No			
13.1	Age-Based 9 (Ages 17 and Over) Class A		Yes	$15,001 - $50,000		None (or less than $201)

7. Transactions

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

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Elements Financial	Mortgage on Personal Residence	$500,001 - $1,000,000	2009	prime + 1	300 months

#	CREDITOR NAME		TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
2	Morgan Stanley	See Endnote	Exercised Line of Credit	$15,001 - $50,000	2016	3.27%	revolving
3	Morgan Stanley	See Endnote	Exercised Line of Credit	$15,001 - $50,000	2016	3.10%	revolving

9. Gifts and Travel Reimbursements

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

Endnotes

PART	#	ENDNOTE
1.	8	This trust has not been funded and holds no assets.
2.	5	The LLC functions as a vehicle to perform consulting work and receive payment for speaking engagements.
2.	12	As part of my compensation for my position at Lilly USA, LLC between 1/1/2016 and 1/31/2017, I received Eli Lilly & Co stock units at a total share value of $3,434,219.08. I no longer hold any Eli Lilly & Co stock.
2.	15	Yearly disbursement is a good faith estimate based on assumption of retirement at age 55 with annuity after death for my spouse.
2.	16.1	Directors fees for board service on HMS Holdings, Inc. Options issued at $16.54 strike price; current market value of $19.36. Value per option calculated as difference between market value and strike price. Options expire 11-11-2026.
2.	16.2	Directors fees for board service on HMS Holdings, Inc. Options issued at $17.45 strike price; current market value of $19.36. Options expire 8-21-2027.
2.	16.3	Directors fees for board service on HMS Holdings, Inc. Market value of $19.36.
2.	16.4	Directors fees for board service on HMS Holdings, Inc.
6.	7.1.1	Consists of six properties on a single deed.
6.	7.1.2	Property no longer held.

PART	#	ENDNOTE
6.	12	This is a life insurance trust established by the filer's father. The filer is a co-beneficiary with his sister; reported values and income represent his 50% interest.
8.	2	Paid in full on 10/17/16.
8.	3	Paid in full on 12/01/16.

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.

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