



Walter Shaub [redacted]

Fwd: OGE Form 201 Request

1 message

Meredith Lerner [redacted]
To: Walter Shaub [redacted]

Wed, Mar 18, 2020 at 3:59 PM

Marc Short OGE request for PTRs.

----- Forwarded message -----

From: 201 Forms <201forms@oge.gov>

Date: Fri, Mar 13, 2020 at 9:40 AM

Subject: RE: OGE Form 201 Request

To: Meredith Lerner [redacted], 201 Forms <201forms@oge.gov>

CONTROLLED

The documents you requested are attached where available. A copy of your completed request is attached for your files.

Status: Complete

Best regards,

Lori Kelly, Program Specialist

US Office of Government Ethics

Financial Disclosure Branch

Compliance Division

[redacted]

From: Meredith Lerner [mailto:[redacted]]

Sent: Friday, March 13, 2020 9:18 AM

To: 201 Forms <201forms@oge.gov>

Subject: OGE Form 201 Request

Good morning Ms. Kelly,

Please see the attached 201 request for periodic transaction reports. If you have any questions about the request, please do not hesitate to contact me.

Best,

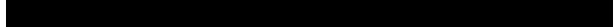
Meredith Lerner

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Meredith Lerner

Research Associate
CREW | Citizens for Responsibility and Ethics in Washington



CREW | Citizens for Responsibility and Ethics in Washington
 | www.citizensforethics.org


OGE Confidential Notice: This message may contain Controlled Unclassified Information (CUI) that requires safeguarding or dissemination control under applicable law, regulation, or Government-wide policy. This email, including all attachments, may constitute a Federal record or other Government property that is intended only for the use of the individual or entity to which it is addressed. If you are not the intended recipient or the employee or agent responsible for delivering the transmission to the intended recipient, you are hereby notified that any dissemination, distribution, copying or use of this email or its contents is strictly prohibited. If you have received this email in error, please notify the sender by responding to the email and then immediately delete the email.


--

Meredith Lerner
Research Associate
CREW | Citizens for Responsibility and Ethics in Washington



5 attachments

 **Marc-T-Short-08.15.2018.278T.pdf**
26K

 **Marc-T-Short-01.26.2018-278T.pdf**
29K

 **Marc-T-Short-08.04.2017-278T.pdf**
27K

 **Marc-T-Short-07.03.2017-278T.pdf**
31K





20200313 Lerner.pdf
208K

Executive Branch Personnel

Public Financial Disclosure Report:

Periodic Transaction Report (OGE Form 278-T)

Filer's Information

Short, Marc T

WH Director of Legislative Affairs, White House -- Trump-Pence

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/ Short, Marc T [electronically signed on 07/03/2017 by Short, Marc T in Integrity.gov] - Filer received a 90 day filing extension.

Agency Ethics Official's Opinion - On the basis of information contained in this report, I conclude that the filer is in compliance with applicable laws and regulations (subject to any comments below).

/s/ Passantino, Stefan, Certifying Official [electronically signed on 07/27/2017 by Passantino, Stefan in Integrity.gov]

Other review conducted by

/s/ Passantino, Stefan, Ethics Official [electronically signed on 07/27/2017 by Passantino, Stefan in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Skalla, Daniel L, Certifying Official [electronically signed on 01/25/2018 by Skalla, Daniel L in Integrity.gov]

Data Revised 07/12/2017

Transactions

#	DESCRIPTION	TYPE	DATE	NOTIFICATION OVER 30 DAYS AGO	AMOUNT
1	Kinder Morgan Inc	Sale	03/20/17	No	\$1,001 - \$15,000
2	SPDR S&P Bank ETF	Sale	03/20/17	No	\$1,001 - \$15,000
3	IShares TR US Fin SVC ETF	Sale	03/20/17	No	\$15,001 - \$50,000
4	Apple Inc. - Common Stock	Sale	03/23/17	No	\$1,001 - \$15,000
5	Amazon	Sale	03/23/17	No	\$1,001 - \$15,000
6	Caterpillar Inc	Sale	03/23/17	No	\$1,001 - \$15,000
7	Devon Energy Corp	Sale	03/23/17	No	\$15,001 - \$50,000
8	Dominion Resources Inc	Sale	03/23/17	No	\$1,001 - \$15,000
9	Enterprise Products Partners	Sale	03/23/17	No	\$15,001 - \$50,000
10	Blackhawk Network Holdings, Inc. - Class A Common Stock	Sale	03/23/17	No	\$1,001 - \$15,000
11	Intl Business Machines Corp	Sale	03/23/17	No	\$15,001 - \$50,000
12	Kinder Morgan Inc	Sale	03/23/17	No	\$1,001 - \$15,000
13	Coca-Cola Co	Sale	03/23/17	No	\$1,001 - \$15,000
14	Lilly Eli & Co	Sale	03/23/17	No	\$1,001 - \$15,000
15	NetFlix Inc	Sale	03/23/17	No	\$1,001 - \$15,000
16	QUALCOMM Incorporated - Common Stock	Sale	03/23/17	No	\$1,001 - \$15,000
17	Tesoro Corp	Sale	03/23/17	No	\$15,001 - \$50,000
18	Energy Select Sector SPDR (ETF) - XLE	Sale	03/23/17	No	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	NOTIFICATION OVER 30 DAYS AGO	AMOUNT
19	iShares Core S&P Total U.S. Stock Market ETF	Purchase	06/20/17	No	\$1,001 - \$15,000
20	SPDR S&P Dividend ETF	Purchase	06/20/17	No	\$1,001 - \$15,000
21	Riverfront Dynamic Equity Income	Purchase	06/20/17	No	\$15,001 - \$50,000
22	PowerShares QQQ Trust, Series 1	Purchase	06/20/17	No	\$15,001 - \$50,000
23	ISHARES Core High Dividend	Purchase	06/20/17	No	\$15,001 - \$50,000

Endnotes

Summary of Contents

The 278-T discloses purchases, sales, or exchanges of securities in excess of \$1,000 made on behalf of the filer, the filer's spouse, or dependent child. Transactions are required to be disclosed within 30 days of receiving notification of a transaction but not later than 45 days after the transaction. Filers need not disclose (1) mutual funds and other excepted investment funds; (2) certificates of deposit, savings or checking accounts, and money market accounts; (3) U.S. Treasury bills, notes, and bonds; (4) Thrift Savings Plan accounts; (5) real property; and (6) transactions that are solely by and between the filer, the filer's spouse, and the filer's dependent children.

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.

Executive Branch Personnel

Public Financial Disclosure Report:

Periodic Transaction Report (OGE Form 278-T)

Filer's Information

Short, Marc T

WH Director of Legislative Affairs, White House -- Trump-Pence

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/ Short, Marc T [electronically signed on 08/04/2017 by Short, Marc T 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/ Passantino, Stefan, Certifying Official [electronically signed on 08/07/2017 by Passantino, Stefan in Integrity.gov]

Other review conducted by

/s/ Passantino, Stefan, Ethics Official [electronically signed on 08/07/2017 by Passantino, Stefan in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Skalla, Daniel L, Certifying Official [electronically signed on 01/25/2018 by Skalla, Daniel L in Integrity.gov]

Transactions

#	DESCRIPTION	TYPE	DATE	NOTIFICATION OVER 30 DAYS AGO	AMOUNT
1	Enterprise Products Partners	Purchase	07/07/17	No	\$15,001 - \$50,000

Endnotes

Summary of Contents

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Executive Branch Personnel

Public Financial Disclosure Report:

Periodic Transaction Report (OGE Form 278-T)

Filer's Information

Short, Marc T

Director of Legislative Affairs, White House -- Trump-Pence

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/ Short, Marc T [electronically signed on 01/26/2018 by Short, Marc T 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/ Passantino, Stefan, Certifying Official [electronically signed on 02/09/2018 by Passantino, Stefan in Integrity.gov]

Other review conducted by

/s/ Gast, Scott F, Ethics Official [electronically signed on 02/08/2018 by Gast, Scott F in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Skalla, Daniel L, Certifying Official [electronically signed on 03/15/2018 by Skalla, Daniel L in Integrity.gov]

Data Revised 02/09/2018

Comments of Reviewing Officials (public annotations):

PART	#	REFERENCE	COMMENT
N/A	N/A	General	(02/09/2018, Passantino, Stefan): No late filing fee assessed as report not required. 5 U.S.C. app. 4 Section 103(l).

Transactions

#	DESCRIPTION	TYPE	DATE	NOTIFICATION OVER 30 DAYS AGO	AMOUNT
1	iShares S&P 100 Index	Purchase	12/04/17	Yes	\$1,001 - \$15,000
2	iShares MSCI USA Min Volatility (USMV)	Purchase	12/04/17	Yes	\$1,001 - \$15,000
3	iShares Core MSCI EAFE ETF	Purchase	12/04/17	Yes	\$1,001 - \$15,000
4	IQ 50 Percent Hedged FTSE Intl. ETF (HFXI)	Purchase	12/04/17	Yes	\$15,001 - \$50,000
5	PowerShares QQQ Trust, Series 1	Purchase	12/04/17	Yes	\$1,001 - \$15,000

Endnotes

Summary of Contents

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Executive Branch Personnel

Public Financial Disclosure Report:

Periodic Transaction Report (OGE Form 278-T)

Filer's Information

Short, Marc

Director of Legislative Affairs, White House -- Trump-Pence

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/ Short, Marc [electronically signed on 08/15/2018 by Short, Marc 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/ Gast, Scott F, Certifying Official [electronically signed on 10/30/2018 by Gast, Scott F in Integrity.gov]

Other review conducted by

/s/ Gast, Scott F, Ethics Official [electronically signed on 10/30/2018 by Gast, Scott F in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Christopher, Dale, Certifying Official [electronically signed on 12/07/2018 by Christopher, Dale in Integrity.gov]

Data Revised 10/30/2018

Comments of Reviewing Officials (public annotations):

PART	#	REFERENCE	COMMENT
N/A	N/A	General	(10/30/2018, Vetter, Mark): Filer submitted Report on August 15, 2018 for transactions covering February 5 - May 18, 2018; however, all transactions involved widely held investment funds and thus were not required to be reported on a Periodic Transaction Report, per STOCK Act (Pub. L. 112-173), Sec. 14.

Transactions

#	DESCRIPTION	TYPE	DATE	NOTIFICATION OVER 30 DAYS AGO	AMOUNT
1	ISHARES US FINANCIALS ETF (IYF)	Purchase	02/05/2018	Yes	\$15,001 - \$50,000
2	ISHARES MSCI EAFE ETF (EFA)	Purchase	02/05/2018	Yes	\$15,001 - \$50,000
3	PowerShares QQQ Trust, Series 1	Purchase	02/05/2018	Yes	\$15,001 - \$50,000
4	ISHARES CORP CREDIT ETF (IGSB)	Sale	03/08/2018	Yes	\$1,001 - \$15,000
5	ISHARES INTER CREDIT ETF (IGIB)	Sale	03/08/2018	Yes	\$1,001 - \$15,000
6	ISHARES MSCI EAFE ETF (EFA)	Sale	04/09/2018	Yes	\$15,001 - \$50,000
7	ISHARES US FINANCIALS ETF (IYF)	Sale	04/09/2018	Yes	\$15,001 - \$50,000
8	EQUINOX MUTUAL HEDGE FUTURES STRATEGY (MHFIX)	Sale	05/18/2018	Yes	\$1,001 - \$15,000
9	LOCORR MACRO STRATEGIES FUND (LFMIX)	Sale	05/09/2018	Yes	\$1,001 - \$15,000
10	PowerShares QQQ Trust, Series 1	Sale	4/9/2018	Yes	\$15,001 - \$50,000

Endnotes

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Request to Inspect or Receive Copies of Executive Branch Personnel Public Financial Disclosure Reports or Other Covered Records.

OGE Form 201 (January 2017)

I. Application

1. Applicant's name and address (please print): Meredith Lerner, Citizens for Responsibility and Ethics in Washington [redacted] Washington, D.C. [redacted]	Agency Use Only Received date: _____ Filled date: _____
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1a. Office telephone number: ([redacted]) [redacted] ext. _____ Text	2. Occupation: Research Associate
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3. If application is for or on behalf of any other person or organization, give the other's name: Citizens for Responsibility and Ethics in Washington	3a. Address of the other person or organization: [redacted] Washington, D.C. [redacted]
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4. Type of applicant:
 news media private citizen public interest group law firm other private organization government

5. Copy of the most recent (or other, specify which and whether to include OGE Form 278-Ts) Public Financial Disclosure Report Form OGE Form 278/SF 278 requested for the following named individual(s):

a. Marc Short - all OGE forms 278-T	d.
b.	e.
c.	f.

Certain other types of records ("covered records") can also be requested using this form (see Part III below); if you are requesting another covered record, check this box and specify which type of record(s): _____

6. Indicate how you wish to receive this request:
 Pick up at OGE By mail (at the address listed above) **Note: Please send by email to [redacted]**

I am aware that this request for access to a public financial disclosure report is an official Government form (OGE Form 201). In completing this OGE Form 201, any intentionally false or misleading statement, certification, or response provided in this form is a violation of law punishable by a fine or imprisonment, or both, under 18 U.S.C. § 1001. Pursuant to section 105(c) of the Ethics in Government Act of 1978 and 5 C.F.R. § 2634.603(f) of the implementing OGE regulation, it is unlawful for any person to obtain or use a report:

- (1) for any unlawful purpose;
- (2) for any commercial purpose, other than by news and communications media for dissemination to the general public;
- (3) for determining or establishing the credit rating of any individual; or
- (4) for use, directly or indirectly, in the solicitation of money for any political, charitable, or other purpose.

The U.S. Attorney General may bring a civil action against any person who obtains or uses a report for any such prohibited purpose as set forth above. The court may assess against such a person a penalty in any amount not to exceed \$19,246. Such remedy shall be in addition to any other remedy available under statutory or common law.

7. Applicant's signature:  Date: 3/13/2020

II. Notice of Action

- Copies of the report(s) or other covered record(s) you requested are enclosed.
- Picked up by (signature): _____ Date: _____
- Your request does not comply with the requirements of the statute. Please complete Part I of this form and return so we may comply with your request.
- Fees. If applicable, amount: _____ (when fees are required, make out a check payable to the U.S. Treasury and send it to the executive branch agency processing this request form).

(form continued on reverse side)

Clear Form

Print

A. Privacy Act Statement

Sections 105 and 402(b)(1) of the Ethics in Government Act, as amended (5 U.S.C. app. 101) and 5 C.F.R. § 2634.603 authorize the solicitation of the information requested in this form. The primary use of the information on this form is to permit officials of the recipient agency to consider and process requests for inspection or receipt of copies of the OGE Form 278e Executive Branch Personnel Public Financial Disclosure Report and OGE Form 278-T Periodic Transaction Report, or other covered records to which you seek access. Furnishing the requested information is voluntary. However, failure to furnish this information will result in the recipient agency's inability to allow access to, or to provide a copy/copies of, the financial disclosure report(s) or other record(s) requested. Information on the form itself may be publicly disclosed pursuant to a proper request under section 105(b) of the Ethics in Government Act or as otherwise authorized by law.

Additional disclosures of the information on this form may be made pursuant to the routine uses set forth in the [OGE/GOVT-1](#) Privacy Act system of records:

- (1) to any requesting person, in accordance with sections 105 and 402(b)(1) of the Ethics in Government Act of 1978, 5 U.S.C. app.101 as amended;
- (2) 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;
- (3) to a Federal, State, or local law enforcement agency if the disclosing agency becomes aware of violations or potential violations of law or regulation;
- (4) 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;
- (5) to a source when necessary to obtain information relevant to a conflict of interest investigation or determination;
- (6) to the National Archives and Records Administration or the General Services Administration in records management inspections;
- (7) to the Office of Management and Budget during legislative coordination on private relief legislation;
- (8) 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;
- (9) to reviewing officials in a new office, department or agency when an employee transfers or is detailed from one covered position to another;
- (10) 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;
- (11) 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 Governmentwide system of records; and
- (12) on the OGE Website and to any person, department or agency, any written ethics agreements filed with OGE by an individual nominated by the President to a position requiring Senate confirmation.

See also the Privacy Act system of records [OGE/GOVT-1](#) Executive Branch Personnel Public Financial Disclosure Reports and Other Name-Retrieved Ethics Program Records.

B. Public Burden Information

Public burden reporting for this collection of information is estimated to take approximately ten minutes per response, including time for reviewing instructions, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to Program Counsel, U.S. Office of Government Ethics, Suite 500, 1201 New York Avenue, NW., Washington DC 20005-3917. **Do not** file this form with this official; rather, file it with the appropriate office of the executive branch department or agency from which you are seeking access to a financial disclosure report or other covered records.

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, 3209-0002, is displayed here and in the lower right-hand corner of the front page of this OGE Form 201).

III. Other Covered Records

In addition to requests for access to public OGE Form 278/SF 278 and OGE Form 278-T reports, this form can also be used to request access to certain other agency records which are covered under the access procedures of section 105 of the Ethics in Government Act and the implementing OGE regulations ("covered records"). Such other covered records are: (1) certificates of divestiture; (2) Ethics in Government Act qualified blind trust and qualified diversified trust instruments (other than those provisions which relate to the testamentary disposition of the trust assets), the list of assets transferred to such trusts (and of assets sold in the case of a qualified blind trust), as well as, in the case of trust dissolution, the report thereon and the list of trust assets at that time, and the certificates of independence and compliance with respect to qualified trusts; (3) 18 U.S.C. § 208(b)(1) & (b)(3) waivers granted by the recipient agency (after deletion of any material withholdable pursuant to the Freedom of Information Act, 5 U.S.C. § 552 (see 18 U.S.C. § 208(d)(1))); (4) other OGE Form 201 requests for access; (5) cover letters for approved gifts reporting waiver requests; and (6) cover letters for approved public reporting waiver requests for certain less than 130-day special Government employees. If you seek access to any such additional record(s), check the second box in Part I.5 on the front page and specify the record(s) sought.