

# Executive Branch Personnel PUBLIC FINANCIAL DISCLOSURE REPORT

Date of Appointment, Candidacy, Election, or Nomination (Month, Day, Year) <del>01/26/2014</del> 2/2014 <b>WW</b>		Reporting Status (Check Appropriate Boxes) Last Name Rosenbaum	Incumbent <input checked="" type="checkbox"/>	Calendar Year Covered by Report 2015	New Entrant, Nominee, or Candidate <input type="checkbox"/>	Termination Date (If Applicable) (Month, Day, Year)	Termination Date (If Applicable) (Month, Day, Year)	<b>Fee for Late Filing</b> 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 Individual's Name Rosenbaum		Title of Position Assistant to the President	Department or Agency (If Applicable) Office of Legislative Affairs	First Name and Middle Initial Amy D.	Filer <input type="checkbox"/>	Termination Date (If Applicable) (Month, Day, Year)	Termination Date (If Applicable) (Month, Day, Year)	
Position for Which Filing	Address (Number, Street, City, State, and ZIP Code) 1600 Pennsylvania Ave NW, Washington, DC 20502		Telephone No. (Include Area Code) (202) 456-1414		<b>Reporting Periods</b> 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. Schedule D is not applicable. New Entrants and Candidates for President and Vice President:			
Location of Present Office (or forwarding address)	Title of Position(s) and Date(s) Held Deputy Assistant to the President 1/2014 - 2/2016		Name of Congressional Committee Considering Nomination Not Applicable		Do You Intend to Create a Qualified Diversified Trust? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		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.	
Position(s) Held with the Federal Government During the Preceding 12 Months (If Not Same as Above)	Signature of Reporting Individual [Redacted]		Date (Month, Day, Year) 6/31/16*		*Filed timely on 4/7/16			
Presidential Nominees Subject to Senate Confirmation	Signature of Other Reviewer [Redacted]		Date (Month, Day, Year) 6/31/16					
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 Designated Agency Ethics Official/Reviewing Official [Handwritten Signature]		Date (Month, Day, Year) 6/7/16					
Other Review (If desired by agency)	Signature [Handwritten Signature]		Date (Month, Day, Year) 6/7/16					
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 [Handwritten Signature]		Date (Month, Day, Year) 6/7/16					
Office of Government Ethics Use Only	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)						
Agency Use Only		4-7/16						
OGE Use Only								

Reporting Individual's Name  
 Rosenbaum, Amy D.

# SCHEDULE A

Assets and Income	Valuation of Assets at close of reporting period										Income: type and amount. If "None (or less than \$201)" is checked, no other entry is needed in Block C for that item.																																
	BLOCK B										BLOCK C																																
											Type			Amount										Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria																		
BLOCK A														BLOCK B														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.														None (or less than \$1,001)																													
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).														\$1,001 - \$15,000																													
None <input type="checkbox"/>														\$15,001 - \$50,000																													
Examples														\$50,001 - \$100,000																													
Central Airlines Common														x																													
Doe Jones & Smith, Hometown, State																																											
Kempstone Equity Fund														x																													
IRA: Heartland 500 Index Fund																																											
1 Thornburg Investment Income Builder Fund Cl A														x																													
2 Corporate Property Associates 17 Global														x																													
3 Carey Watermark investors (non-traded REIT)														x																													
4 Thornburg Investment Income Builder Fund Cl A														x																													
5 Mainstay Unconstrained Bond Fund Cl A														x																													
6 KBS REIT II														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.

Reporting Individual's Name  
 Rosenbaum, Amy D.

**SCHEDULE A continued**  
 (Use only if needed)

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Assets and Income	Valuation of Assets at close of reporting period										Income: type and amount. If "None (or less than \$201)" is checked, no other entry is needed in Block C for that item.												
	BLOCK B										BLOCK C												
	Type										Amount												
																				Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria		
1	Powershares S&P 500 Low Volatility ETF										X												
2	Aips Sector Dividend Dogs ETF										X												
3	Aips International Sector Dividend Dogs ETF										X												
4	SPDR S&P Global Dividend ETF										X												
5	Kayne Anderson MLP Investment Company										X												
6	Powershares FTSE Rafi US 1500 Small-Mid ETF										X												
7	Bank Deposit Sweep Program "US Money Market Account"										X												
8	Bank Deposit Sweep Program "US Money Market Account"										X												
9	Corporate Property Associates 17 Global										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.

Reporting Individual's Name  
 Rosenbaum, Amy D.

## SCHEDULE A continued

(Use only if needed)

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1 S	Assets and Income	Valuation of Assets at close of reporting period										Income: type and amount. If "None (or less than \$201)" is checked, no other entry is needed in Block C for that item.																								
																						BLOCK A					BLOCK B					BLOCK C				
												Type		Amount										Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria											
		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	Dividends	Rent and Royalties	Interest	Capital Gains	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			
1	Kayne Anderson MLP Investment Company		X											X			X				X															
2	Aips International Sector Dividend Dogs ETF		X											X			X				X															
3	Thornburg Investment Income Builder Fund Cl A			X										X			X				X															
4	Bank Deposit Sweep Program "US Money Market Account"		X											X				X			X															
5	Bank Deposit Sweep Program "US Money Market Account"		X											X				X			X															
6	DFA US Core Equity I Portfolio Institutional Cl			X										X			X				X															
7	DFA Small Cap Portfolio Institutional Cl			X										X			X				X															
8	DFA International Value Portfolio Institutional Cl			X										X			X				X															
9	DFA US Large Cap Value Portfolio Institutional Cl			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.

**SCHEDULE A continued**  
 (Use only if needed)

Reporting Individual's Name  
 Rosenbaum, Amy D.

Assets and Income	Valuation of Assets at close of reporting period								Income: Type and amount. If "None (or less than \$201)" is checked, no other entry is needed in Block C for that item.	Date (Mo., Day, Yr.) Only if Honoraria																	
	BLOCK B										BLOCK C																
BLOCK A	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*	Type	Amount	Other Income (Specify Type & Actual Amount)																
	\$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	Dividends				Rent and Royalties	Interest	Capital Gains	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		
1 S DFA International Small Company Portfolio Institutional CI	X								X			X															
2 S DFA Five Year Global Fixed Income Portfolio Institutional CI		X									X																
3 S DFA One Year Fixed Income Portfolio Institutional CI		X									X																
4 S DFA Emerging Markets Value Portfolio Institutional CI		X									X																
5 S DFA Real Estate Securities Portfolio Institutional CI		X									X																
6 S Bank Deposit Sweep Program "US Money Market Account"			X								X																
7 S Jackson National Curran Guidance - Institutional Alternative 100 (variable annuity)				X							X																
8 S American Funds Capital Income Builder CI 529-A					X						X																
9 S Podesta Group																											

\* 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.



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

Reporting Individual's Name  
 Rosenbaum, Amy D.

**SCHEDULE B**

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**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

Example	Central Airlines Common	Identification of Assets	Transaction Type (X)	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		
1	American Funds Capital Income Builder CI 529-A		X	2/1/99			X											
2	Kayne Anderson MLP Investment Company		X	7/20/2015														
3	Alps International Sector Dividend Dogs ETF		X	7/20/2015														
4	Thornburg Investment Income Builder Fund CI A		X	5/29/2015			X											
5	Mainstay Unconstrained Bond Fund CI A		X	7/20/2015														

\*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 Rook Collectors, NY, NY Frank Jones, San Francisco, CA	Airline ticket, hotel room & meals incident to national conference 6/15/99 (personal activity unrelated to duty) Leather briefcase (personal friend)	\$500 \$385
1			
2			
3			
4			
5			

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

Reporting Individual's Name  
 Rosenbaum, Amy D.

**SCHEDULE B continued**  
 (Use only if needed)

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**Part I: Transactions**

Identification of Assets	Transaction Type (X)			Date (Mo., Day, Yr.)	Amount of Transaction (X)											
	Purchase	Sale	Exchange		\$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
1 Alps Sector Dividend Dogs ETF	X			7/20/2015	X											
2 Alps International Sector Dividend Dogs ETF	X			7/20/2015	X											
3 Blackrock Corporate High Yield Fund		X		7/20/2015		X										
4 Calamos Convertible Opportunities and Income Fund		X		7/20/2015			X									
5 DFA Emerging Markets Value Portfolio Institutional CI	X			6/15/2015	X											
6 DFA International Value Portfolio Institutional CI	X			6/15/2015	X											
7 DFA US Large Cap Value Portfolio Institutional CI		X		6/15/2015	X											
8 DFA US Small Cap Portfolio Institutional CI		X		6/15/2015	X											
9 DFA US Core Equity I Portfolio Institutional CI		X		6/15/2015	X											
10 Fidelity VIP Contrafund Port		X		6/19/2015	X											
11																
12																
13																
14																
15																
16																

\*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.



Reporting Individual's Name  
 Rosenbaum, Amy D.

### SCHEDULE C

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### 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

Examples	Creditors (Name and Address)	Type of Liability	Date Incurred	Interest Rate	Term if applicable	Category of Amount or Value (x)													
						\$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			
1	First District Bank, Washington, DC John Jones, Washington, DC	Mortgage on rental property, Delaware	1991	8%	2.5 yrs. on demand			x											
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

Example	Status and Terms of any Agreement or Arrangement	Parties	Date
1	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
2			
3			
4			
5			
6			

Reporting Individual's Name  
 Rosenbaum, Amy D.

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## SCHEDULE D

### 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	Karl Assn. of Rook Collectors, NY, NY Doe Jones & Smith, Hometown, State	Non-profit education Law firm	President Partner	6/92 7/85	Present 1/00
1					
2					
3					
4					
5					
6					

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

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 a 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 Metro University (client of Doe Jones & Smith), Moneytown, State	Legal services Legal services in connection with university construction
1		
2		
3		
4		
5		
6		