

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

Filer's Information

Norby, Heather N.

Spokesperson, Public Affairs, Department of State

Date of Appointment: 04/19/2017

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

Electronic Signature - I certify that the statements I have made in this form are true, complete and correct to the best of my knowledge.

eSigned in FDM by:

Heather N. Norby

User ID: [REDACTED]

04/20/2017

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).

eSigned in FDM by:

Robert L. Nightingale

User ID: [REDACTED]

04/20/2017

Other review conducted by

U.S. Office of Government Ethics Certification

1. Filer Positions Held outside United States Government

#	NAME	CITY, STATE	OGE TYPE	POSITION	FROM	TO
1	21st Century Fox	New York, NY, USA	Business Enterprise	Anchor/Correspondent	08/2007	04/2017
2	Heather Norby Discretionary Trust	USA	Trusts and Estates	Trustee	12/2009	Present
3	The American College Center for Veterans Affairs	Bryn Mawr, PA, USA	Educational Institu	Advisory Board Member	11/2016	Present

2. Filer's Employment Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Fidelity 401k	Yes	\$250,001 - \$500,000		None (or less than \$201)

1.1	Vanguard Target 2035 Fund	Yes	\$100,001 - \$250,000		None (or less than \$201)
1.2	Dodge & Cox Stock Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.3	Fidelity Global ex-U.S. Index Fund	Yes	\$50,001 - \$100,000		None (or less than \$201)
1.4	Fidelity 500 Index Fund	Yes	\$100,001 - \$250,000		None (or less than \$201)
1.5	American Funds AMCAP Fund	Yes	\$50,001 - \$100,000		None (or less than \$201)
1.6	First Eagle Overseas Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
2	20th Century Fox Film	N/A		Royalties	\$229
3	21st Century Fox salary	N/A		Salary	\$485000

3. Filer Employment Agreements and Arrangements

EMPLOYER OR OTHER PARTY TO AGREEMENT/ARRANGEMENT				
#	AGREEMENT/ARRANGEMENT	CITY/STATE	STATUS AND TERMS	DATE
1	21st Century Fox	New York, NY, USA	Continuing participation in Employee Benefit Plan: 01K, will be moved to a Vanguard IRA when I leave the company	4/08/2007

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	21st Century Fox	New York, NY	Anchor/Correspondent

5. Spouse's Employment Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	401K - Blackrock S&P 500 Index Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
2	401K - Blackrock S&P 400 Midcap Index	Yes	\$15,001 - \$50,000		None (or less than \$201)
3	401K - Thompson Siegel Walmsley Mid Cap Value	Yes	\$15,001 - \$50,000		None (or less than \$201)
4	401K - BlackRock Russell 2000 Index	Yes	\$15,001 - \$50,000		None (or less than \$201)
5	401K - BlackRock MSCI ACWI Ex-US IMI Index Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
6	401K - FIAM Select International Small Cap Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
7	Unvested Deferred Compensation - Vanguard 500 Index Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
8	Unvested Deferred Compensation - Vanguard Mid Cap ETF Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
9	Unvested Deferred Compensation - Vanguard Small Cap ETF	Yes	\$15,001 - \$50,000		None (or less than \$201)
10	Unvested Deferred Compensation - Vanguard Total Stock Market ETF	Yes	\$15,001 - \$50,000		None (or less than \$201)

11	Unvested Deferred Compensation - Vanguard Mid Cap ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
12	Unvested Deferred Compensation - Vanguard Small Cap E TF	Yes	\$1,001 - \$15,000		None (or less than \$201)
13	Unvested Morgan Stanley Restricted Stock Units	N/A	\$100,001 - \$250,000		None (or less than \$201)
14	Unvested Deferred Compensation - Morgan Stanley Prime Property Fund	Yes	\$50,001 - \$100,000		None (or less than \$201)
15	Morgan Stanley salary and bonus	N/A		Salary	

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	IRA - Vanguard Growth Index Fund	Yes	\$50,001 - \$100,000		None (or less than \$201)
2	IRA - Vanguard Mid-Cap Growth Fund	Yes	\$50,001 - \$100,000		None (or less than \$201)
3	IRA - Vanguard Mid-Cap Index Fund	Yes	\$50,001 - \$100,000		None (or less than \$201)
4	IRA - Vanguard Mid-Cap Value Index Fund	Yes	\$50,001 - \$100,000		None (or less than \$201)
5	IRA - Vanguard Value Index Fund	Yes	\$50,001 - \$100,000		None (or less than \$201)
6	Trust - Vanguard 500 Index Fund	Yes	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000
7	Trust - Vanguard Energy Index Fund	Yes	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
8	Trust - Vanguard Growth Index Fund	Yes	\$250,001 - \$500,000	Dividends	\$2,501 - \$5,000
9	Trust - Vanguard Health Care Index Fund	Yes	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000
10	Trust - Vanguard High Yield Tax Exempt Fund	Yes	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
11	Trust - Vanguard Information Technology Index Fund	Yes	\$250,001 - \$500,000	Dividends	\$2,501 - \$5,000
12	Trust - Vanguard Intermediate-Term Tax-Exempt Fund	Yes	\$100,001 - \$250,000	Dividends, Interest	\$5,001 - \$15,000
13	Trust - Vanguard NY Long-Term Tax-Exempt Fund	Yes	\$100,001 - \$250,000	Dividends, Capital Gains, Interest	\$5,001 - \$15,000
14	Trust - Vanguard Total International Stock Index Fund	Yes	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
15	Trust - Vanguard Value Index Fund	Yes	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000
16	Trust - Vanguard Windsor II Fund	Yes	\$250,001 - \$500,000	Dividends, Capital Gains	\$15,001 - \$50,000
17	IRA - Vanguard Energy Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
18	IRA - Vanguard Growth Index Fund	Yes	\$100,001 - \$250,000		None (or less than \$201)
19	IRA - Vanguard High Dividend Yield Index Fund	Yes	\$100,001 - \$250,000		None (or less than \$201)
20	IRA - Vanguard Mid-Cap Growth Index Fund	Yes	\$100,001 - \$250,000		None (or less than \$201)
21	Roth IRA - Vanguard Energy Index Fund	Yes	\$50,001 - \$100,000		None (or less than \$201)
22	Roth IRA - Vanguard High Dividend Yield Fund	Yes	\$100,001 - \$250,000		None (or less than \$201)
23	Roth IRA - Vanguard Mid-Cap Value Index Fund	Yes	\$100,001 - \$250,000		None (or less than \$201)
24	Roth IRA - Vanguard Health Care Index Fund	Yes	\$250,001 - \$500,000		None (or less than \$201)

25	Goldman Sachs Private Equity Partners IX Employee Fund	Yes	\$15,001 - \$50,000	Capital Gains	\$2,501 - \$5,000
26	Goldman Sachs Private Equity Asia Employee Fund	Yes	\$50,001 - \$100,000	Capital Gains	\$2,501 - \$5,000
27	Goldman Sachs Vintage IV Employee Fund	Yes	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
28	Goldman Sachs Capital Partners VI Employee Fund	Yes	\$100,001 - \$250,000	Capital Gains	\$15,001 - \$50,000
29	Goldman Sachs Mezzanine Partners V Employee Fund	Yes	\$15,001 - \$50,000	Capital Gains, Interest	\$5,001 - \$15,000
30	Goldman Sachs Mezzanine Partners 2006 Employee Fund	Yes	\$1,001 - \$15,000	Capital Gains, Interest	\$201 - \$1,000
31	Goldman Sachs Real Estate Partners Employee Fund	Yes	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
32	Goldman Sachs Whitehall Street Global Real Estate Employee Fund 2007	Yes	\$15,001 - \$50,000	Capital Gains, Rent and Royalties	\$1,001 - \$2,500
33	Goldman Sachs Global Infrastructure Partners I Employee Fund	Yes	\$50,001 - \$100,000	Dividends, Capital Gains, Interest, Rent and Royalties	\$2,501 - \$5,000
34	U.S. bank account #1 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
35	Morgan Stanley Capital Partners VI Fund	Yes	\$250,001 - \$500,000	Capital Gains	\$1,001 - \$2,500
36	Morgan Stanley Global Opportunistic Real Estate Fund VIII	Yes	\$100,001 - \$250,000	Capital Gains, Rent and Royalties	\$2,501 - \$5,000
37	U.S. bank account #2 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
38	IRX Therapeutic	N/A	\$100,001 - \$250,000		None (or less than \$201)
39	U.S. bank account #3 (cash)	N/A	\$100,001 - \$250,000		None (or less than \$201)
40	Goldman Sachs stock	N/A	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000
41	Morgan Stanley stock	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
42	Vanguard NY 529 - Child #1	N/A			None (or less than \$201)
42.1	Aggressive Growth Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
42.2	Mid-Cap Stock Index Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
42.3	Growth Stock Index Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
42.4	Value Stock Index Fund	Yes	\$50,001 - \$100,000		None (or less than \$201)
42.5	Small-Cap Stock Index Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
43	Vanguard NY 529 - Child #2	N/A			None (or less than \$201)
43.1	Aggressive Growth Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
43.2	Mid-Cap Stock Index Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
43.3	Growth Stock Index Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
43.4	Value Stock Index Fund	Yes	\$50,001 - \$100,000		None (or less than \$201)
43.5	Small-Cap Stock Index Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
44	Spyglass Capital Management	No	\$100,001 - \$250,000	Dividends, Interest	\$1,001 - \$2,500

45	Imax Corp	N/A	\$1,001 - \$15,000	None (or less than \$201)
46	Southwestern Energy Co.	N/A	\$1,001 - \$15,000	None (or less than \$201)
47	Affiliated Managers Group	N/A	\$1,001 - \$15,000	None (or less than \$201)
48	Illumina Inc.	N/A	\$1,001 - \$15,000	None (or less than \$201)
49	AthenaHealth Inc.	N/A	\$1,001 - \$15,000	None (or less than \$201)
50	Acadia Healthcare Co. Inc.	N/A	\$1,001 - \$15,000	None (or less than \$201)
51	Pacira Pharmaceuticals	N/A	\$1,001 - \$15,000	None (or less than \$201)
52	Nevro Corp.	N/A	\$1,001 - \$15,000	None (or less than \$201)
53	Exact Sciences Corp.	N/A	\$1,001 - \$15,000	None (or less than \$201)
54	Quanta Services Inc.	N/A	\$1,001 - \$15,000	None (or less than \$201)
55	Proofpoint Inc.	N/A	\$1,001 - \$15,000	None (or less than \$201)
56	Arista Networks Inc.	N/A	\$1,001 - \$15,000	None (or less than \$201)
57	Tableau Software inc.-Cl A	N/A	\$1,001 - \$15,000	None (or less than \$201)
58	Splunk Inc.	N/A	\$1,001 - \$15,000	None (or less than \$201)
59	GoDaddy Inc. - Cl A	N/A	\$1,001 - \$15,000	None (or less than \$201)
60	Mobileye NV	N/A	\$1,001 - \$15,000	None (or less than \$201)
61	Workday Inc. - Cl A	N/A	\$1,001 - \$15,000	None (or less than \$201)
62	Envestnet Inc.	N/A	\$1,001 - \$15,000	None (or less than \$201)
63	Realogy Holdings Corp.	N/A	\$1,001 - \$15,000	None (or less than \$201)
64	Globalstar Inc.	N/A	\$1,001 - \$15,000	None (or less than \$201)
65	Goldman Sachs Global Long Short Partners 100% of fund 's assets in illiquid investments	Yes	\$1,001 - \$15,000	None (or less than \$201)

7. Transactions

This report has no reported **Transactions**

8. Liabilities

This report has no reported **Liabilities**

9. Gifts and Travel Reimbursements

This report has no reported **Gifts and Reimbursements**

Summary of Contents

1. Filer's Positions Held Outside the 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 and Income

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 and Income

Part 5 discloses the following:

- Sources of earned income (excluding honoraria) for the filer's spouse totaling more than \$1,000 during the reporting period (e.g., salary, consulting fees, and partnership share)

- Sources of honoraria for the filer's spouse greater than \$200 during the reporting period
- Assets related to the filer's spouse's employment, business activities, other income-generating activities that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in income during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's spouse's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF). Amounts of income are not required for a spouse's earned income (excluding honoraria).

6. Other Assets and Income

Part 6 discloses each asset, not already reported, that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in investment income during the reporting period. For purposes of the value and income thresholds, the filer aggregates the filer's interests with those of the filer's spouse and dependent children. This section does not include the following types of assets: (1) a personal residence (unless it was rented out during the reporting period); (2) income or retirement benefits associated with United States Government employment (e.g., Thrift Savings Plan); and (3) cash accounts (e.g., checking, savings, money market accounts) at a single financial institution with a value of \$5,000 or less (unless more than \$200 of income was produced). Additional exceptions apply. Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

7. Transactions

Part 7 discloses purchases, sales, or exchanges of real property or securities in excess of \$1,000 made on behalf of the filer, the filer's spouse or dependent child during reporting period. This section does not include transactions that concern the following: (1) a personal residence, unless rented out; (2) cash accounts (e.g., checking, savings, CDs, money market accounts) and money market mutual funds; (3) Treasury bills, bonds, and notes; and (4) holdings within a federal Thrift Savings Plan account. Additional exceptions apply.

8. Liabilities

Part 8 discloses liabilities over \$10,000 that the filer, the filer's spouse or dependent child owed at any time during the reporting period. This section does not include the following types of liabilities: (1) mortgages on a personal residence, unless rented out (limitations apply for PAS filers); (2) loans secured by a personal motor vehicle, household furniture, or appliances, unless the loan exceeds the item's purchase price; and (3) revolving charge accounts, such as credit card balances, if the outstanding liability did not exceed \$10,000 at the end of the reporting period. Additional exceptions apply.

9. Gifts and Travel Reimbursements

This section discloses:

- Gifts totaling more than \$375 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$375 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.

For purposes of this section, the filer need not aggregate any gift or travel reimbursement with a value of \$150 or less. Regardless of the value, this section does not include the following items: (1) anything received from relatives; (2) anything received from the United States Government or from the District of Columbia, state, or local governments; (3) bequests and other forms of inheritance; (4) gifts and travel reimbursements given to the filer's agency in connection with the filer's official travel; (5) gifts of hospitality (food, lodging, entertainment) at the donor's residence or personal premises; and (6) anything received by the filer's spouse or dependent children totally independent of their relationship to the filer. Additional exceptions apply.

Privacy Act Statement

Title I of the Ethics in Government Act of 1978, as amended (the Act), 5 U.S.C. app. § 101 et seq., as amended by the Stop Trading on Congressional Knowledge Act of 2012 (Pub. L. 112-105) (STOCK Act), and 5 C.F.R. Part 2634 of the U. S. Office of Government Ethics regulations require the reporting of this information. The primary use of the information on this report is for review by Government officials to determine compliance with applicable Federal laws and regulations. This report may also be disclosed upon request to any requesting person in accordance with sections 105 and 402(b)(1) of the Act or as otherwise authorized by law. You may inspect applications for public access of your own form upon request. Additional

disclosures of the information on this report may be made: (1) to any requesting person, subject to the limitation contained in section 208(d)(1) of title 18, any determination granting an exemption pursuant to sections 208(b)(1) and 208(b)(3) of title 18; (2) to a Federal, State, or local law enforcement agency if the disclosing agency becomes aware of violations or potential violations of law or regulation; (3) to another Federal agency, court or party in a court or Federal administrative proceeding when the Government is a party or in order to comply with a judge-issued subpoena; (4) to a source when necessary to obtain information relevant to a conflict of interest investigation or determination; (5) to the National Archives and Records Administration or the General Services Administration in records management inspections; (6) to the Office of Management and Budget during legislative coordination on private relief legislation; (7) to the Department of Justice or in certain legal proceedings when the disclosing agency, an employee of the disclosing agency, or the United States is a party to litigation or has an interest in the litigation and the use of such records is deemed relevant and necessary to the litigation; (8) to reviewing officials in a new office, department or agency when an employee transfers or is detailed from one covered position to another; (9) to a Member of Congress or a congressional office in response to an inquiry made on behalf of an individual who is the subject of the record; (10) to contractors and other non-Government employees working on a contract, service or assignment for the Federal Government when necessary to accomplish a function related to an OGE Government-wide system of records; and (11) on the OGE Website and to any person, department or agency, any written ethics agreement filed with OGE by an individual nominated by the President to a position requiring Senate confirmation. See also the OGE/GOVT-1 executive branch-wide Privacy Act system of records.

Public Burden Information

This collection of information is estimated to take an average of three hours per response, including time for reviewing the instructions, gathering the data needed, and completing the form. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Program Counsel, U.S. Office of Government Ethics (OGE), Suite 500, 1201 New York Avenue, NW., Washington, DC 20005-3917.

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, 3209-0001, is displayed here and at the top of the first page of this OGE Form 278e).