

Statement of Financial Interests for 2016



CONTACT INFORMATION

Last Name:

First Name and Middle initial:

Fahle

Heath W

Work Phone Number:

Other Phone:

(617) 727-2040 Ext : 35442

Work Email:

Other Email:

Heath.Fahle@MassMail.state.ma.us

Primary Residence Address:

Redacted

Contact mailing address

Redacted

You indicated that you did have a spouse residing in your household during 2016.

You indicated that you did have dependent child(ren) residing in your household during 2016.

Candidacy and Public Service

1. You have indicated that you are a candidate for public office. Select the office for which you are a candidate.

Filer reported none.

2. Identify the position you now hold, or have held, which requires you to file a Statement of Financial Interests and provide the required information for that position. If you held more than one public position which requires you to file, identify each position.

Agency Name	Address	Position	Date	Amount of Income
Executive Office for Administration & Finance (A&F)	24 Beacon Street, Boston, MA, 02133, US	Finance Director	05/30/2016	\$60,001 to 100,000

3. Other than the position(s) identified in Question 2, identify every public position you held, and every public agency to which you provided services, at any time during 2016, whether compensated or not, and whether full- or part-time.

Filer reported none.

4. Identify every public position your spouse and/or any dependent child(ren) residing in your household held, and every public agency to which your spouse and/or any dependent child(ren) residing in your household provided services, at any time during 2016, whether compensated or not, and whether full- or part-time.

Filer reported none.

Private Employment and Leaves of Absence

5. Identify every Business for which you worked as an employee, manager, consultant, or independent contractor at any time during 2016, whether compensated or not, and whether full- or part-time, and provide the required information for each.

Filer reported none.

6. Identify any Business from which you were on a leave of absence at any time during 2016, and provide its address.

Filer reported none.

7. Identify every Business for which your spouse and/or any dependent child(ren) residing in your household worked as an employee, manager, consultant, or independent contractor at any time during 2016, whether compensated or not, and whether full- or part-time, and provide the required information for each.

Filer reported none.

Business Ownership and Transfers

8. Identify each Business of which you were, in whole or in part, an owner, partner, or proprietor, or in which you owned more than 1% of any class of the outstanding stock or similar ownership interest, at any time during 2016, and provide the required information for each.

Business Name	Address	Percentage of stock	Income
Collier Farms East LLC	3220 Meadow Lane, Collegeville, PA, 19426 1413, US	25%	\$10,001 to 20,000
CFE Partners LLC	3220 Meadow Lane, Collegeville, PA, 19426 1413, US	25%	\$1,001 to 5,000
Montco Advisors	3220 Meadow Lane, Collegeville, PA, 19426 1413, US	1%	Less than \$1,001
Pauline Fahle Trust One	221500 E 740 Rd, Taloga, OK, 73667, US	34%	Less than \$1,001

9. Identify each Business of which your spouse and/or any dependent child(ren) residing in your household was, in whole or in part, an owner, partner, or proprietor, or in which your spouse and/or any dependent child(ren) residing in your household owned more than 1% of any class of the outstanding stock or similar ownership interest, at any time during 2016, and provide the required information for each.

Filer reported none.

10. Identify any stock or similar ownership interest in a Business which you transferred to your spouse and/or any dependent child(ren) residing in your household during 2016, and provide the required information for each.

Filer reported none.

Service as an Officer, Director, or Trustee

11. Identify any Business in which you served as an officer, director, or trustee, at any time during 2016, whether compensated or not, and whether full- or part-time, and provide the required information for each.

Filer reported none.

12. Identify any Business in which your spouse and/or any dependent child(ren) residing in your household served as an officer, director, or trustee, at any time during 2016, whether compensated or not, and whether full- or part-time, and provide the required information for each.

Filer reported none.

NOTE: If the Filer answered "YES" to a Question in the following section, one or more columns in the Table for that Question may be blank in the following situations: If the Filer indicated that the name of the person and/or the trust was a family member's name or address, the Filer was not required to provide that name. If the Filer indicated that an address was a family member's address, the Filer was not required to provide that address.

Real Estate

13. Identify all Real Estate in Massachusetts which you owned directly or through a Business as of December 31, 2016, and which had an assessed value greater than \$1,000, and provide the required information for each Real Estate holding.

Ownership Legend:
Filer = F
Spouse/Child(ren) = S/C
Trust = T

Filer reported none.

14. Other than the Real Estate identified in Question 13, identify all Real Estate in Massachusetts which your spouse and/or any dependent child(ren) residing in your household owned directly or through a Business as of December 31, 2016, and which had an assessed value greater than \$1,000, and provide the required information for each Real Estate holding.

Filer reported none.

15. Identify any Trust of which you were a beneficiary and which owned Real Estate in Massachusetts as of December 31, 2016, with an assessed value greater than \$1,000, and provide the required information for each such Trust and Real Estate holding.

Beneficiary Legend:
Filer = F
Spouse/Child(ren) = S/C
Trust = T

Filer reported none.

16. Other than the Real Estate identified in Question 15, identify any Trust of which your spouse and/or any dependent child(ren) residing in your household was a beneficiary and which owned Real Estate in Massachusetts as of December 31, 2016, with an assessed value greater than \$1,000, and provide the required information for each such Trust and Real Estate holding.

Filer reported none.

17. Identify any Real Estate in Massachusetts with an assessed value greater than \$1,000, that was transferred to another person or entity by you, or by a Trust of which you were a beneficiary, at any time during 2016, and provide the required information for each Real Estate holding.

Ownership Legend:
Filer = F
Spouse/Child(ren) = S/C
Trust = T

Filer reported none.

18. Other than the Real Estate identified in Question 17, identify any Real Estate in Massachusetts with an assessed value greater than \$1,000, that was transferred to another person or entity by your spouse and/or any dependent child(ren) residing in your household, or by a Trust of which your spouse and/or any dependent child(ren) residing in your household was a beneficiary, at any time during 2016, and provide the required information for each piece of Real Estate transferred.

Ownership Legend:
Filer = F
Spouse/Child(ren) = S/C
Trust = T

Filer reported none.

19. Identify any Real Estate in Massachusetts with an assessed value greater than \$1,000, on which, as of December 31, 2016, you, or a Trust of which you were a beneficiary, had a lien, attachment, or mortgage receivable, and provide the required information for each.

Ownership Legend:
Filer = F
Spouse/Child(ren) = S/C
Trust = T

Filer reported none.

20. Other than the Real Estate identified in Question 19, identify any Real Estate in Massachusetts with an assessed value greater than \$1,000, on which, as of December 31, 2016, your spouse and/or any dependent child(ren) residing in your household, or a Trust of which your spouse and/or any dependent child(ren) residing in your household, had a lien, attachment, or mortgage receivable, and provide the required information for each.

Ownership Legend:
Filer = F
Spouse/Child(ren) = S/C
Trust = T

Filer reported none.

NOTE: If the Filer answered “YES” to a Question in the following section, one or more columns in the Table for that Question may be blank in the following situations: If the Filer indicated that the name of the person and/or the trust was a family member’s name or address, the Filer was not required to provide that name. If the Filer indicated that an address was a family member’s address, the Filer was not required to provide that address.

Financial Investments

21. Identify every bond or other security issued by the Commonwealth of Massachusetts or its political subdivisions, agencies, and authorities, which you owned directly or through a Business, as of December 31, 2016, and which had a fair market value as of that date greater than \$1,000, and provide the required information for each such investment.

Ownership Legend:

Filer = F

Spouse/Child(ren) = S/C

Trust = T

Filer reported none.

22. Other than the bonds or other securities identified in Question 21, identify every bond or other security issued by the Commonwealth of Massachusetts or its political subdivisions, agencies, and authorities, which your spouse and/or any dependent child(ren) residing in your household owned directly or through a Business, as of December 31, 2016, and which had a fair market value as of that date greater than \$1,000, and provide the required information for each such investment.

Filer reported none.

23. Identify every bond or other security issued by the Commonwealth of Massachusetts or its political subdivisions, agencies, and authorities, which was owned as of December 31, 2016, by a Trust of which you were a beneficiary, whether directly or through a Business, and which had a fair market value as of that date greater than \$1,000, and provide the required information for each such investment.

Beneficiary Legend:

Filer = F

Spouse/Child(ren) = S/C

Trust = T

Filer reported none.

24. Identify every bond or other security issued by the Commonwealth of Massachusetts or its political subdivisions, agencies, and authorities, which was owned as of December 31, 2016, by a Trust of which your spouse and/or any dependent child(ren) residing in your household was a beneficiary, whether directly or through a Business, and which had a fair market value as of that date greater than \$1,000, and provide the required information for each such investment.

Filer reported none.



25. Identify every Financial Investment that you owned directly or through a Business as of December 31, 2016, and which had a fair market value as of that date greater than \$1,000, and provide the required information for each.

Ownership Legend:
 Filer = F
 Spouse/Child(ren) = S/C
 Trust = T

Name of Issuer	Owner	Description of Investment	Principal Place of Business or State of Incorporation	Address
Dreyfus Yield Enhancement Strategy Fund Class A (DABMX)	F			
BNY Mellon National Short-Term Muni Bond Fund Investor Shares (MINSX)	F			
BNY Mellon National Intermediate Municipal Bond Investor Shares (MINMX)	F			
Dreyfus Large Cap Equity Fund - Class Y (DLACX)	F			
BNY Mellon Mid Cap Multi-Strategy Fund Class M Shares (MPMCX)	F			
BNY Mellon Small Cap Multi-Strategy Class M Shares (MPSSX)	F			

BNY Mellon International Equity Income Fd Cl M (MLIMX)	F
BNY Mellon International Fund Class M Shares (MPITX)	F
BNY Mellon Emerging Markets Fund Class M Shares (MEMKX)	F
Dreyfus Diversified Emerging Markets Fund Class Y (SBYEX)	F
Dreyfus Alternative Diversifier Strategies Fund Class C (DRNCX)	F

26. Other than the Financial Investments identified in Question 25, identify every Financial Investment that your spouse and/or any dependent child(ren) residing in your household owned directly or through a Business as of December 31, 2016, and which had a fair market value as of that date greater than \$1,000, and provide the required information for each. For any Financial Investment not included on the drop-down list of publicly traded stock, you must provide the issuer's principal place of business or state of incorporation as well as its address.

Filer reported none.

27. Identify every Financial Investment that was owned as of December 31, 2016, by a Trust of which you were a beneficiary, and which had a fair market value as of that date greater than \$1,000, and provide the required information for each. For any Financial Investment not included on the drop-down list of publicly traded stock, you must provide the issuer's principal place of business or state of incorporation as well as its address.

Beneficiary Legend:
 Filer = F
 Spouse/Child(ren) = S/C
 Trust = T

Name of Issuer	Beneficiary	Description of Investment	Principal Place of Business or State of Incorporation	Issuer Address	Name of Trust
BNY Mellon Corporate Bond Fund Investor Shares (BYMIX)	F				
BNY Mellon Municipal Opportunities Fund Investor Shares (MOTIX)	F				
BNY Mellon Intermediate Bond Fund Investor Shares (MIIDX)	F				
Allergan plc Ordinary Shares (AGN)	F				
Accenture plc. Class A Ordinary Shares (Ireland) (ACN)	F				
Eaton Corporation, PLC Ordinary Shares (ETN)	F				

Ingersoll-Rand plc (Ireland) (IR)	F
Invesco Ltd Common Stock (IVZ)	F
Nabors Industries Ltd. (NBR)	F
NXP Semiconductors N.V. - Common Stock (NXPI)	F
Avago Technologies Limited - Ordinary Shares (AVGO)	F
AT&T Inc. (T)	F
Abbott Laboratories Common Stock (ABT)	F

Adobe Systems Incorporated - Common Stock (ADBE)	F
Aetna Inc. Common Stock (AET)	F
Agilent Technologies, Inc. Common Stock (A)	F
Ally Financial Inc. Common Stock (ALLY)	F
Alphabet Inc. - Class A Common Stock (GOOGL)	F
Amazon.com, Inc. - Common Stock (AMZN)	F
American Tower Corporation (REIT) Common Stock (AMT)	F

Amgen Inc. - Common Stock (AMGN)	F
Apple Inc. - Common Stock (AAPL)	F
Bank of America Corporation Common Stock (BAC)	F
BioMarin Pharmaceutical Inc. - Common Stock (BMRN)	F
Biogen Inc. - Common Stock (BIIB)	F
Bristol-Myers Squibb Company Common Stock (BMY)	F
Capital One Financial Corporation Common Stock (COF)	F

Cardinal Health, Inc. Common Stock (CAH)	F
Celanese Corporation Celanese Corporation Series A Common Stock (CE)	F
Celgene Corporation - Common Stock (CELG)	F
Chevron Corporation Common Stock (CVX)	F
Citizens Financial Group, Inc. Common Stock (CFG)	F
Comcast Corporation - Class A Common Stock (CMCSA)	F
Constellation Brands, Inc. Common Stock (STZ)	F

Costco Wholesale Corporation - Common Stock (COST)	F
Devon Energy Corporation Common Stock (DVN)	F
Walt Disney Company (The) Common Stock (DIS)	F
Dominion Resources, Inc. Common Stock (D)	F
Dow Chemical Company (The) Common Stock (DOW)	F
Exelon Corporation Common Stock (EXC)	F
Exxon Mobil Corporation Common Stock (XOM)	F

Facebook, Inc. - Class A Common Stock (FB)	F
General Electric Company Common Stock (GE)	F
Halliburton Company Common Stock (HAL)	F
Hartford Financial Services Group, Inc. (The) Common Stock (HIG)	F
Home Depot, Inc. (The) Common Stock (HD)	F
Honeywell International Inc. Common Stock (HON)	F
Illinois Tool Works Inc. Common Stock (ITW)	F

Intel Corporation - Common Stock (INTC)	F
Intercontinental Exchange Inc. Common Stock (ICE)	F
Johnson & Johnson Common Stock (JNJ)	F
Eli Lilly and Company Common Stock (LLY)	F
Marathon Petroleum Corporation Common Stock (MPC)	F
Merck & Company, Inc. Common Stock (new) (MRK)	F
Microsoft Corporation - Common Stock (MSFT)	F

Mondelez International, Inc. - Class A Common Stock (MDLZ)	F
Monster Beverage Corporation - Common Stock (MNST)	F
Nike, Inc. Common Stock (NKE)	F
Nucor Corporation Common Stock (NUE)	F
Palo Alto Networks, Inc. Common Stock (PANW)	F
Panera Bread Company - Class A Common Stock (PNRA)	F
Pepsico, Inc. Common Stock (PEP)	F

Pfizer, Inc. Common Stock (PFE)	F
Philip Morris International Inc Common Stock (PM)	F
Pioneer Natural Resources Company Common Stock (PXD)	F
Procter & Gamble Company (The) Common Stock (PG)	F
QUALCOMM Incorporated - Common Stock (QCOM)	F
Salesforce.com Inc Common Stock (CRM)	F
Schlumberger N.V. Common Stock (SLB)	F

Charles Schwab Corporation (The) Common Stock (SCHW)	F
Taiwan Semiconductor Manufacturing Company Ltd. (TSM)	F
3M Company Common Stock (MMM)	F
Time Warner Inc. New Common Stock (TWX)	F
United Technologies Corporation Common Stock (UTX)	F
Universal Health Services, Inc. Common Stock (UHS)	F
Valero Energy Corporation Common Stock (VLO)	F

Verizon Communications Inc. Common Stock (VZ)	F
Visa Inc. (V)	F
Voya Financial, Inc. Common Stock (VOYA)	F
Wells Fargo & Company Common Stock (WFC)	F
Yum! Brands, Inc. (YUM)	F
Zimmer Biomet Holdings, Inc. Common Stock (ZBH)	F
BNY Mellon Income Stock Fund Class M Shares (MPISX)	F

BNY Mellon Focused Equity Opportunities Fund Class M Shares (MFOMX)	F
Dynegy Inc. Common Stock (DYN)	F
BNY Mellon Mid Cap Multi-Strategy Fund Class M Shares (MPMCX)	F
BNY Mellon Small Cap Multi-Strategy Class M Shares (MPSSX)	F
BNY Mellon International Equity Income Fd Cl M (MLIMX)	F
BNY Mellon International Fund Class M Shares (MPITX)	F
Dreyfus International Small Cap Fund Class Y (DYYPX)	F

Dreyfus/Newton International Equity Fund Class Y (NIEYX)	F
Dreyfus International Stock Fund Class Y (DISYX)	F
Ishares MSCI Emerging Markets Small Cap Index Fund (EEMS)	F
Dreyfus Global Real Return Fund Class C (DRRCX)	F
ASG Managed Futures Strategy Fund Class C (ASFCX)	F
Dreyfus Floating Rate Income Fund Class C (DFLCX)	F
Dreyfus High Yield Fund Class C (PTHIX)	F

Lowe's
Companies, Inc.
Common
Stock (LOW)

F

Dreyfus Large
Cap Equity Fund
- Class Y (DLACX)

F

SPDR S&P
500 (SPY)

F

28. Other than the Financial Investments identified in Question 27, identify every Financial Investment that was owned as of December 31, 2016, by a Trust of which your spouse and/or any dependent child(ren) residing in your household was a beneficiary, and which had a fair market value as of that date greater than \$1,000, and provide the required information for each. For any Financial Investment not included on the drop-down list of publicly traded stock, you must provide the issuer's principal place of business or state of incorporation as well as its address.

Name of Issuer

**Description of
Investment**

**Principal Place of Business or
State of Incorporation**

Issuer Address

Name of Trust

SPDR S&P 500 (SPY)

NOTE: If the Filer answered “YES” to a Question in the following section, one or more columns in the Table for that Question may be blank in the following situations: If the Filer indicated that the name of the person and/or the trust was a family member’s name or address, the Filer was not required to provide that name. If the Filer indicated that an address was a family member’s address, the Filer was not required to provide that address.

Debts and Mortgages

29. Identify all mortgages, including home equity and reverse mortgage loans, on your Primary Residence, on which more than \$1,000 was owed as of December 31, 2016, where the creditor (person who loaned you the money) is NOT, by blood or marriage, your parent, grandparent, great grandparent, child, grandchild, great grandchild, aunt, uncle, sister, brother, niece, nephew, or the spouse of any such relative, and provide the required information for each.

Filer reported none.

30. Did you have a mortgage, including a home equity or reverse mortgage loan, on any property OTHER than your Primary Residence, on which more than \$1,000 was owed as of December 31, 2016, which you were obligated to pay and where the creditor (person who loaned you the money) is NOT, by blood or marriage, your parent, grandparent, great grandparent, child, grandchild, great grandchild, aunt, uncle, sister, brother, niece, nephew, or the spouse of any such relative?

Obligor Legend:

Filer = F

Spouse/Child(ren) = S/C

Trust = T

Filer reported none.

31. Identify all mortgages, including home equity and reverse mortgage loans, OTHER than any mortgage on your Primary Residence or any mortgage identified in response to Question 30, on which more than \$1,000 was owed as of December 31, 2016, and which your spouse and/or any dependent child(ren) residing in your household were obligated to pay and where the creditor (person who loaned the money to your spouse and/or dependent child(ren) residing in your household) is NOT, by blood or marriage, your parent, grandparent, great grandparent, child, grandchild, great grandchild, aunt, uncle, sister, brother, niece, nephew, or the spouse of any such relative, and provide the required information for each.

Filer reported none.

32. Identify all non-mortgage debts of more than \$1,000 that you owed as of December 31, 2016, IF the person to whom you owed the debt is NOT, by blood or marriage, your parent, grandparent, great grandparent, child, grandchild, great grandchild, aunt, uncle, sister, brother, niece, nephew, or the spouse of any such relative, and provide the required information for each.

Filer reported none.

33. Identify all non-mortgage debts of more than \$1,000 that your spouse and/or any dependent child(ren) residing in your household owed as of December 31, 2016, IF the person to whom your spouse and/or any dependent child(ren) residing in your household owed the debt is NOT, by blood or marriage, your parent, grandparent, great grandparent, child, grandchild, great grandchild, aunt, uncle, sister, brother, niece, nephew, or the spouse of any such relative, and provide the required information for each.

Filer reported none.

34. Identify non-mortgage debts of more than \$1,000 which you owed and which were forgiven at any time during 2016, EXCLUDING debts forgiven by a person who is, by blood or marriage, your parent, grandparent, great grandparent, child, grandchild, great grandchild, aunt, uncle, sister, brother, niece, nephew, or the spouse of any such relative, and provide the required information for each.

Filer reported none.

35. Identify non-mortgage debts of more than \$1,000 that were owed by your spouse and/or any dependent child(ren) residing in your household and were forgiven at any time during 2016, EXCLUDING debts forgiven by a person who is, by blood or marriage, your parent, grandparent, great grandparent, child, grandchild, great grandchild, aunt, uncle, sister, brother, niece, nephew, or the spouse of any such relative, and provide the required information for each.

Filer reported none.

Reimbursements, Gifts, and Honoraria

36. Identify any Reimbursements for expenses in excess of \$100 provided to you at any time during 2016 by any legislative agent or executive agent (lobbyist).

Filer reported none.

36.a Identify any Reimbursements for expenses in excess of \$100, other than those identified in response to Question 36, you received at any time during 2016 from any person having a direct interest in legislation, legislative action, or a matter before a governmental body.

Filer reported none.

37. Identify any Reimbursements for expenses in excess of \$100 provided to your spouse and/or any dependent child(ren) residing in your household at any time during 2016 by any legislative agent or executive agent (lobbyist).

Filer reported none.

37.a Identify any Reimbursements for expenses in excess of \$100, other than those identified in response to Question 37, provided to your spouse and/or dependent child(ren) residing in your household at any time during 2016 by any person having a direct interest in legislation, legislative action, or a matter before a governmental body.

Filer reported none.

38. Identify any Gifts and/or Honoraria worth more than \$100 provided to you at any time during 2016 by any person having a direct interest in legislation, legislative action, or a matter before a governmental body.

Filer reported none.

39. Identify any Gifts and/or Honoraria worth more than \$100 provided to your spouse and/or any dependent child(ren) residing in your household at any time during 2016 by any person having a direct interest in legislation, legislative action, or a matter before a governmental body.

Filer reported none.

NOTE: If the Filer answered “YES” to a Question in the following section, one or more columns in the Table for that Question may be blank in the following situations: If the Filer indicated that the name of the person and/or the trust was a family member’s name or address, the Filer was not required to provide that name. If the Filer indicated that an address was a family member’s address, the Filer was not required to provide that address.

Blind Trusts

40. Did you, your spouse and/or any dependent child(ren) residing in your household during 2016, own anything that you have not reported on this Statement of Financial Interests because it was held in a Blind Trust during 2016?

Filer reported none.

CERTIFICATION

I, Heath W Fahle, certify under the pains and penalties of perjury that:

I made a diligent effort to obtain the required information concerning myself and my spouse and/or any dependent child(ren); and

The information provided on this form is true and complete, to the best of my knowledge.

Submitted: 02/23/2018

Did your spouse and/or any dependent child(ren) residing in your household decline to disclose information which is necessary to complete this form fully and accurately?

The following are the specific Question(s) which I decline to answer in whole or in part because I assert that the information is privileged by law:

Please explain the basis of your claim of privilege:

IMPORTANT:

1. No DESIGNATED PUBLIC EMPLOYEE shall be allowed to continue in their duties or to receive compensation from public funds unless they have filed a Statement of Financial Interests with the State Ethics Commission.
2. The State Ethics Commission does not accept a faxed or emailed copy of a Statement of Financial Interests for filing.
3. If you were required to amend your Statement of Financial Interests last year, we encourage you to carefully review your 2016 filing before submitting.