

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

## Filer's Information

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**McIntosh, Brent James**

General Counsel, Department of the Treasury

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Other Federal Government Positions Held During the Preceding 12 Months:

None

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Names of Congressional Committees Considering Nomination:

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

**/s/ McIntosh, Brent James [electronically signed on 01/29/2017 by McIntosh, Brent James in Integrity.gov]**

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

**/s/ Horton, Elizabeth A, Certifying Official [electronically signed on 04/25/2017 by Horton, Elizabeth A in Integrity.gov]**

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Other review conducted by

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U.S. Office of Government Ethics Certification

**/s/ Apol, David, Certifying Official [electronically signed on 04/27/2017 by Apol, David in Integrity.gov]**

## 1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Sullivan & Cromwell LLP	Washington, District of Columbia	Law Firm	Partner	1/2011	Present
2	Ahn Family Foundation	Osterville, Massachusetts	Non-Profit	Grants Committee Member	8/2001	12/2016

## 2. Filer's Employment Assets & Income and Retirement Accounts

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Sullivan & Cromwell LLP (law firm) See Endnote	N/A		Partnership Share	\$2,885,127
2	Sullivan & Cromwell LLP capital account	N/A	\$50,001 - \$100,000		None (or less than \$201)
3	Sullivan & Cromwell LLP defined benefit plans for partners	N/A	\$50,001 - \$100,000		None (or less than \$201)
4	Sullivan & Cromwell LLP 401(k) Plan for Associates				
4.1	AllianzGI NFJ Small-Cap Value R6 (ANFVX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.2	Fidelity Balanced Fund - Class K (FBAKX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
4.3	Fidelity Contrafund (FCNKX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.4	Fidelity Diversified International K (FDIKX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.5	Fidelity Freedom K 2040 (FFKFX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.6	Fidelity Growth Company K (FGCKX)		Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
4.7	Fidelity Extended Market Index Premium (FSEVX)		Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
4.8	Fidelity 500 Index Institutional (FXSIX)		Yes	\$1,001 - \$15,000		None (or less than \$201)
4.9	Metropolitan West Total Return Bd Plan (MWTSX)		Yes	\$1,001 - \$15,000		\$201 - \$1,000
4.10	Fidelity Blue Chip Growth K (FBGKX)		Yes	None (or less than \$1,001)		\$5,001 - \$15,000
4.11	Fidelity Capital Appreciation K (FCAKX)		Yes	None (or less than \$1,001)		\$2,501 - \$5,000
4.12	Fidelity Growth & Income K (FGIKX)		Yes	None (or less than \$1,001)		\$201 - \$1,000
4.13	Fidelity Growth Strategies K (FAGKX)		Yes	None (or less than \$1,001)		\$5,001 - \$15,000
4.14	Fidelity Investment Grade Bond (FBNDX)		Yes	None (or less than \$1,001)		\$201 - \$1,000
4.15	Fidelity Mid Cap Stock K (FKMCX)		Yes	None (or less than \$1,001)		\$5,001 - \$15,000
4.16	Fidelity OTC K (FOCKX)		Yes	None (or less than \$1,001)		\$1,001 - \$2,500
4.17	Fidelity Value K (FVLKX)		Yes	None (or less than \$1,001)		\$1,001 - \$2,500
5	125 Broad Street Fund III, LLC	See Endnote	No	\$15,001 - \$50,000		None (or less than \$201)
5.1	5AM Co-Investors IV, LP		Yes			
5.2	5AM Ventures V, LP		Yes			
5.3	Bain Capital Fund XI, LP		Yes			
5.4	Bain Capital Europe Fund IV, LP		Yes			
5.5	Brentwood Associates Private Equity V, LP		Yes			

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.6	Centerbridge Capital Partners III, LP		Yes			
5.7	FFL Capital Partners IV, LP		Yes			
5.8	Formation8 Partners Fund, LP		Yes			
5.9	Freestyle Capital Fund III		Yes			
5.10	Hellman & Friedman Capital Partners VIII, LP		Yes			
5.11	Patria Brazilian Private Equity Fund V, LP		Yes			
5.12	Thoma Bravo Discover Fund, LP		Yes			
5.13	Thoma Bravo Fund XI, LP		Yes			
5.14	Thoma Bravo Special Opportunities II, LP		Yes			
5.15	Venrock Healthcare Capital Partners II, LP		Yes			
5.16	Warburg Pincus Private Equity Fund XII, LP		Yes			
6	Sullivan & Cromwell LLP defined contribution plans for partners	See Endnote	No	\$250,001 - \$500,000	Dividends Capital Gains Interest	\$5,001 - \$15,000
6.1	Acacia Institutional Partners, L.P.		Yes			
6.2	Artisan International Fund		Yes			
6.3	Carmel Partners Investment Fund VI, L.P.		Yes			
6.4	Centerbridge Credit Partners TE, L.P.		Yes			
6.5	Conatus Capital Overseas Ltd.		Yes			
6.6	Farallon Capital Offshore Investors II Holdings, L.P.		Yes			
6.7	Fir Tree International Value Fund (USTE), L.P.		Yes			
6.8	Hall Capital Partners Absolute Return Fund Offshore Feeder, L.P.		Yes			
6.9	Hall Capital Partners Energy and Natural Resources Fund, L.P.		Yes			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.10	Hall Capital Partners Merit Energy Partners H Investors, L.P.	Yes			
6.11	Hall Capital Partners Private Equity Fund V, L.P.	Yes			
6.12	Harris Associates Global L.P.	Yes			
6.13	Highline Capital International Inc.	Yes			
6.14	Longleaf Partners International Fund	Yes			
6.15	Mount Kellett Capital Partners (Cayman), L.P.	Yes			
6.16	Oakmark Equity and Income Fund	Yes			
6.17	Perry Partners International	Yes			
6.18	Prospect Harbor Designated Investments, LP	Yes			
6.19	Shorenstein Realty Investors Eight REIT	Yes			
6.20	Shorenstein Realty Investors Ten REIT	Yes			
6.21	Steadfast International Ltd.	Yes			
6.22	ValueAct Capital International I, LP	Yes			
6.23	Vanguard Institutional Index Fund	Yes			
6.24	Vanguard Short Term Bond Index Fund (Admiral Shares)	Yes			
6.25	Vanguard Total Bond Market Index Fund	Yes			
6.26	Varde Fund XI(B) (Feeder), L.P.	Yes			
6.27	Varde Fund XII(A), L.P.	Yes			
6.28	Westwood Global Investments Emerging Markets Fund, LLC	Yes			
6.29	125 Broad Street Fund, LLC	See Endnote	No		
6.30	125 Broad Street Fund II, LLC	See Endnote	No		

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.31	125 Broad Street Fund III, LLC	See Endnote	No		
6.32	BNY Mellon Short Term Investment Fund	Yes			
7	Sullivan & Cromwell LLP partnership termination payment	N/A	\$250,001 - \$500,000		None (or less than \$201)

### 3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Sullivan & Cromwell LLP	Washington, District of Columbia	If confirmed by the Senate, I will resign from the partnership of Sullivan & Cromwell LLP. Within 60 days of my withdrawal from the firm, I will receive a payout of my capital account and of my share of undistributed profits in respect of the firm's 2016 and 2017 fiscal years. With respect to 2017, I will receive my pro rata share of estimated profits, calculated as of the date of my withdrawal. Such payments will be made to me pursuant to the firm's established compensation, partnership, or benefits program, and will not be made on the basis of a determination made after it became known to Sullivan & Cromwell LLP that I was being considered for or had accepted nomination to a government position.	1/2011
2	Sullivan & Cromwell LLP defined contribution plans for partners	New York, New York	If I am confirmed by the Senate, my interests in these plans will be paid out to me within 65 days of my withdrawal from the firm. Such payments will be made pursuant to the firm's established compensation, partnership, or benefits program, and will not be made on the basis of a determination made after it became known to Sullivan & Cromwell LLP that I was being considered for or had accepted nomination to a government position.	9/2001
3	Sullivan & Cromwell LLP defined benefit plans for partners	New York, New York	I will remain a participant in these plans, under which I will be entitled to a retirement annuity beginning at age 65. I will not accrue additional benefits under these plans after I resign from the firm.	1/2011

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
4	125 Broad Street Fund III, LLC	New York, New York	If I am confirmed by the Senate, my interest in 125 Broad Street Fund III, LLC will be assigned to and assumed by other investors in that fund prior to my appointment. This investment fund is not sponsored by Sullivan & Cromwell LLP but is available to partners of Sullivan & Cromwell LLP and administered by the firm.	8/2013
5	Sullivan & Cromwell LLP	Washington, District of Columbia	Within 60 days of my withdrawal from the firm, I will receive a termination payment due to me under the terms of the partnership agreement. The amount will be fixed upon withdrawal according to an objective formula that uses partner seniority and interests in the defined benefit and defined contribution plan for partners.	1/2011
6	Sullivan & Cromwell LLP 401(k) Plan for Associates	New York, New York	I will continue to participate in this plan. The plan sponsor will not make further contributions after my resignation from the firm.	9/2001

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	Sullivan & Cromwell LLP	Washington, District of Columbia	Legal services
2	Australia Pacific LNG Proprietary Ltd (client of Sullivan & Cromwell LLP)	Milton, Queensland, Australia, Outside U.S.	Legal services
3	Bank Hapoalim (client of Sullivan & Cromwell LLP)	Tel Aviv, Israel, Outside U.S.	Legal services
4	Barclays Bank PLC (client of Sullivan & Cromwell LLP)	London, England, Outside U.S.	Legal services
5	Barclays Capital Inc. (client of Sullivan & Cromwell LLP)	New York, New York	Legal services

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
6	BP PLC (client of Sullivan & Cromwell LLP)	London, England, Outside U.S.	Legal services
7	Energy Futures Holdings Corp. Committee of Unsecured Creditors (client of Sullivan & Cromwell LLP)	Wilmington, Delaware	Legal services
8	Graham Spanier (client of Sullivan & Cromwell LLP)	State College, Pennsylvania	Legal services
9	Higher One Holdings, Inc. (client of Sullivan & Cromwell LLP)	New Haven, Connecticut	Legal services
10	JPMorgan Chase & Co. (client of Sullivan & Cromwell LLP)	New York, New York	Legal services
11	Nomura Holding America Inc. (client of Sullivan & Cromwell LLP)	New York, New York	Legal services
12	Popular, Inc. (client of Sullivan & Cromwell LLP)	Hato Rey, Puerto Rico	Legal services
13	Prudential Financial, Inc. (client of Sullivan & Cromwell LLP)	Newark, New Jersey	Legal services
14	Related Fund Management, LLC (client of Sullivan & Cromwell LLP)	Dallas, Texas	Legal services
15	Securities Industry & Financial Markets Association (client of Sullivan & Cromwell LLP)	New York, New York	Legal services
16	United States Chamber of Commerce (client of Sullivan & Cromwell LLP)	Washington, District of Columbia	Legal services
17	Volkswagen AG (client of Sullivan & Cromwell LLP)	Wolfsburg, Germany, Outside U.S.	Legal services
18	Wells Fargo & Co. (client of Sullivan & Cromwell LLP)	San Francisco, California	Legal services
19	CarVal Investors LLC (client of Sullivan & Cromwell LLP)	Hopkins, Minnesota	Legal Services
20	Claren Road Credit Master Fund, Ltd. (client of Sullivan & Cromwell LLP)	New York, New York	Legal services



#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
21	Claren Road Credit Opportunities Master Fund, Ltd. (client of Sullivan & Cromwell LLP)	New York, New York	Legal services
22	Fairholme Capital Management LLC (client of Sullivan & Cromwell LLP)	Miami, Florida	Legal services
23	GSO Capital Partners LP (client of Sullivan & Cromwell LLP)	New York, New York	Legal services
24	Paulson & Co. Inc. (client of Sullivan & Cromwell LLP)	New York, New York	Legal services
25	One client (an organizational client of Sullivan & Cromwell) is not listed because the client is subject to a non-public investigation		

## 5. Spouse's Employment Assets & Income and Retirement Accounts

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Wachtell, Lipton, Rosen & Katz (Legal services)	N/A		consulting fees	
2	Independent Retirement Account				
2.1	Aberdeen U.S. Small Cap Equity Fund Institutional Class (GSCIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.2	AMG Managers Skyline Special Equities Fund Class S (SKSEX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.3	Artisan International Value Fund Investor Class (ARTKX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.4	Baird Core Plus Bond Fund Class Investor (BCOSX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.5	Cohen & Steers Realty Shares Fund (CSRSX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
2.6	Credit Suisse Commodity Return Strategy Fund Class I (CRSOX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.7	Delaware Emerging Markets Fund Class A (DEMAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.8	Delaware Value Fund Class A (DDVAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.9	Deutsche Enhanced Commodity Strategy Fund Institutional Class (SKIRX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.10	Eagle Small Cap Growth Fund Class A (HRSCX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.11	Glenmede Large Cap Growth Portfolio (GTLX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.12	John Hancock Funds Disciplined Value Mid Cap Fund Class A (JVMAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.13	Lazard International Equity Portfolio Open Shares (LZIOX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.14	Metropolitan West Total Return Bond Fund Class M (MWTRX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.15	Northern Small Cap Value Fund (NOSGX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.16	Oakmark Fund Investor Class (OAKMX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.17	Oakmark International Small Cap Fund Investor Class (OAKEX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.18	Oppenheimer International Small-Mid Company Fund Class A (OSMAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.19	Parnassus Core Equity Fund - Investor Shares (PRBLX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.20	Principal MidCap Fund Class A (PEMGX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.21	Prudential Total Return Bond Fund Class Z (PDBZX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.22	Templeton Foreign Fund Class A (TEAFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.23	TIAA-CREF International Equity Fund Retail Class (TIERX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.24	Virtus Emerging Markets Opportunities Fund Class A (HEMZ)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.25	Western Asset Core Bond Fund Class I (WATFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.26	U.S. cash & money market	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.27	Brown Advisory Growth Equity Inv. (BIAGX)	Yes	None (or less than \$1,001)		\$201 - \$1,000
2.28	FMI Large Cap Fund (FMIHX)	Yes	None (or less than \$1,001)		\$201 - \$1,000
2.29	JHancock Disciplined Value A (JVLAX)	Yes	None (or less than \$1,001)		\$201 - \$1,000
2.30	JPMorgan Value Advantage (JVAAX)	Yes	None (or less than \$1,001)		\$201 - \$1,000
2.31	Oakmark International Small Cap Investor (OAKEX)	Yes	None (or less than \$1,001)		\$201 - \$1,000

## 6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	U.S. bank account at Institution No. 1 (cash/checking/savings)	N/A	\$250,001 - \$500,000		None (or less than \$201)
2	U.S. bank accounts at Institution No. 2 (savings)	N/A	\$100,001 - \$250,000		None (or less than \$201)
3	Brokerage account at Institution No. 2				
3.1	American Century Capital Value Fund Investor Class (ACTIX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.2	Guinness Atkinson Asia Focus Fund (IASMX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.3	Hennessy Cornerstone Growth Fund Investor Class (HFCGX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.4	MainStay ICAP International Fund Class I (ICEUX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.5	Schwab 1000 Index Fund (SNXFX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3.6	Schwab International Index Fund (SWISX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3.7	Schwab S&P 500 Index Fund (SWPPX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3.8	Schwab Small-Cap Index Fund (SWSSX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.9	Schwab Total Bond Market Fund (SWLBX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.10	U.S. cash & money market	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
4	Custodial account No. 1 at Institution No. 2				
4.1	Schwab U.S. REIT ETF (SCHH)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.2	FlexShares iBoxx 5-Year Target Duration TIPS Index Fund (TDTF)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.3	iShares Edge MSCI Min Vol USA ETF (USMV)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.4	iShares Micro-Cap ETF (IWC)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.5	iShares MSCI EAFE Small-Cap ETF (SCZ)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.6	PowerShares Senior Loan Portfolio (BKLN)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.7	PowerShares Optimum Yield Diversified Commodity Strategy No K-1 Portfolio (PDBC)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
4.8	Schwab Emerging Markets Equity ETF (SCHE)	Yes	\$1,001 - \$15,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.9	Schwab Intermediate-Term U.S. Treasury ETF (SCHR)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.10	Schwab International Equity ETF (SCHF)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.11	Schwab US Large-Cap ETF (SCHX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.12	Schwab US Small-Cap ETF (SCHA)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.13	Vanguard Mortgage-Backed Securities Index Fund ETF Shares (VMBS)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.14	WisdomTree Japan Hedged Equity Fund (DXJ)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.15	U.S. cash & money market	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.16	Schwab US REIT ETF (SCHH)	Yes	None (or less than \$1,001)		\$201 - \$1,000
4.17	Financial Select Sector SPDR ETF (XLF)	Yes	None (or less than \$1,001)		\$201 - \$1,000
5	Custodial account No. 2 at Institution No. 2				
5.1	American Century Equity Growth Fund Investor Class (BEQGX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.2	Baron Growth Fund Retail Shares (BGRFX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
5.3	Harding Loevner Emerging Markets Portfolio Advisor Class (HLEMX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.4	ICON Healthcare Fund Class S (ICHCX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.5	Matthews Asia Growth Fund Investor Class (MPACX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.6	Schwab 1000 Index Fund (SNXFX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
5.7	Schwab Intermediate-Term Bond Fund (SWIIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.8	Schwab Tax-Free Bond Fund (SWNTX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.9	U.S. cash and money market	N/A	\$1,001 - \$15,000		None (or less than \$201)
6	Custodial account No. 3 at Institution No. 2				
6.1	Schwab MarketTrack Growth Portfolio (SWHGX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
7	Investment accounts at Institution No. 3				
7.1	Fidelity Government Money Market Fund (SPAXX)	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
7.2	Savings account at U.S. Institution No. 3	N/A	\$250,001 - \$500,000		None (or less than \$201)
8	Bitcoin holdings, held in Coinbase	N/A	\$1,001 - \$15,000		None (or less than \$201)
9	LA 1997 Trust	See Endnote			
9.1	JPMorgan US Small Company Fund Select (JSCSX)	Yes	Over \$1,000,000		\$2,501 - \$5,000
9.2	T. Rowe Price International Stock Fund (PRITX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
9.3	Brokerage account at Institution No. 2				
9.3.1	EMC Corp. (EMC)	N/A	None (or less than \$1,001)		\$201 - \$1,000
9.3.2	American Tower Corp. REIT common shares (AMT)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
9.3.3	Apple Inc. common shares (AAPL)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
9.3.4	AT&T Inc. common shares (T)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
9.3.5	BlackRock Inc. common shares (BLK)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.3.6	Celgene Corp. common shares (CELG)	N/A	\$50,001 - \$100,000		None (or less than \$201)
9.3.7	Cognizant Technology Solutions Corp. A common shares (CTSH)	N/A	\$15,001 - \$50,000		None (or less than \$201)
9.3.8	Columbia Short Term Bond Fund Class Z (NSTMX)	Yes	\$100,001 - \$250,000		\$201 - \$1,000
9.3.9	CSX Corp. common shares (CSX)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
9.3.10	Dell Technologies Inc. common shares (DVMT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.3.11	Facebook Inc. common shares (FB)	N/A	\$15,001 - \$50,000		None (or less than \$201)
9.3.12	FedEx Corp. common shares (FDX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.3.13	Gilead Sciences Inc. common shares (GILD)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
9.3.14	Intercontinental Exchange Inc. common shares (ICE)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
9.3.15	International Business Machines Corp. common shares (IBM)	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
9.3.16	iShares 1-3 Year Credit Bond (CSJ)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
9.3.17	iShares Edge MSCI Min Vol EAFE (EFAV)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
9.3.18	iShares Floating Rate Bond (FLOT)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
9.3.19	iShares MSCI India (INDA)	Yes	\$15,001 - \$50,000		None (or less than \$201)
9.3.20	iShares MSCI Japan (EWJ)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
9.3.21	JPMorgan Chase & Co. common shares (JPM)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.3.22	NextEra Energy Inc. common shares (NEE)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
9.3.23	Novartis AG common shares (NVS)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
9.3.24	PowerShares FTSE RAFI US 1500 Sm-Mid ETF (PRFZ)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
9.3.25	Schlumberger Ltd common shares (SLB)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
9.3.26	SPDR Dow Jones International RelEst ETF (RWX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
9.3.27	Starbucks Corp. common shares (SBUX)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
9.3.28	Stericycle Inc. common shares (SRCL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.3.29	T. Rowe Price Group Inc. common shares (TROW)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
9.3.30	Toll Brothers Inc. common shares (TOL)	N/A	\$15,001 - \$50,000		None (or less than \$201)
9.3.31	Under Armour, Inc. common shares (UAA)	N/A	\$15,001 - \$50,000		None (or less than \$201)
9.3.32	Undiscovered Managers Behavioral Value L (UBVLX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
9.3.33	Vanguard REIT ETF (VNQ)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
9.3.34	Ventas, Inc. REIT (VTR)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
9.3.35	U.S. cash and money market	N/A	\$15,001 - \$50,000		None (or less than \$201)
9.4	T. Rowe Price New Asia (PRASX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
9.5	Deltec investments				



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.5.1	Anadarko Petroleum Corp. common shares (APC)	N/A	\$15,001 - \$50,000		None (or less than \$201)
9.5.2	Bancolombia S.A. Sp ADR PFD (CIB)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
9.5.3	Bank Rakyat Indonesia common shares (BKRKF)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
9.5.4	Citigroup Inc. common shares (C)	N/A	\$15,001 - \$50,000		None (or less than \$201)
9.5.5	Cosan Ltd - Class A common shares (CZZ)	N/A	\$15,001 - \$50,000		None (or less than \$201)
9.5.6	Deltec Emerging Market Income Fund LP	Yes	\$250,001 - \$500,000		None (or less than \$201)
9.5.7	Deltec Forum Fund LP	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
9.5.8	DepoMed Inc. common shares (DEPO)	N/A	\$15,001 - \$50,000		None (or less than \$201)
9.5.9	Endo International PLC commons shares (ENDP)	N/A	\$15,001 - \$50,000		None (or less than \$201)
9.5.10	Federated Government Reserves (money market)	Yes	\$100,001 - \$250,000		None (or less than \$201)
9.5.11	Geopark Ltd. common shares (GPRK)	N/A	\$15,001 - \$50,000		None (or less than \$201)
9.5.12	Grupo Aval Acciones y Valores S.A. preferred shares (AVAL)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
9.5.13	Grupo Financiero Banorte, S.A.B. de C.V. common shares (GBOOF)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$5,001 - \$15,000
9.5.14	Halliburton Co. common shares (HAL)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
9.5.15	Itau Unibanco Holding S.A. preferred ADR (ITUB)	N/A	\$15,001 - \$50,000	Dividends Interest	\$201 - \$1,000
9.5.16	JPMorgan Chase & Co. common shares (JPM)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.5.17	PLDT Inc. ADR (PHI)		N/A	None (or less than \$1,001)	Dividends	\$1,001 - \$2,500
9.5.18	Samsung Electronics Ltd - GDR Reg S (SSNHZ)		N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
9.5.19	Tata Motors Ltd ADR (TTM)		N/A	\$15,001 - \$50,000		None (or less than \$201)
9.5.20	Tisco Financial Group Public Co. Ltd. NVDR (CUSIP Y8843E114)		N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
10	Northwestern Mutual, whole life		N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
11	LAM Trust		No			
11.1	Bel Canto LLC membership interest		No			
11.1.1	Residential real estate in St. Simons Island, Georgia	See Endnote	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
11.2	WALAGA LLC membership interest		No			
11.2.1	Residential real estate in Greenwich, Connecticut	See Endnote	N/A	\$500,001 - \$1,000,000	Rent or Royalties	\$15,001 - \$50,000
11.2.2	Vanguard 500 Index Fund (VOO)		Yes	\$1,001 - \$15,000		None (or less than \$201)

## 7. Transactions

(N/A) - Not required for this type of report

## 8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Citibank	Mortgage on Personal Residence	\$1,000,001 - \$5,000,000	2013	3.75%	30 years
2	Citibank	Mortgage on Personal Residence	\$100,001 - \$250,000	2013	2.875%	30 years
3	125 Broad Street Fund III, LLC	Capital Commitment	\$50,001 - \$100,000	2013	N/A	Life of fund

## 9. Gifts and Travel Reimbursements

(N/A) - Not required for this type of report

## Endnotes

PART	#	ENDNOTE
2.	1	Entry reflects estimated share of partnership income for 2016 and 2017 up to the date of filing, including an estimate of an anticipated February 2017 receivable that will be distributed to me after internal review and audit.
2.	5	This investment fund is not sponsored by Sullivan & Cromwell LLP but is available to partners of Sullivan & Cromwell LLP and administered by the firm. Estimate based on 2015 income; 2016 income not available at time of filing. Some reported underlying assets were below reporting threshold as of most recent report.
2.	6	Income estimate is extrapolated from YTD October 31, 2016 figures (full year 2016 income not yet available). All assets in these plans are invested as directed by the firm's Investment Committee. Participants have no discretion with respect to the investment of the assets of these plans. Some reported underlying assets were below reporting threshold as of most recent report.
2.	6.29	Underlying assets below reporting threshold.
2.	6.30	Underlying assets below reporting threshold.
2.	6.31	Underlying assets previously disclosed at Part 2, line 5.
6.	9	Value and income figures for assets held in trust are as of end of February 2017 where available.

PART	#	ENDNOTE
6.	11.1.1	Good-faith estimate of value of underlying assets.
6.	11.2.1	Good-faith estimate of value of underlying assets.

# Summary of Contents

## 1. Filer's Positions Held Outside 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 & Income and Retirement Accounts

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 & Income and Retirement Accounts**

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.

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