OGE Form 278 (Rev. 12/2011)
5 C.F.R. Part 2634
U.S. Office of Government Ethics

Executive Branch Personnel PUBLIC FINANCIAL DISCLOSURE REPORT

Form Approved:
OMB No. 3209 - 0001

Date of Appointment, Candidacy, Election, or Nomination (Month, Day, Year): 09/21/2014	Reporting Status (Check Appropriate Boxes)	Incumbent ☒	Calendar Year Covered by Report: 2014	New Entrant, Nominee, or Candidate ☐	Termination Filer ☐ / Termination Date (If Applicable) (Month, Day, Year):
Reporting Individual's Name	Last Name: Heinzelman		First Name and Middle Initial: Kate E.		
Position for Which Filing	Title of Position: Special Assistant to the President and Associate Counsel		Department or Agency (If Applicable): White House Counsel's Office		
Location of Present Office (or forwarding address)	Address (Number, Street, City, State, and ZIP Code): 1600 Pennsylvania Avenue NW, Washington DC 20500		Telephone No. (Include Area Code): 202-456-1414		
Position(s) Held with the Federal Government During the Preceding 12 Months (If Not Same as Above)	Title of Position(s) and Date(s) Held: Special Assistant to the President and Associate Counsel to the President (9/21/2014 - present); Associate Counsel (5/26/2013 - 9/21/2014).				
Presidential Nominees Subject to Senate Confirmation	Name of Congressional Committee Considering Nomination: Not Applicable		Do You Intend to Create a Qualified Diversified Trust? ☐ Yes ☐ No		
Certification: I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge.	Signature of Reporting Individual: [redacted]		Date (Month, Day, Year): 4-13-15		
Other Review (If desired by agency)	Signature of Other Reviewer		Date (Month, Day, Year)		
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 in the box below).	Signature of Designated Agency Ethics Official/Reviewing Official: Jose Mundell		Date (Month, Day, Year): 6/10/15		
Office of Government Ethics Use Only	Signature		Date (Month, Day, Year)		

Comments of Reviewing Officials (If additional space is required, use the reverse side of this sheet)

(Check box if filing extension granted & indicate number of days ______) ☐

(Check box if comments are continued on the reverse side) ☐

Fee for Late Filing
Any individual who is required to file this report and does so more than 30 days after the date the report is required to be filed, or, if an extension is granted, more than 30 days after the last day of the filing extension period, shall be subject to a $200 fee.

Reporting Periods
Incumbents: The reporting period is the preceding calendar year except Part II of Schedule C and Part I of Schedule D where you must also include the filing year up to the date you file. Part II of Schedule D is not applicable.

Termination Filers: The reporting period begins at the end of the period covered by your previous filing and ends at the date of termination. Part II of Schedule D is not applicable.

Nominees, New Entrants and Candidates for President and Vice President:

Schedule A—The reporting period for income (BLOCK C) is the preceding calendar year and the current calendar year up to the date of filing. Value assets as of any date you choose that is within 31 days of the date of filing.

Schedule B—Not applicable.

Schedule C, Part I (Liabilities)—The reporting period is the preceding calendar year and the current calendar year up to any date you choose that is within 31 days of the date of filing.

Schedule C, Part II (Agreements or Arrangements)—Show any agreements or arrangements as of the date of filing.

Schedule D—The reporting period is the preceding two calendar years and the current calendar year up to the date of filing.

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Supersedes Prior Editions.

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Reporting Individual's Name: Heinzelman, Kate E.

SCHEDULE A

Assets and Income (BLOCK A)	Valuation of Assets at close of reporting period (BLOCK B)															Income: type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item. (BLOCK C)																
For you, your spouse, and dependent children, report each asset held for investment or the production of income which had a fair market value exceeding $1,000 at the close of the reporting period, or which generated more than $200 in income during the reporting period, together with such income. For yourself, also report the source and actual amount of earned income exceeding $200 (other than from the U.S. Government). For your spouse, report the source but not the amount of earned income of more than $1,000 (except report the actual amount of any honoraria over $200 of your spouse). None ☐	None (or less than $1,001)	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Type: Dividends	Type: Rent and Royalties	Type: Interest	Type: Capital Gains	Amount: None (or less than $201)	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	Over $5,000,000	Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria
Examples: Central Airlines Common				x												x						x										
Examples: Doe Jones & Smith, Hometown, State			x																												Law Partnership Income $130,000	
Examples: Kempstone Equity Fund					x								x										x									
Examples: IRA: Heartland 500 Index Fund							x						x											x								
1 Citibank Money Market Account			X															X		X												
2 Citibank Checking Account 1					X													X		X												
3 Citibank Checking Account 2									X									X		X												
4 Blackrock Money Market Investment A (PINXX)			X										X							X												
5 Blackrock Strategic Inc Opp. A (BASIX)			X										X			X			X		X											
6 MFS Global Total Return A (MFWTX)					X								X						X			X										

* This category applies only if the asset/income is solely that of the filer's spouse or dependent children. If the asset/income is either that of the filer or jointly held by the filer with the spouse or dependent children, mark the other higher categories of value, as appropriate.

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Reporting Individual's Name: Heinzelman, Kate E.

SCHEDULE A continued
(Use only if needed)

#	Assets and Income BLOCK A	Valuation of Assets at close of reporting period BLOCK B: None (or less than $1,001)	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Income: type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item. BLOCK C — Type: Dividends	Rent and Royalties	Interest	Capital Gains	Amount: None (or less than $201)	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	Over $5,000,000	Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria
1	MS Tax-Free Daily Income Trust		X											X			X				X												
2	PIMCO Total Return A (PTTAX)	X												X			X					X											
3	Blackrock Global Allocation A (MDLOX			X										X			X			X					X								
4	Quinn Emmanuel Urquhart & Sullivan, LLP																															Husband's income	
5	Bank Deposit Program at Morgan Stanley		X																X		X												
6	See continuation form for other assets																																
7																																	
8																																	
9																																	

* This category applies only if the asset/income is solely that of the filer's spouse or dependent children. If the asset/income is either that of the filer or jointly held by the filer with the spouse or dependent children, mark the other higher categories of value, as appropriate.

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Do not complete Schedule B if you are a new entrant, nominee, or Vice Presidential or Presidential Candidate

Reporting Individual's Name: Heinzelman, Kate E.

SCHEDULE B

Part I: Transactions

Report any purchase, sale, or exchange by you, your spouse, or dependent children during the reporting period of any real property, stocks, bonds, commodity futures, and other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss.

Do not report a transaction involving property used solely as your personal residence, or a transaction solely between you, your spouse, or dependent child. Check the "Certificate of divestiture" block to indicate sales made pursuant to a certificate of divestiture from OGE.

None ☐

	Identification of Assets	Transaction Type (x): Purchase	Sale	Exchange	Date (Mo., Day, Yr.)	Amount of Transaction (x): $1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	Certificate of divestiture
Example	Central Airlines Common	x			2/1/99			x									
1	Stock in Bed, Bath & Beyond, Inc (BBBY)		X		10/3/2014	X											
2	Stock in Deere & Co. (DE)		X		10/3/2014		X										
3	Stock in Koninklijke Philips NV (ADR) (PHG)		X		10/6/2014		X										
4	Stock in Express Scripts Holding Co. (ESRX)		X		10/8/2014	X											
5	(See continuation on separate form)																

*This category applies only if the underlying asset is solely that of the filer's spouse or dependent children. If the underlying asset is either held by the filer or jointly held by the filer with the spouse or dependent children, use the other higher categories of value, as appropriate.

Part II: Gifts, Reimbursements, and Travel Expenses

For you, your spouse and dependent children, report the source, a brief description, and the value of: (1) gifts (such as tangible items, transportation, lodging, food, or entertainment) received from one source totaling more than $350 and (2) travel-related cash reimbursements received from one source totaling more than $350. For conflicts analysis, it is helpful to indicate a basis for receipt, such as personal friend, agency approval under 5 U.S.C. § 4111 or other statutory authority, etc. For travel-related gifts and reimbursements, include travel itinerary, dates, and the nature of expenses provided. **Exclude** anything given to you by the U.S. Government; given to your agency in connection with official travel; received from relatives; received by your spouse or dependent child totally independent of their relationship to you; or provided as personal hospitality at the donor's residence. Also, for purposes of aggregating gifts to determine the total value from one source, exclude items worth $140 or less. See instructions for other exclusions.

None ☐

	Source (Name and Address)	Brief Description	Value
Examples	Nat'l Assn. of Rock Collectors, NY, NY	Airline ticket, hotel room & meals incident to national conference 6/15/99 (personal activity unrelated to duty)	$500
	Frank Jones, San Francisco, CA	Leather briefcase (personal friend)	$385
1	Molly Epstein and Gordon Saft, Brooklyn, NY	Platter and vase 9/2014 (wedding gift from personal friend)	est. $375
2			
3			
4			
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Reporting Individual's Name
Heinzelman, Kate E.

SCHEDULE C

Part I: Liabilities

Report liabilities over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent children. Check the highest amount owed during the reporting period. Exclude a mortgage on your personal residence unless it is rented out; loans secured by automobiles, household furniture or appliances; and liabilities owed to certain relatives listed in instructions. See instructions for revolving charge accounts.

None ☒

	Creditors (Name and Address)	Type of Liability	Date Incurred	Interest Rate	Term if applicable	$10,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000
Examples:	First District Bank, Washington, DC	Mortgage on rental property, Delaware	1991	8%	25 yrs.			x								
	John Jones, Washington, DC	Promissory note	1999	10%	on demand					x						
1																
2																
3																
4																
5																

*This category applies only if the liability is solely that of the filer's spouse or dependent children. If the liability is that of the filer or a joint liability of the filer with the spouse or dependent children, mark the other higher categories, as appropriate.

Part II: Agreements or Arrangements

Report your agreements or arrangements for: (1) continuing participation in an employee benefit plan (e.g. pension, 401k, deferred compensation); (2) continuation of payment by a former employer (including severance payments); (3) leaves of absence; and (4) future employment. See instructions regarding the reporting of negotiations for any of these arrangements or benefits.

None ☒

	Status and Terms of any Agreement or Arrangement	Parties	Date
Example	Pursuant to partnership agreement, will receive lump sum payment of capital account & partnership share calculated on service performed through 1/00.	Doe Jones & Smith, Hometown, State	7/85
1			
2			
3			
4			
5			
6			

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Reporting Individual's Name		Page Number
Heinzelman, Kate E.	SCHEDULE D	6 of 10

Part I: Positions Held Outside U.S. Government

Report any positions held during the applicable reporting period, whether compensated or not. Positions include but are not limited to those of an officer, director, trustee, general partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise or any non-profit organization or educational institution. **Exclude** positions with religious, social, fraternal, or political entities and those solely of an honorary nature.

None ☐

	Organization (*Name and Address*)	Type of Organization	Position Held	From (*Mo., Yr.*)	To (*Mo., Yr.*)
Examples	Nat'l Assn. of Rock Collectors, NY, NY	Non-profit education	President	6/92	Present
	Doe Jones & Smith, Hometown, State	Law firm	Partner	7/85	1/00
1	J.C.A. 2014 Irrevocable Trust	Family trust	Protector (I will not accept compensation for this role; neither my	05/2014	present
2			husband nor I have a vested beneficial interest)		
3					
4					
5					
6					

Part II: Compensation in Excess of $5,000 Paid by One Source

Do not complete this part if you are an Incumbent, Termination Filer, or Vice Presidential or Presidential Candidate.

Report sources of more than $5,000 compensation received by you or your business affiliation for services provided directly by you during any one year of the reporting period. This includes the names of clients and customers of any corporation, firm, partnership, or other business enterprise, or any other non-profit organization when you directly provided the services generating a fee or payment of more than $5,000. You need not report the U.S. Government as a source.

None ☐

	Source (*Name and Address*)	Brief Description of Duties
Examples	Doe Jones & Smith, Hometown, State	Legal services
	Metro University (client of Doe Jones & Smith), Moneytown, State	Legal services in connection with university construction
1		
2		
3		
4		
5		
6		

Continued Financial Disclosures for Schedule A

Reporting Period: 01/01/14–12/31/14

Asset	Value of Asset at close of reporting period	Income
American Express Co. (AMEX)	None (or less than $1,001)	Capital gains: $5,001–$15,000
Blackrock Inc. (BLK)	None (or less than $1,001)	Capital gains: $5,001–$15,000
C. R. Bard Inc. (BCR)	None (or less than $1,001)	Capital gains: $5,001–$15,000
Citibank checking account (personal)	$15,001–$50,000	None (or less than $201)
Citibank checking account (joint) (also on p. 2)	$1,000,001–$5,000,000	None (or less than $201)
Citibank savings account	$1,001–$15,000	None (or less than $201)
Deere & Co. (DE)	None (or less than $1,001)	Dividends: $201–$1,000
Express Scripts Holding Co. (ESRX)	None (or less than $1,001)	Capital gains: $1,001–$2,500
Foot Locker, Inc. (FL)	$15,001–$50,000	Dividends: $201–$1,000
Franklin Resources, Inc. (BEN)	None (or less than $1,001)	Capital gains: $2,501–$5,000
iShares National Amt Free Muni Bond ETF (MUB) (excepted investment fund)	$50,001–$100,000	Dividends: $201–$1,000
Johnson & Johnson (JNJ)	None (or less than $1,001)	Capital gains: $15,001–$50,000
JP Morgan Chase & Co. (JPM)	None (or less than $1,001)	Capital gains: $1,001–$2,500 Dividends: $201–$1,000
Koninklijke Philips NV (PHG)	None (or less than $1,001)	Capital gains: $1,001–$2,500 Dividends: $201–$1,000
Lowe's Companies, Inc. (LOW)	$15,001–$50,000	Dividends: $201–$1,000
Netflix, Inc. (NFLX)	$1,001–$15,000	Capital gains: $5,001–$15,000
Neuberger Berman Equity Income Fund Institutional Class (NBHIX) (excepted investment fund)	None (or less than $1,001)	Capital gains: $5,001–$15,000 Dividends: $2,501–$5,000
Neuberger Berman Floating Rate Income Fund Institutional Class (NFIIX) (excepted investment fund)	None (or less than $1,001)	Dividends: $1,001–$2,500
Neuberger Berman Short Duration High Income Fund Institutional Class (NHSIX) (excepted investment fund)	None (or less than $1,001)	Dividends: $1,001–$2,500
Northwestern Mutual life insurance (cash value)	$50,001–$100,000	None (or less than $201)
Novartis AG (NVS)	None (or less than $1,001)	Capital gains: $5,001–$15,000

Asset	Value of Asset at close of reporting period	Income
Prosper Marketplace notes (combined value)	$1,001–$15,000	Original issue discount: $1,001–$2,500
Roche Holdings Ltd. (RHHBY)	None (or less than $1,001)	Capital gains: $5,001–$15,000
Sanofi Sponsored ADR (SNY)	None (or less than $1,001)	Capital gains: $5,001–$15,000
Suntrust checking account (joint)	$1,001–$15,000	None (or less than $201)
Travelers Companies Inc. (TRV)	None (or less than $1,001)	Capital gains: $5,001–$15,000
Unilever N.V. ADR (UN)	None (or less than $1,001)	Capital gains: $5,001–$15,000 Dividends: $1,001–$2,500
Union Pacific Corporation (UNP)	None (or less than $1,001)	Capital gains: $15,001–$50,000 Dividends: $1,001–$2,500
United States savings bonds	$1,001–$15,000	Interest: $201–$1,000
Valmont Industries, Inc. (VMI)	$1,001–$15,000	None (or less than $201)
Vanguard Dividend Appreciation ETF (VIG) (excepted investment fund)	$50,001–$100,000	Dividends: $201–$1,000
Vanguard FTSE Developed Mkts ETF (VEA) (excepted investment fund)	$100,001–$250,000	Dividends: $2,501–$5,000
Vanguard FTSE Emerging Markets (VWO) (excepted investment fund)	$250,001–$500,000	Dividends: $2,501–$5,000
Vanguard Prime Money Market	$1,001–$15,000	None (or less than $201)
Vanguard Short-Term Investment Grade Fund Investor Shares (VFSTX) (excepted investment fund)	None (or less than $1,001)	Dividends: $1,001–$2,500
Vanguard Total Stock Market ETF (VTI) (excepted investment fund)	$250,001–$500,000	Dividends: $2,501–$5,000
Vanguard Target Retirement 2055 Fund (VFFVX) (excepted investment fund) (in Roth IRA)	$15,001–$50,000	None (or less than $201)
Wells Fargo & Co. (WFC)	None (or less than $1,001)	Capital gains: $5,001–$15,000 Dividends: $201–$1,000
Whole Foods Market, Inc. (WFM)	$1,001–$15,000	None (or less than $201)

Continuation of Schedule B, Part I

Heinzelman, Kate E.

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Stock in JP Morgan Chase & Co. (JPM)	Sale	10/8/2014	15,000-50,000
Stock in Union Pacific Corp (UMP)	Sale	11/14/2014	50,001 – 100,000
Stock in Johnson & Johnson (JNJ)	Sale	11/10/2014	15,001 – 50,000
Stock in Unilever NV (ADR) (UN)	Sale	11/11/2014	15,001 – 50,000
Stock in Wells Fargo & Co.	Sale	12/1/2014	15,001 – 50,000
Blackrock Global Allocation A	Purchase	12/17/2014	1,001 – 15,000
Blackrock Global Allocation A	Reinvestment (purchase)	12/17/2014	1,001-15,000
MFS Global Total Return A	Purchase	12/12/2014	100,001 – 250,000
Blackrock Money Market Investment A	Purchase	12/8/2014	15,001 – 20,000
Blackrock Global Allocation A	Sale	12/8/2014	100,001 – 250,000
Blackrock Global Allocation A	Sale	12/8/2014	15,001 – 50,000
Vanguard FTSE Developed Markets ETF (VEA)	Purchase	10/15/2014	1,001 – 15,000
iShares National AMT Free Muni Bond ETF (MUB)	Purchase	11/06/2014	15,001 – 50,000
Vanguard FTSE Developed Markets ETF (VEA)	Purchase	11/06/2014	100,001 – 250,000
Vanguard Dividend Appreciation ETF (VIG)	Purchase	11/06/2014	15,001 – 50,000

Vanguard Total Stock Market ETF (VTI)	Purchase	11/06/2014	250,001 – 500,000
Vanguard FTSE Emerging Markets ETF (VWO)	Purchase	11/06/2014	100,001 – 250,000
iShares National AMT Free Muni Bond ETF (MUB)	Purchase	12/01/2014	1,001 – 15,000
Vanguard FTSE Developed Markets ETF (VEA)	Purchase	12/01/2014	15,001 – 50,000
Vanguard Dividend Appreciation ETF (VIG)	Purchase	12/01/2014	1,001 – 15,000
Vanguard Total Stock Market ETF (VTI)	Purchase	12/01/2014	15,001 – 50,000
Vanguard FTSE Emerging Markets ETF (VWO)	Purchase	12/01/2014	15,001 – 50,000
Vanguard FTSE Developed Markets ETF (VEA)	Purchase	12/10/2014	1,001 – 15,000
Vanguard Total Stock Market ETF (VTI)	Purchase	12/10/2014	1,001 – 15,000
Vanguard FTSE Emerging Markets ETF (VWO)	Purchase	12/10/2014	15,001 – 50,000