

Date: 9/20/17

MEMORANDUM FOR THE RECORD

SUBJECT: Ethics Agreement

In order to avoid any financial conflict of interest in violation of 18 U.S.C. § 208(a), or the appearance of a financial conflict of interest as defined in the Standards of Ethical Conduct for Employees of the Executive Branch, 5 C.F.R. § 2635.502, and to adhere to the Ethics Pledge instituted by Executive Order 13770 issued on January 28, 2017 and entitled "Ethics Commitments by Executive Branch Appointees" (the Ethics Pledge) I am issuing the following statement.

As an appointee I have signed the Ethics Pledge and I will be bound by the requirements and restrictions therein even if not specifically mentioned in this or any other ethics agreement.

Before beginning the covered Federal position, I resigned from the non-federal position listed on my OGE 278e (Public Financial Disclosure Report) with Dentons US LLP. Pursuant to the Ethics Pledge, I will not, for a period of two years from the date of my appointment to my Federal covered position, participate in an official capacity in any particular matter involving specific parties that is directly and substantially related to the following entities, unless an exception applies or I am granted a waiver:

- 1) Dentons US LLP;
- 2) The International Contrast Ultrasound Society (client of Dentons US LLP);
- 3) National Association of Accountable Care Organizations (client of Dentons US LLP);
- 4) Asterias Biotherapeutics (client of Dentons US LLP);
- 5) Braeburn Pharmaceuticals (client of Dentons US LLP);
- 6) American College Health Association (client of Dentons US LLP);
- 7) Boston Medical Center (client of Dentons US LLP);
- 8) Maximus (client of Dentons US LLP);
- 9) Trizetto (client of Dentons US LLP);
- 10) New Venture Fund (client of Dentons US LLP);
- 11) Global Poverty Project (client of Dentons US LLP);
- 12) Kognito (client of Dentons US LLP);
- 13) Adapt Pharma (client of Dentons US LLP);
- 14) Voices for National Service (client of Dentons US LLP);
- 15) Local Health Plans of California (client of Dentons US LLP);
- 16) DC Health Benefit Exchange (client of Dentons US LLP);
- 17) National Surgical Hospitals (client of Dentons US LLP);
- 18) University of North Carolina HealthCare (client of Dentons US LLP);
- 19) Hospital Corporation of America (client of Dentons US LLP);

- 20) AXA Equitable Life Insurance Company (client of Dentons US LLP);
- 21) AmerisourceBergan Corp. (client of Dentons US LLP);;
- 22) CareConnect (client of Dentons US LLP);
- 23) Mobilex USA(client of Dentons US LLP);
- 24) LA Care Health Plan (client of Dentons US LLP).

Under most circumstances, the two-year Pledge prior-employer recusal obligation will supercede the one-year prior-employer recusal obligation under 5 C.F.R. § 2635.502; however, in the limited circumstances when the Pledge recusal would not apply but the regulatory recusal would still apply, then I agree to be disqualified, for a period of one year from the date of my resignation from the respective entity or the date my services for the entity otherwise ceased, from participating in any particular matter involving specific parties in which any of the above entities is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

As required by 18 U.S.C. §208(a), I will not participate personally and substantially in any particular matter that has a direct and predictable effect on my financial interests or those of any person whose interests are imputed to me, unless I first obtain a written waiver pursuant to section 208(b)(1) or qualify for a regulatory exemption, pursuant to section 208(b)(2). I understand that the interests of the following persons are imputed to me: any spouse or minor child of mine; any general partner of a partnership in which I am a limited or general partner; any organization in which I serve as officer, director, trustee, general partner or employee; and any person or organization with which I am negotiating or have an arrangement concerning prospective employment.

In order to avoid potential conflicts of interest during my appointment, I agree that I (and anyone whose financial interests are imputed to me, such as a spouse or minor children) will not acquire any further financial interests in entities listed on the FDA prohibited holdings list or in entities involved, directly or through subsidiaries, in the following industries: (1) research, development, manufacture, distribution, or sale of pharmaceutical, biotechnology, or medical devices, equipment, preparations, treatments, or products; (2) veterinary products or cosmetics; (3) healthcare management or delivery; (4) health, disability, or workers compensation insurance or related services; (5) food and/or beverage production, processing or distribution; (6) communications media; (7) computer hardware, computer software, and related internet technologies; (8) wireless communications; (9) social sciences and economic research organizations; (10) energy or utilities; (11) commercial airlines, railroads, shiplines, and cargo carriers; or (12) sector mutual funds that concentrate their portfolios in any of these sectors or on one country other than the United States. If I have a managed account or otherwise use the services of an investment professional during my appointment, I will ensure that the account manager or investment professional obtains my prior approval on a case-by-case basis for the purchase of any assets other than cash, cash equivalents, investment funds that qualify for the exemption at 5 C.F.R. § 2640.201(a), or obligations of the United States.

In accordance with Executive Order 13770 (January 28, 2017), the Ethics Pledge, I will not for a period of two years after the date of my appointment participate in any particular matter on which I lobbied within the two years before the date of my appointment, or participate in the specific issue area in which that particular matter falls. The Office of the Counsel to the President has advised that, as used in the Ethics Pledge, the term "specific issue area" means a "particular matter of general applicability." This second term, a particular matter of general applicability, has been defined in regulations issued by the Office of Government Ethics as "a particular matter that is focused on the interests of a discrete and identifiable class of persons, but does not involve specific parties." 5 C.F.R. § 2640.102(m). It may include governmental action such as legislation or policy making that is narrowly focused on the interests of a



discrete and identifiable class of person. It does not extend to the consideration or adoption of broad policy options that are directed to the interests of a large and diverse group of persons. As with any of my recusal obligations, if I have questions about the scope of my obligations under the Ethics Pledge, I will ask for guidance.

A copy of this memorandum will be distributed to the appropriate personnel to enable them to assist in screening matters that may involve my participation and which may be implicated by the above disqualification provisions. Matters from which I am disqualified should be referred to Kyle Zebley or other appropriate official without my knowledge or involvement. To help ensure that I do not participate officially in these matters, I have instructed my immediate staff and other affected individuals to directly handle, or refer to the appropriate person(s), any matter from which I am recused. In order to ensure that this ethics agreement continues to be effective, I will take the following steps in the future: (1) I will revise and update this memorandum whenever that is warranted by changes in my financial interests or other changed circumstances, and provide the OGC Ethics Division with a copy; and (2) I will advise my immediate administrative staff of any such changes.



Jenifer Healy

cc: Stanley Olesh, OGC/Ethics

Kyle Zebley [Name of delegate]

Date: November 27, 2017

MEMORANDUM FOR THE RECORD

SUBJECT: Ethics Agreement

In order to avoid any financial conflict of interest in violation of 18 U.S.C. § 208(a), or the appearance of a financial conflict of interest as defined in the Standards of Ethical Conduct for Employees of the Executive Branch, 5 C.F.R. § 2635.502, and to adhere to the Ethics Pledge instituted by Executive Order 13770 issued on January 28, 2017 and entitled "Ethics Commitments by Executive Branch Appointees" (the Ethics Pledge) I am issuing the following statement.

I understand that as an appointee I must sign the Ethics Pledge and that I will be bound by the requirements and restrictions therein even if not specifically mentioned in this or any other ethics agreement.

Before beginning my covered Federal position, I have resigned from my position with the American Legislative Exchange Council. Pursuant to the Ethics Pledge, I will not, for a period of two years from the date of my appointment to my Federal covered position, participate in an official capacity in any particular matter involving specific parties that is directly and substantially related to the American Legislative Exchange Council, unless an exception applies or I am granted a waiver. Under most circumstances, the two-year Pledge prior-employer recusal obligation will supersede the one-year prior-employer recusal obligation under 5 C.F.R. § 2635.502; however, in the limited circumstances when the Pledge recusal would not apply but the regulatory recusal would still apply, then I agree to be disqualified, for a period of one year from the date my services for the entity otherwise ceased, from participating in any particular matter involving specific parties in which that entity is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

I am also currently a licensed real estate agent, and I have received commissions for past sales from SAG Corp. If I decide to continue a part-time real estate sales outside activity, I will submit the required HHS Form 520 (Request for Approval of Outside Activity) for this activity. If approved, for as long as I continue the outside activity, I will recuse from particular matters having a direct and predictable effect upon the financial interests of whatever real estate company I would be practicing under. If this outside activity is not approved through the HHS 520 form process, then my real estate practice will remain dormant, either until approval is granted, or until I am no longer in my Federal position, and I will have the same recusal obligation toward SAG Corp. as that described above for the American Legislative Exchange Council.

My spouse is no longer working for Gridiron Communications and is now a self-employed political consultant, doing business under the company name Rostrum. Under applicable regulations at 5 C.F.R. § 2635.502, I therefore have a covered relationship with that entity and I

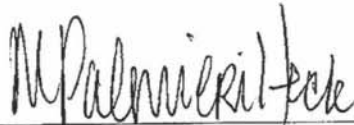


will not participate in any specific party matters in which, to my knowledge, my spouse's company or any clients of his at that time are or represents a party to the matter.

As required by 18 U.S.C. §208(a), I will not participate personally and substantially in any particular matter that has a direct and predictable effect on my financial interests or those of any person whose interests are imputed to me, unless I first obtain a written waiver pursuant to section 208(b)(1) or qualify for a regulatory exemption, pursuant to section 208(b)(2). I understand that the interests of the following persons are imputed to me: any spouse or minor child of mine; any general partner of a partnership in which I am a limited or general partner; any organization in which I serve as officer, director, trustee, general partner or employee; and any person or organization with which I am negotiating or have an arrangement concerning prospective employment.

In order to avoid the potential for conflicts of interest during my appointment, I agree that I (and anyone whose financial interests are imputed to me, such as a spouse or minor children) will not acquire any further financial interests in entities listed on the FDA prohibited holdings list or in entities involved, directly or through subsidiaries, in the following industries: (1) research, development, manufacture, distribution, or sale of pharmaceutical, biotechnology, or medical devices, equipment, preparations, treatments, or products; (2) veterinary products or cosmetics; (3) healthcare management or delivery; (4) health, disability, or workers compensation insurance or related services; (5) food and/or beverage production, processing or distribution; (6) communications media; (7) computer hardware, computer software, and related internet technologies; (8) wireless communications; (9) social sciences and economic research organizations; (10) energy or utilities; (11) commercial airlines, railroads, shiplines, and cargo carriers; or (12) sector mutual funds that concentrate their portfolios in any of these sectors or on one country other than the United States. If I have a managed account or otherwise use the services of an investment professional during my appointment, I will ensure that the account manager or investment professional obtains my prior approval on a case-by-case basis for the purchase of any assets other than cash, cash equivalents, investment funds that qualify for the exemption at 5 C.F.R. § 2640.201(a), or obligations of the United States.

A copy of this memorandum will be distributed to the appropriate personnel to enable them to assist in screening matters that may involve my participation and which may be implicated by the above disqualification provisions. Matters from which I am disqualified should be referred to Laura Trueman without my knowledge or involvement. In order to ensure that this ethics agreement continues to be effective, I will take the following steps in the future: (1) I will revise and update this memorandum whenever that is warranted by changes in my financial interests or other changed circumstances, and provide the OGC Ethics Division with a copy; and (2) I will advise my immediate administrative staff of any such changes.



Mia Palmieri Heck

cc: Stanley Olesh, OGC Ethics Division  
\_\_\_\_\_ [Name of Delegate]

Date: 3/16/18

MEMORANDUM FOR THE RECORD

SUBJECT: Ethics Agreement

In order to avoid any financial conflict of interest in violation of 18 U.S.C. § 208(a), or the appearance of a financial conflict of interest as defined in the Standards of Ethical Conduct for Employees of the Executive Branch, 5 C.F.R. § 2635.502, and to adhere to the Ethics Pledge instituted by Executive Order 13770 issued on January 28, 2017 and entitled "Ethics Commitments by Executive Branch Appointees" (the Ethics Pledge) I am issuing the following statement.

I understand that as an appointee I must sign the Ethics Pledge and that I will be bound by the requirements and restrictions therein even if not specifically mentioned in this or any other ethics agreement.

Before beginning my covered Federal position, I resigned from all positions listed on Part 1 of my OGE 278e (Public Financial Disclosure Report). Pursuant to the Ethics Pledge, I will not, for a period of two years from the date of my appointment to my Federal covered position, participate in an official capacity in any particular matter involving specific parties that is directly and substantially related to any of the following entities, unless an exception applies or I am granted a waiver:

- 1) The Manhattan Institute for Policy Research;
- 2) Gerson Lehrman Group;
- 3) Celgene Corporation;
- 4) Pfizer Inc.;
- 5) Forbes Media LLC

Under most circumstances, the two-year Pledge prior-employer recusal obligation will supersede the one-year prior-employer recusal obligation under 5 C.F.R. § 2635.502; however, in the limited circumstances when the Pledge recusal would not apply but the regulatory recusal would still apply, then I agree to be disqualified, for a period of one year from the date my services for the respective entity ceased, from participating in any particular matter involving specific parties in which any of the above entities is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

I am currently participating in the Aspen Institute's Health Innovator Fellowship, which is awarded to approximately 20 Fellows each year. It is a program of multi-day seminars



addressing issues of concern in US health care directed by Aspen Institute-certified instructors. Each Health Innovator Fellow must also commit to designing and launching a leadership venture of his or her own choosing. The Health Innovators Fellowship is funded by the Greenville Health System, a not-for-profit healthcare system in South Carolina. Although Fellows do not have any employment or other fiduciary relationship with the Aspen Institute or Greenville Health System, I can be considered as having a covered relationship with the entity under 5 C.F.R. § 2635.502, since I am active member. If I decide to continue the Fellowship, I will submit the required HHS Form 520 (Request for Approval of Outside Activity) for this activity. If the outside activity is approved, for as long as I continue the outside activity, I will recuse from particular matters in which the Aspen Institute or the Greenville Health System is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d). If this outside activity is not approved through the HHS 520 form process, then I will cease participating in the Fellowship. I also agree that the "leadership venture" shall not involve or result in my acquisition, at any time, of a financial interest in an entity or product that would be regulated by the FDA, and that, if the "leadership venture" that I will devise for the Fellowship is a project that would be considered as "teaching, speaking, or writing" under 5 C.F.R. § 2635.807(a), then I cannot accept travel reimbursement (travel, lodging, and meals) connected to the Fellowship. When the nature of the "leadership venture" has been sufficiently developed in sufficient detail to determine whether either of these situations occur, then I will promptly file a separate HHS 520 form for the "leadership venture" portion of the Fellowship, with the relevant details regarding these determinations.

My spouse is a salaried employee of Goldstein Hall PLLC, a law firm. For as long as my spouse continues to work for that entity, I will not participate personally and substantially in any particular matter involving specific parties in which I know that entity is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d). I will also recuse from participation in any particular matter involving specific parties in which a person or entity that is currently a client of my spouse is or represents a party, even if such person or entity is represented on the matter by a law firm other than Goldstein Hall PLLC. In addition, I will not participate in any particular matter, including both matters of general applicability as well as those involving specific parties, that will affect my spouse's level of compensation.

As required by 18 U.S.C. §208(a), I will not participate personally and substantially in any particular matter that has a direct and predictable effect on my financial interests or those of any person whose interests are imputed to me, unless I first obtain a written waiver pursuant to section 208(b)(1) or qualify for a regulatory exemption, pursuant to section 208(b)(2). I understand that the interests of the following persons are imputed to me: any spouse or minor child of mine; any general partner of a partnership in which I am a limited or general partner; any organization in which I serve as officer, director, trustee, general partner or employee; and any person or organization with which I am negotiating or have an arrangement concerning prospective employment.

I understand that certain de minimis thresholds contained at 5 C.F.R. Part 2640 create exemptions from the general prohibition; for instance, I must avoid participation, as a

Government employee, in any particular matter involving specific parties, such as grants, contracts, audits, investigations, litigation, interviews, and, in many circumstances, meetings, that could have a direct and predictable effect upon a financial interest in an entity (even if this entity is not one of the parties to the matter) if my affected holdings in individual securities are valued at over \$15,000. When my holdings in any single potentially affected financial interest are valued at over \$25,000 in individual securities (or if the combination of values of all affected financial interests is over \$50,000), I must avoid participation even in particular matters of general applicability, e.g., regulation development or proposed legislation, that could have a direct and predictable effect on the holding(s). The de minimis threshold for sector mutual funds is also \$50,000. However, although exemptions may narrow the scope of the disqualification in some situations, generally my first obligation is to recuse pending review of my situation if I have any doubt whether participation is allowed. Moreover, I acknowledge that employees of the Food and Drug Administration must adhere to the prohibited-holding restrictions at 5 C.F.R. § 5501.104, regardless of the exemptions at 5 C.F.R. Part 2640.

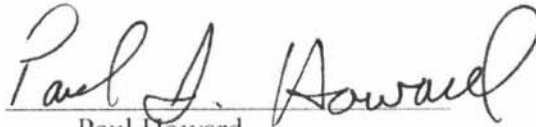
In order to avoid the potential for conflicts of interest during my appointment, I agree that I (and anyone whose financial interests are imputed to me, such as a spouse or minor children) will not acquire any financial interests in entities listed on the FDA prohibited holdings list, or any further financial interests in entities involved, directly or through subsidiaries, in the following industries: (1) research, development, manufacture, distribution, or sale of pharmaceutical, biotechnology, or medical devices, equipment, preparations, treatments, or products; (2) veterinary products or cosmetics; (3) healthcare management or delivery; (4) health, disability, or workers compensation insurance or related services; (5) food and/or beverage production, processing or distribution; (6) communications media; (7) computer hardware, computer software, and related internet technologies; (8) wireless communications; (9) social sciences and economic research organizations; (10) energy or utilities; (11) commercial airlines, railroads, shiplines, and cargo carriers; or (12) sector mutual funds that concentrate their portfolios in any of these sectors or on one country other than the United States. On my most recent Public Financial Disclosure Report (OGE 278e), I have reported a holding in AT&T, which is currently below the lowest applicable de minimis threshold of \$15,000. I will ensure that the value of my holding in AT&T will not exceed that de minimis value of \$15,000, or, alternatively, if the value of this holding ever exceeds the \$15,000 threshold, then I agree to appropriately recuse from matters that could directly and predictably affect AT&T, as described in the previous paragraph. If I have a managed account or otherwise use the services of an investment professional during my appointment, I will ensure that the account manager or investment professional obtains my prior approval on a case-by-case basis for the purchase of any assets other than cash, cash equivalents, investment funds that qualify for the exemption at 5 C.F.R. § 2640.201(a), or obligations of the United States.

A copy of this memorandum will be distributed to the appropriate personnel to enable them to assist in screening matters that may involve my participation and which may be implicated by the above disqualification provisions. Matters from which I am disqualified should be referred to \_\_\_\_\_ without my knowledge or involvement. In order to ensure that this ethics agreement continues to be effective, I will take the following steps in the future: (1) I will



Page 4 of 4

revise and update this memorandum whenever that is warranted by changes in my financial interests or other changed circumstances, and provide the OGC Ethics Division with a copy; and (2) I will advise my immediate administrative staff of any such changes.

  
Paul Howard

cc: Stanley Olesh, OGC Ethics Division  
Asim Akbari, FDA  
\_\_\_\_\_ *[Name of Delegate]*

July 12, 2017

Ms. Elizabeth Fischmann  
Associate General Counsel for Ethics  
Designated Agency Ethics Official  
U.S. Department of Health and Human Services  
Room 710-E, Hubert H. Humphrey Building  
200 Independence Avenue, SW  
Washington, DC 20201

Dear Ms. Fischmann:

The purpose of this letter is to describe the steps that I will take to avoid any actual or apparent conflict of interest in the event that I am confirmed for the position of Assistant Secretary for Preparedness and Response, U.S. Department of Health and Human Services.

As required by 18 U.S.C. § 208(a), I will not participate personally and substantially in any particular matter in which I know that I have a financial interest directly and predictably affected by the matter, or in which I know that a person whose interests are imputed to me has a financial interest directly and predictably affected by the matter, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2). I understand that the interests of the following persons are imputed to me: any spouse or minor child of mine; any general partner of a partnership in which I am a limited or general partner; any organization in which I serve as officer, director, trustee, general partner or employee; and any person or organization with which I am negotiating or have an arrangement concerning prospective employment.

Upon confirmation, I will resign from my positions with the Johns Hopkins Center for Health Security, which is part of the Johns Hopkins Bloomberg School of Public Health at Johns Hopkins University. For a period of one year after my resignation from this entity, I will not participate personally and substantially in any particular matter involving specific parties in which I know Johns Hopkins University is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

Following my appointment, my spouse and I will divest our interests in the following entities within 90 days of my confirmation:

- 21<sup>st</sup> Century Fox
- Alexandria Real Estate Equities
- American Tower Corp. (AMT)
- Boston Properties Inc. (BXP)
- CBRE Group Inc. (CBG)
- Columbia Commodity Strategy Fund
- Crown Castle International Corp. (CCI)
- Duke Realty Co.



Ms. Elizabeth Fischmann

Page 2

Equinix (EQIX)  
First Industrial Realty Trust (FR)  
Hudson Pacific Properties (HPP)  
Interxion Holding (INXN)  
Kilroy Realty Group (KRG)  
MFS Virginia Municipal Bond Fund (MSVAX)  
News Corporation (NWSA)  
Nuveen Virginia Municipal Bond Fund (FVATX)  
Physicians Realty Trust (DOC)  
Prologis (PLD)  
SL Green Realty Corp. (SLG)  
Senior Housing Properties Trust Inc. (SNH)  
Spirit Realty Capital Inc. (SRC)  
Stag Industrial Inc.  
Terreno Realty Corp. (TRNO)  
Time Inc.  
Time Warner  
Ventas Inc.

With regard to each of these entities, I will not participate personally and substantially in any particular matter that to my knowledge has a direct and predictable effect on the financial interests of the entity until I have divested it, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2).

I understand that I may be eligible to request a Certificate of Divestiture for qualifying assets and that a Certificate of Divestiture is effective only if obtained prior to divestiture. Regardless of whether I receive a Certificate of Divestiture, I will ensure that all divestitures discussed in this agreement occur within the agreed upon timeframes and that all proceeds are invested in non-conflicting assets.

I previously provided consulting services through RPK Consulting LLC, an entity which I established for the purposes of providing consulting services. RPK Consulting LLC ceased active operations in January 2015. During my appointment to the position of Assistant Secretary, RPK Consulting LLC will remain dormant and will not advertise. I will not perform any services for this entity, except that I will comply with any requirements involving legal filings, taxes and fees that are necessary to maintain the entity while it is in an inactive status. As Assistant Secretary, I will not participate personally and substantially in any particular matter that to my knowledge has a direct and predictable effect on the financial interests of RPK Consulting LLC.

If I have a managed account or otherwise use the services of an investment professional during my appointment, I will ensure that the account manager or investment professional obtains my prior approval on a case-by-case basis for the purchase of any assets other than cash, cash equivalents, investment funds that qualify for the exemption at 5 C.F.R. § 2640.201(a), or obligations of the United States.

Ms. Elizabeth Fischmann  
Page 3

In order to avoid potential conflicts of interest during my appointment as Assistant Secretary, I, my spouse, or any minor children of mine will not acquire any direct financial interest in entities listed on the FDA prohibited holdings list or in entities involved, directly or through subsidiaries, in the following industries: (1) research, development, manufacture, distribution, or sale of pharmaceutical, biotechnology, or medical devices, equipment, preparations, treatment, or products; (2) veterinary products; (3) healthcare management or delivery; (4) health, disability, or workers compensation insurance or related services; (5) food and/or beverage production, processing or distribution; (6) communications media; (7) computer hardware, computer software, and related internet technologies; (8) wireless communications; (9) social sciences and economic research organizations; (10) energy or utilities; (11) commercial airlines, railroads, shiplines, and cargo carriers; or (12) sector mutual funds that concentrate their portfolios on one country other than the United States. In addition, we will not acquire any interests in sector mutual funds that concentrate in any of these sectors.

I understand that as an appointee I will be required to sign the Ethics Pledge (Exec. Order No. 13770) and that I will be bound by the requirements and restrictions therein in addition to the commitments I have made in this ethics agreement.

I will meet in person with you during the first week of my service in the position of Assistant Secretary in order to complete the initial ethics briefing required under 5 C.F.R. § 2638.305. Within 90 days of my confirmation, I will document my compliance with this ethics agreement by notifying you in writing when I have completed the steps described in this ethics agreement.

I have been advised that this ethics agreement will be posted publicly, consistent with 5 U.S.C. § 552, on the website of the U.S. Office of Government Ethics with ethics agreements of other Presidential nominees who file public financial disclosure reports.

Sincerely,

A handwritten signature in black ink, appearing to read "R. Kadlec", with a long horizontal flourish extending to the right.

Robert P. Kadlec



August 18, 2017

MEMORANDUM FOR ELIZABETH J. FISCHMANN  
Designated Agency Ethics Official

SUBJECT: Notification of Commitment to Recuse

This memorandum is to provide you with written notification of the screening arrangement I have implemented to ensure that I comply with my obligation to recuse myself from certain matters with which I have a financial interest, or a personal or business relationship. These recusal obligations are set forth in the Ethics Agreement I signed on July 12, 2017.

Pending completion of the divestiture of the financial holdings listed in my Ethics Agreement, I am recused from personal and substantial participation in any particular matter that to my knowledge has a direct and predictable effect on the financial interests of these entities, until I have divested it, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2) such as the de minimis value threshold exemption.

I previously provided consulting services through RPK Consulting LLC, an entity which I established for the purposes of providing consulting services. RPK Consulting LLC ceased active operations in January 2015. During my appointment to the position of Assistant Secretary, RPK Consulting LLC will remain dormant and will not advertise. I will not perform any services for this entity, except that I will comply with any requirements involving legal filings, taxes and fees that are necessary to maintain the entity while it is in an inactive status. As Assistant Secretary, I will not participate personally and substantially in any particular matter that to my knowledge has a direct and predictable effect on the financial interests of RPK Consulting LLC.

Unless I am authorized to participate, I am disqualified from participating in any particular matter involving specific parties in which I know Johns Hopkins University is a party or represent a party. This recusal, under 5 C.F.R. § 2635.502, will remain for one year from the date of my resignation from my position with this entity.

In addition to this recusal under 5 C.F.R. § 2635.502, I understand that as an appointee I am required to sign the Ethics Pledge required under the Executive Order entitled "Ethics Commitments by Executive Branch Appointees" (Executive Order 13770), dated January 28, 2017, and that I will be bound by the requirements and restrictions therein in addition to the commitments I have made in my Ethics Agreement. Pursuant to the Ethics Pledge, unless an

exception to the Pledge applies or a waiver is obtained, I will not for a period of two years from the date of my appointment participate in an official capacity in any particular matter involving specific parties that is directly and substantially related to Johns Hopkins University, RPK Consulting, LLC, or the University of Pittsburgh.

This recusal will include participation in regulations and contracts. After this recusal ends, in order to avoid any appearance of a conflict of interest, I will seek guidance from the Department's ethics officials before participating in any specific party matter involving these entities.

In order to help ensure that I do not participate officially in these matters, I have taken or will take the following steps: (1) Matters from which I am recused will be elevated to the HHS Deputy Secretary or the HHS Chief of Staff, as appropriate, for disposition without my input or recommendation; and (2) I have advised my immediate administrative staff of this recusal and directed them to screen all matters that are processed through them to ensure that any matters that could affect any of these entities are referred to the Chief of Staff who will ensure the matter is handled in accordance with this memorandum.

In order to ensure that this commitment to recuse continues to be effective, I will take the following steps in the future: (1) I will revise and update this memorandum whenever that is warranted by changes in my financial interests or other changed circumstances, and provide you with a copy; and (2) I will advise the Chief of Staff and my immediate administrative staff of my office of any such changes.



Robert P. Kadlec

cc: Chief of Staff  
Acting General Counsel



December 1, 2017

MEMORANDUM FOR THE RECORD

SUBJECT: Ethics Agreement

In order to avoid any financial conflict of interest in violation of 18 U.S.C. § 208(a), or the appearance of a financial conflict of interest as defined in the Standards of Ethical Conduct for Employees of the Executive Branch, 5 C.F.R. § 2635.502, and to adhere to the Ethics Pledge instituted by Executive Order 13770 issued on January 28, 2017 and entitled "Ethics Commitments by Executive Branch Appointees" (the Ethics Pledge) I am issuing the following statement.

I understand that as an appointee I must sign the Ethics Pledge and that I will be bound by the requirements and restrictions therein even if not specifically mentioned in this or any other ethics agreement.

Before beginning my covered Federal position, I resigned from all non-federal positions listed on my OGE 278e (Public Financial Disclosure Report). I understand that, although state and local governments are exempt from the Ethics Pledge, I have recusal obligations regarding my former employer, the Kansas Department for Children and Families. I will not participate in any particular matter involving specific parties in which the Kansas Department for Children and Families is a party or represents a party, for a period of one year from the date my employment with that entity ended, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

I will continue to participate (without any further contributions) in a defined benefit pension plan from the State of Kansas. My spouse will also continue to participate in a defined benefit pension plan from Prince Georges County, Maryland. I will not participate personally and substantially in any particular matter that to my knowledge has a direct and predictable effect on the ability or willingness of either of those entities to provide those contractual benefits, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2).

As required by 18 U.S.C. §208(a), I will not participate personally and substantially in any particular matter that has a direct and predictable effect on my financial interests or those of any person whose interests are imputed to me, unless I first obtain a written waiver pursuant to section 208(b)(1) or qualify for a regulatory exemption, pursuant to section 208(b)(2). I understand that the interests of the following persons are imputed to me: any spouse or minor child of mine; any general partner of a partnership in which I am a limited or general partner; any organization in which I serve as officer, director, trustee, general partner or employee; and any person or organization with which I am negotiating or have an arrangement concerning prospective employment.

In order to avoid the potential for conflicts of interest during my appointment, I agree that I (and anyone whose financial interests are imputed to me, such as a spouse or minor children) will not acquire any further financial interests in entities listed on the FDA prohibited holdings list or in entities involved, directly or through subsidiaries, in the following industries: (1) research, development, manufacture, distribution, or sale of pharmaceutical, biotechnology, or medical devices, equipment, preparations, treatments, or products; (2) veterinary products or cosmetics; (3) healthcare management or delivery; (4) health, disability, or workers compensation insurance or related services; (5) food and/or beverage production, processing or distribution; (6) communications media; (7) computer hardware, computer software, and related internet technologies; (8) wireless communications; (9) social sciences and economic research organizations; (10) energy or utilities; (11) commercial airlines, railroads, shiplines, and cargo carriers; or (12) sector mutual funds that concentrate their portfolios in any of these sectors or on one country other than the United States. If I have a managed account or otherwise use the services of an investment professional during my appointment, I will ensure that the account manager or investment professional obtains my prior approval on a case-by-case basis for the purchase of any assets other than cash, cash equivalents, investment funds that qualify for the exemption at 5 C.F.R. § 2640.201(a), or obligations of the United States.

A copy of this memorandum will be distributed to the appropriate personnel to enable them to assist in screening matters that may involve my participation and which may be implicated by the above disqualification provisions. Matters from which I am disqualified should be referred to Jane Norton, Director, Office of Intergovernmental and External Affairs without my knowledge or involvement. In order to ensure that this ethics agreement continues to be effective, I will take the following steps in the future: (1) I will revise and update this memorandum whenever that is warranted by changes in my financial interests or other changed circumstances, and provide the OGC Ethics Division with a copy; and (2) I will advise my immediate administrative staff of any such changes.

  
Wm. Jeff Kahrs

cc: Jane Norton, Director, Office of IEA  
Stanley Olesh, OGC Ethics Division



Date:

11/3/2017

MEMORANDUM FOR THE RECORD

SUBJECT: Ethics Agreement

In order to avoid any financial conflict of interest in violation of 18 U.S.C. § 208(a), or the appearance of a financial conflict of interest as defined in the Standards of Ethical Conduct for Employees of the Executive Branch, 5 C.F.R. § 2635.502, and to adhere to the Ethics Pledge instituted by Executive Order 13770 issued on January 28, 2017 and entitled "Ethics Commitments by Executive Branch Appointees" (the Ethics Pledge) I am issuing the following statement.

I understand that as an appointee I must sign the Ethics Pledge and that I will be bound by the requirements and restrictions therein even if not specifically mentioned in this or any other ethics agreement.

Before beginning my covered Federal position, I resigned from all non-federal positions listed on my OGE 278e (Public Financial Disclosure Report). Pursuant to the Ethics Pledge, I will not, for a period of two years from the date of my appointment to my Federal covered position, participate in an official capacity in any particular matter involving specific parties that is directly and substantially related to JayWalker Lodge LLC, unless an exception applies or I am granted a waiver. Under most circumstances, the two-year Pledge prior-employer recusal obligation will supersede the one-year prior-employer recusal obligation under 5 C.F.R. § 2635.502; however, in the limited circumstances when the Pledge recusal would not apply but the regulatory recusal would still apply, then I agree to be disqualified, for a period of one year from the date of my resignation from the entity, or the date my services for the entity otherwise ceased, from participating in any particular matter involving specific parties in which JayWalker Lodge LLC, to my knowledge, is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

My spouse is a salaried employee with the State of Colorado. In accordance with 5 C.F.R. § 2635.502, I will not participate in any particular matter involving specific parties in which the State of Colorado, to my knowledge, is a party or represents a party, unless authorized to participate by the agency. In addition, I will not participate in any particular matter, including both matters of general applicability as well as those involving specific parties that, to my knowledge, will affect my spouse's level of compensation. My spouse will continue to participate in PERA, the defined benefit pension plan for the State of Colorado. I will not participate personally and substantially in any particular matter that to my knowledge has a direct

and predictable effect on the ability or willingness of the State of Colorado to provide those contractual benefits, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2).

As required by 18 U.S.C. §208(a), I will not participate personally and substantially in any particular matter that has a direct and predictable effect on my financial interests or those of any person whose interests are imputed to me, unless I first obtain a written waiver pursuant to section 208(b)(1) or qualify for a regulatory exemption, pursuant to section 208(b)(2). I understand that the interests of the following persons are imputed to me: any spouse or minor child of mine; any general partner of a partnership in which I am a limited or general partner; any organization in which I serve as officer, director, trustee, general partner or employee; and any person or organization with which I am negotiating or have an arrangement concerning prospective employment.

In order to avoid the potential for conflicts of interest during my appointment, I agree that I (and anyone whose financial interests are imputed to me, such as a spouse or minor children) will not acquire any further financial interests in entities listed on the FDA prohibited holdings list or in entities involved, directly or through subsidiaries, in the following industries: (1) research, development, manufacture, distribution, or sale of pharmaceutical, biotechnology, or medical devices, equipment, preparations, treatments, or products; (2) veterinary products or cosmetics; (3) healthcare management or delivery; (4) health, disability, or workers compensation insurance or related services; (5) food and/or beverage production, processing or distribution; (6) communications media; (7) computer hardware, computer software, and related internet technologies; (8) wireless communications; (9) social sciences and economic research organizations; (10) energy or utilities; (11) commercial airlines, railroads, shiplines, and cargo carriers; or (12) sector mutual funds that concentrate their portfolios in any of these sectors or on one country other than the United States. If I have a managed account or otherwise use the services of an investment professional during my appointment, I will ensure that the account manager or investment professional obtains my prior approval on a case-by-case basis for the purchase of any assets other than cash, cash equivalents, investment funds that qualify for the exemption at 5 C.F.R. § 2640.201(a), or obligations of the United States.

I have reported a financial interest in a published manual, "Planting Seeds: A Client-Centered Approach to Addiction Treatment." I agree that I will not participate personally and substantially in any particular matter that to my knowledge has a direct and predictable effect on the value of this published work, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2).

A copy of this memorandum will be distributed to the appropriate personnel to enable them to assist in screening matters that may involve my participation and which may be implicated by the above disqualification provisions. Matters from which I am disqualified should be referred to MARY FLEMING without my knowledge or involvement. In order to ensure that this ethics agreement continues to be effective, I will take the following steps in the future: (1) I will revise and update this memorandum whenever that is warranted by changes in my financial



Page 3 of 3

interests or other changed circumstances, and provide the OGC Ethics Division with a copy; and  
(2) I will advise my immediate administrative staff of any such changes.



Arthur Kleinschmidt

cc: Stanley Olesh, OGC Ethics Division  
\_\_\_\_\_ *[Name of Delegate]*

Date: Oct. 25, 2017

MEMORANDUM FOR THE RECORD

SUBJECT: Ethics Agreement

In order to avoid any financial conflict of interest in violation of 18 U.S.C. § 208(a), or the appearance of a financial conflict of interest as defined in the Standards of Ethical Conduct for Employees of the Executive Branch, 5 C.F.R. § 2635.502, and to adhere to the Ethics Pledge instituted by Executive Order 13770 issued on January 28, 2017 and entitled "Ethics Commitments by Executive Branch Appointees" (the Ethics Pledge) I am issuing the following statement.

I understand that as an appointee I must sign the Ethics Pledge and that I will be bound by the requirements and restrictions therein even if not specifically mentioned in this or any other ethics agreement.

Before beginning my covered Federal position, I have resigned from my position with the LeClair Corporation (aka LeClair Group). I have no ownership interest in that entity. Pursuant to the Ethics Pledge, I will not, for a period of two years from the date of my appointment to my Federal covered position, participate in an official capacity in any particular matter involving specific parties that is directly and substantially related to the LeClair Corporation, unless an exception applies or I am granted a waiver. Under most circumstances, the two-year Pledge prior-employer recusal obligation will supersede the one-year prior-employer recusal obligation under 5 C.F.R. § 2635.502; however, in the limited circumstances when the Pledge recusal would not apply but the regulatory recusal would still apply, then I agree to be disqualified, for a period of one year from the date my services for the entity otherwise ceased, from participating in any particular matter involving specific parties in which the LeClair Corporation is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

As required by 18 U.S.C. §208(a), I will not participate personally and substantially in any particular matter that has a direct and predictable effect on my financial interests or those of any person whose interests are imputed to me, unless I first obtain a written waiver pursuant to section 208(b)(1) or qualify for a regulatory exemption, pursuant to section 208(b)(2). I understand that the interests of the following persons are imputed to me: any spouse or minor child of mine; any general partner of a partnership in which I am a limited or general partner; any organization in which I serve as officer, director, trustee, general partner or employee; and any person or organization with which I am negotiating or have an arrangement concerning prospective employment.

In order to avoid the potential for conflicts of interest during my appointment, I agree that I (and anyone whose financial interests are imputed to me, such as a spouse or minor children) will not acquire any further financial interests in entities listed on the FDA prohibited holdings list or in entities involved, directly or through subsidiaries, in the following industries: (1) research, development,



A copy of this memorandum will be distributed to the appropriate personnel to enable them to assist in screening matters that may involve my participation and which may be implicated by the above disqualification provisions. Matters from which I am disqualified should be referred to Dr. George Sigounas without my knowledge or involvement. In order to ensure that this ethics agreement continues to be effective, I will take the following steps in the future: (1) I will revise and update this memorandum whenever that is warranted by changes in my financial interests or other changed circumstances, and provide the OGC Ethics Division with a copy; and (2) I will advise my immediate administrative staff of any such changes.



cc: Stanley Olesh, OGC Ethics Division  
Celeste Buchanan, HRSA

7 [Name of Delegate]

2

Dr. George Sigounas

Date: 08/23/17

MEMORANDUM FOR THE RECORD

SUBJECT: Ethics Agreement

In order to avoid any financial conflict of interest in violation of 18 U.S.C. § 208(a), or the appearance of a financial conflict of interest as defined in the Standards of Ethical Conduct for Employees of the Executive Branch, 5 C.F.R. § 2635.502, and to adhere to the Ethics Pledge instituted by Executive Order 13770 issued on January 28, 2017 and entitled "Ethics Commitments by Executive Branch Appointees" (the Ethics Pledge) I am issuing the following statement.

I understand that as an appointee I must sign the Ethics Pledge and that I will be bound by the requirements and restrictions therein even if not specifically mentioned in this or any other ethics agreement.

Before beginning my covered Federal position, I resigned from all non-federal positions listed on my OGE 278e (Public Financial Disclosure Report). Pursuant to the Ethics Pledge, I will not, for a period of two years from the date of my appointment to my Federal covered position, participate in an official capacity in any particular matter involving specific parties that is directly and substantially related to Informatix, Inc., unless an exception applies or I am granted a waiver. Additionally, under 5 C.F.R. § 2635.502 (if the two-year restriction of the Ethics Pledge does not apply), I am disqualified, for a period of one year from the date of my resignation from the entity, or the date my services for the entity otherwise ceased, from participating in any particular matter involving specific parties in which any of the following entities is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d) :

- 1) Arizona Department of Economic Security;
- 2) Informatix, Inc.

As required by 18 U.S.C. §208(a), I will not participate personally and substantially in any particular matter that has a direct and predictable effect on my financial interests or those of any person whose interests are imputed to me, unless I first obtain a written waiver pursuant to section 208(b)(1) or qualify for a regulatory exemption, pursuant to section 208(b)(2). I understand that the interests of the following persons are imputed to me: any spouse or minor child of mine; any general partner of a partnership in which I am a limited or general partner; any organization in which I serve as officer, director, trustee, general partner or employee; and any



In order to avoid the potential for conflicts of interest during my appointment, I agree that I (and anyone whose financial interests are imputed to me, such as a spouse or minor children) will not acquire any further financial interests in entities listed on the FDA prohibited holdings list or in entities involved, directly or through subsidiaries, in the following industries: (1) research, development, manufacture, distribution, or sale of pharmaceutical, biotechnology, or medical devices, equipment, preparations, treatments, or products; (2) veterinary products or cosmetics; (3) healthcare management or delivery; (4) health, disability, or workers compensation insurance or related services; (5) food and/or beverage production, processing or distribution; (6) communications media; (7) computer hardware, computer software, and related internet technologies; (8) wireless communications; (9) social sciences and economic research organizations; (10) energy or utilities; (11) commercial airlines, railroads, shiplines, and cargo carriers; or (12) sector mutual funds that concentrate their portfolios in any of these sectors or on one country other than the United States. If I have a managed account or otherwise use the services of an investment professional during my appointment, I will ensure that the account manager or investment professional obtains my prior approval on a case-by-case basis for the purchase of any assets other than cash, cash equivalents, investment funds that qualify for the exemption at 5 C.F.R. § 2640.201(a), or obligations of the United States.

  
Scott Lekan

AMERICAN  
OVERSIGHT

Date: OCT 16 2017

MEMORANDUM FOR THE RECORD

SUBJECT: Ethics Agreement

In order to avoid any financial conflict of interest in violation of 18 U.S.C. § 208(a), or the appearance of a financial conflict of interest as defined in the Standards of Ethical Conduct for Employees of the Executive Branch, 5 C.F.R. § 2635.502, and to adhere to the Ethics Pledge instituted by Executive Order 13770 issued on January 28, 2017 and entitled "Ethics Commitments by Executive Branch Appointees" (the Ethics Pledge) I am issuing the following statement. This supersedes my previous Ethics Agreement dated September 6, 2017.

I understand that as an appointee I must sign the Ethics Pledge and that I will be bound by the requirements and restrictions therein even if not specifically mentioned in this or any other ethics agreement.

Before beginning my covered Federal position, I resigned the positions with the following entities reported on Part 1 of my OGE 278e (Public Financial Disclosure Report):

- 1) Olivia Joy Investment Corp.;
- 2) Allied Physicians of California;
- 3) AHMC International Cancer Center;
- 4) AHMC Central Health Plan, LLC;
- 5) American Hospital Investment Inc.;
- 6) AHMC Healthcare Inc.;
- 7) AHMC Health Foundation;
- 8) Buddhist Tzu Chi Medical Foundation;
- 9) Alhambra Medical University;
- 10) Western University of Health Science;
- 11) North State University;
- 12) Royal Vista Properties LLC
- 13) Royal Vista Care Center LLC;
- 14) Royal Vista Care Properties LLC;
- 15) Royal Vista San Gabriel LLC.



Pursuant to the Ethics Pledge, I will not, for a period of two years from the date of my appointment to my Federal covered position, participate in an official capacity in any particular matter involving specific parties that is directly and substantially related to the above entities, unless an exception applies or I am granted a waiver. Under most circumstances, the two-year Pledge prior-employer recusal obligation will supersede the one-year prior-employer recusal obligation under 5 C.F.R. § 2635.502; however, in the limited circumstances when the Pledge recusal would not apply but the regulatory recusal would still apply, then I agree to be disqualified, for a period of one year from the date of my resignation from the respective entity or the date my services for the entity otherwise ceased, from participating in any particular matter involving specific parties in which any of the above entities is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

With regard to Matthew Y.C. Lin MD Corp., which is my private medical practice, I agree that, during my appointment to the Federal position, the medical practice will remain inactive, will not see patients, and will not advertise. I will not perform any medical-related services for the company. I will comply with any requirements involving legal filings, taxes and fees that are necessary to maintain the company existence and registration. Moreover, the business also is serving as a holding company for my share of some of the real estate holdings listed on my OGE 278e form, which are all non-healthcare-related residential or commercial real estate. In my position at HHS, I will not participate personally and substantially in any particular matter that to my knowledge has a direct and predictable effect on the financial interests of the company. I intend to submit the required HHS Form 520 (Request for Approval of Outside Activity) for this activity and any of the real estate partnerships in which I hold a position (other than merely limited partner, member, or shareholder). If approved, for as long as I have the outside position, I will recuse from particular matters having a direct and predictable effect upon the entity's financial interests. The non-healthcare real estate interests in which I currently have such a position are the following:

- 1) 707 South Garfield Ave., LP;
- 2) North Atlantic Hotel Partnership;
- 3) Life Plaza Center, LLC;
- 4) Garfield & Lincoln Property, LLC;
- 5) Verde Ridge LLC;
- 6) Everlin Investment Corp.

As required by 18 U.S.C. §208(a), I will not participate personally and substantially in any particular matter that has a direct and predictable effect on my financial interests or those of any person whose interests are imputed to me, unless I first obtain a written waiver pursuant to section 208(b)(1) or qualify for a regulatory exemption, pursuant to section 208(b)(2). I understand that the interests of the following persons are imputed to me: any spouse or minor child of mine; any general partner of a partnership in which I am a limited or general partner; any organization in which I serve as officer, director, trustee, general partner or employee; and any

person or organization with which I am negotiating or have an arrangement concerning prospective employment.

In order to avoid the potential for conflicts of interest during my appointment, I agree that I (and anyone whose financial interests are imputed to me, such as a spouse or minor children) will not acquire any further financial interests in entities listed on the FDA prohibited holdings list or in entities involved, directly or through subsidiaries, in the following industries: (1) research, development, manufacture, distribution, or sale of pharmaceutical, biotechnology, or medical devices, equipment, preparations, treatments, or products; (2) veterinary products or cosmetics; (3) healthcare management or delivery; (4) health, disability, or workers compensation insurance or related services; (5) food and/or beverage production, processing or distribution; (6) communications media; (7) computer hardware, computer software, and related internet technologies; (8) wireless communications; (9) social sciences and economic research organizations; (10) energy or utilities; (11) commercial airlines, railroads, shiplines, and cargo carriers; or (12) sector mutual funds that concentrate their portfolios in any of these sectors or on one country other than the United States. I have reported financial interests in the following entities which fall within one or more of the above categories, and which I will divest within 90 days of my appointment:

**Healthcare & related products/pharmacies**

\ AHMC International Cancer Center ;  
\ Capital Medical Education LLC;  
\ Sacramento Valley Medical Education LLC;  
\ Golden Life Healthcare LLC;  
\ Pacific Ambulatory Surgery Center LP;  
\ Royal Vista Properties LLC;  
\ Royal Vista Care Center LLC;  
\ Royal Vista Care Properties LLC;  
\ Royal Vista San Gabriel LLC;  
\ Accuray, Inc.  
Corning Inc.  
Merck & Co. Inc  
China Medical Technologies Inc.  
Ishares NASDAQ Biotechnology ETF

**Media**

Facebook, Inc.  
Sirius XM Holdings Inc.

**Energy/Utilities**

Weatherford International  
Energy Select SPDR ETF

**Information Technology**

Alphabet, Inc.  
Amazon.com Inc.



Apple Inc.  
Cisco Systems Inc.  
First Trust Dow Jones Internet Index Fund  
Intel Corp.  
Alibaba Group Holdings Ltd.

I will not participate personally and substantially in any particular matter that to my knowledge has a direct and predictable effect on the financial interests of the entity until I have divested it, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption (including any applicable de minimis value threshold exemption), pursuant to 18 U.S.C. § 208(b)(2).

The following entities reported on my Public Financial Disclosure Report reflect interests in acute care facilities such as hospitals, or management entities for acute care facilities:

Olivia Joy Investment Inc. ;  
GMEW Health Investment LP;  
AHMC Central Health Plan LLC;  
American Hospital Investment Inc. ;  
Oaklin Management LLC;  
Advantage Care IPA Inc. ;  
Allied Physicians IPA of California.

In my position as Deputy Assistant Secretary for Minority Health, particular matters affecting acute care facilities do not arise often. The terms of my ownership of the above holdings would impose a severe hardship if these were divested. Therefore, I agree to recuse, until further notice, from participating in particular matters which would directly and predictably affect acute care facilities. I note that Olivia Joy Investment Corp. and GEMW Health Investment LP are merely holding companies for my investments which, after divestiture of my interests in the nursing facilities, cancer center, and assisted living facilities, will only hold either completely non-problematic assets, or the above acute-care facilities from which I will be recused. If I have a managed account or otherwise use the services of an investment professional during my appointment, I will ensure that the account manager or investment professional obtains my prior approval on a case-by-case basis for the purchase of any assets other than cash, cash equivalents, investment funds that qualify for the exemption at 5 C.F.R. § 2640.201(a), or obligations of the United States.

In connection with the divestiture of any of the above holdings that are not in IRA accounts, I understand that I may be eligible to request the issuance of a Certificate of Divestiture (CD) to defer any capital gains that result. The Office of Government Ethics (OGE) may issue a CD under the authority of section 1043 of the Internal Revenue Code, 26 U.S.C. § 1043, and implementing OGE regulations at 5 C.F.R. Part 2634, Subpart J. I understand that a CD is effective only if obtained prior to divestiture. Regardless of whether I receive a Certificate of

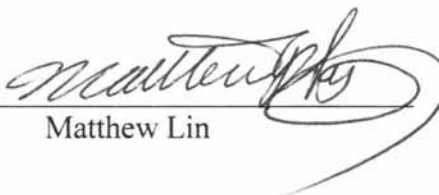
Divestiture, I will ensure that all divestitures discussed in this agreement occur within the agreed upon timeframes and that all proceeds are invested in non-conflicting assets. When conflicting assets are sold pursuant to a CD, the proceeds must be reinvested in permitted property within sixty (60) days. Permitted property is defined as: (1) an obligation of the United States; or (2) a diversified mutual fund or diversified unit investment trust.

I was further advised of the following information concerning the regulatory and procedural requirements to obtain a CD:

The rules operate not by eliminating the capital gains tax, but by deferring its imposition. For such deferral to be approved, the proceeds from the sale of the conflicting assets must be reinvested in permitted property: (1) any obligation of the United States; or (2) any diversified investment fund, defined as any open-end mutual fund that does not concentrate its investments in any particular or limited industrial, economic, or geographic sectors. The basis of the acquired assets is adjusted to a lower figure to reflect the nonrecognized gain. For detailed guidance as to the tax aspects of divestiture transactions and whether proposed acquisitions meet the requirements for permitted property, I have been advised to consult my personal tax advisor, tax attorney, and/or the Internal Revenue Service.

In order to obtain this specialized tax treatment, I understand that a certificate issued by the Director of the Office of Government Ethics must be received by, and held in the possession of, the seller prior to the sale. The procedures in Subpart J require that I, upon confirmation and appointment as a federal employee, request in writing the issuance of a certificate by contacting the Designated Agency Ethics Official and provide detailed information as specified in 5 C.F.R. § 2634.1005, including the specific number of shares held and the ownership thereof. Where the assets are held in trust, additional rules contained in 5 C.F.R. § 2634.1005(d) apply, and a copy of the trust instrument must be supplied, along with a print-out of the trust portfolio holdings.

A copy of this memorandum will be distributed to the appropriate personnel to enable them to assist in screening matters that may involve my participation and which may be implicated by the above disqualification provisions. Matters from which I am disqualified should be referred to the Deputy Director of OMH, without my knowledge or involvement. In order to ensure that this ethics agreement continues to be effective, I will take the following steps in the future: (1) I will revise and update this memorandum whenever that is warranted by changes in my financial interests or other changed circumstances, and provide the OGC Ethics Division with a copy; and (2) I will advise my immediate administrative staff of any such changes.

  
Matthew Lin

cc: Deputy Director, OMH  
Stanley Olesh, OGC Ethics Division



June 20, 2017

Ms. Elizabeth Fischmann  
Associate General Counsel for Ethics  
Designated Agency Ethics Official  
U.S. Department of Health and Human Services  
Room 710-E, Hubert H. Humphrey Building  
200 Independence Avenue, SW  
Washington, DC 20201

Dear Ms. Fischmann:

The purpose of this letter is to describe the steps that I will take to avoid any actual or apparent conflict of interest in the event that I am confirmed for the position of Assistant Secretary for Mental Health and Substance Use, Substance Abuse and Mental Health Services Administration, U.S. Department of Health and Human Services.

As required by 18 U.S.C. § 208(a), I will not participate personally and substantially in any particular matter in which I know that I have a financial interest directly and predictably affected by the matter, or in which I know that a person whose interests are imputed to me has a financial interest directly and predictably affected by the matter, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2). I understand that the interests of the following persons are imputed to me: any spouse or minor child of mine; any general partner of a partnership in which I am a limited or general partner; any organization in which I serve as officer, director, trustee, general partner or employee; and any person or organization with which I am negotiating or have an arrangement concerning prospective employment.

Upon confirmation, I will resign from my positions with the State of Rhode Island, the State of Connecticut (Connecticut Medical Examining Board), Brown University, and as Trustee of my Family Trust. I also resigned from my position as a consultant with AlphaSights in February 2017. For a period of one year after my resignation from each of these entities, I will not participate personally and substantially in any particular matter involving specific parties in which I know that entity is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

I perform consulting work under personal service contracts. I have not formed a legal entity for this purpose. During my appointment to the position of Assistant Secretary, I will not perform consulting work. Any amounts owed to me by any of my clients will be fixed before I assume the duties of the position of Assistant Secretary, and I will not participate personally and substantially in any particular matter that to my knowledge has a direct and predictable effect on the ability or willingness of any of these clients to pay these amounts. In addition, I will not participate personally and substantially in any particular matter involving specific parties in which I know a former client of mine is a party or represents a party for a period of one year after I last provided service to that client, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

Ms. Elizabeth Fischmann

Page 2

My spouse is employed by the University of Rhode Island, a position for which he receives a fixed annual salary. For as long as my spouse works for the University of Rhode Island, I will not participate personally and substantially in any particular matter that to my knowledge has a direct and predictable effect on my spouse's compensation or employment with University of Rhode Island. I also will not participate personally and substantially in any particular matter involving specific parties in which I know the University of Rhode Island is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

If I have a managed account or otherwise use the services of an investment professional during my appointment, I will ensure that the account manager or investment professional obtains my prior approval on a case-by-case basis for the purchase of any assets other than cash, cash equivalents, investment funds that qualify for the exemption at 5 C.F.R. § 2640.201(a), or obligations of the United States.

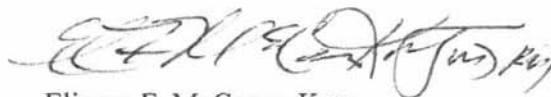
In order to avoid potential conflicts of interest during my appointment as Assistant Secretary, I, my spouse, or any minor children of mine will not acquire any direct financial interest in entities listed on the FDA prohibited holdings list or in entities involved, directly or through subsidiaries, in the following industries: (1) research, development, manufacture, distribution, or sale of pharmaceutical, biotechnology, or medical devices, equipment, preparations, treatment, or products; (2) veterinary products; (3) healthcare management or delivery; (4) health, disability, or workers compensation insurance or related services; (5) food and/or beverage production, processing or distribution; (6) communications media; (7) computer hardware, computer software, and related internet technologies; (8) wireless communications; (9) social sciences and economic research organizations; (10) energy or utilities; (11) commercial airlines, railroads, shiplines, and cargo carriers; or (12) sector mutual funds that concentrate their portfolios on one country other than the United States. In addition, we will not acquire any interests in sector mutual funds that concentrate in any of these sectors.

I understand that as an appointee I will be required to sign the Ethics Pledge (Exec. Order No. 13770) and that I will be bound by the requirements and restrictions therein in addition to the commitments I have made in this ethics agreement.

I will meet in person with you during the first week of my service in the position of Assistant Secretary in order to complete the initial ethics briefing required under 5 C.F.R. § 2638.305. Within 90 days of my confirmation, I will document my compliance with this ethics agreement by notifying you in writing when I have completed the steps described in this ethics agreement.

I have been advised that this ethics agreement will be posted publicly, consistent with 5 U.S.C. § 552, on the website of the U.S. Office of Government Ethics with ethics agreements of other Presidential nominees who file public financial disclosure reports.

Sincerely,



Elinore F. McCance-Katz



August 18, 2017

MEMORANDUM FOR ELIZABETH J. FISCHMANN  
Designated Agency Ethics Official

SUBJECT: Notification of Commitment to Recuse

This memorandum is to provide you with written notification of the screening arrangement I have implemented to ensure that I comply with my obligation to recuse myself from certain matters with which I have a financial interest, or a personal or business relationship. These recusal obligations are set forth in the Ethics Agreement I signed on June 30, 2017.

Unless I am authorized to participate, I am disqualified from participating in any particular matter involving specific parties in which I know the following entities are a party or represent a party:

- 1) AlphaSights (Date of last service – 2/2017)
- 2) Board of Physicians for Responsible Opioid Prescribing
- 3) Brown University
- 4) Family Trust
- 5) State of Connecticut
- 6) State of Rhode Island

This recusal, under 5 C.F.R. § 2635.502, pertaining to these entities will remain for one year from the date of my resignation from my position with each entity, or from the date of my last service to the organization.

My spouse is employed by the University of Rhode Island, a position for which he receives a fixed annual salary. For as long as my spouse works for the University of Rhode Island, I will not participate personally and substantially in any particular matter that to my knowledge has a direct and predictable effect on my spouse's compensation or employment with University of Rhode Island. I also will not participate personally and substantially in any particular matter involving specific parties in which I know the University of Rhode Island is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

In addition to this recusal under 5 C.F.R. § 2635.502, I understand that as an appointee I am required to sign the Ethics Pledge required under the Executive Order entitled "Ethics Commitments by Executive Branch Appointees" (Executive Order 13770), dated January 28,

2017, and that I will be bound by the requirements and restrictions therein in addition to the commitments I have made in my Ethics Agreement. Pursuant to the Ethics Pledge, unless an exception to the Pledge applies or a waiver is obtained, I will not for a period of two years from the date of my appointment participate in an official capacity in any particular matter involving specific parties that is directly and substantially related to the following entities:

- 1) AlphaSights
- 2) Applied Management Systems
- 3) Board of Physicians for Responsible Opioid Prescribing
- 4) Brown University
- 5) Family Trust
- 6) MFS Solutions
- 7) PCM Scientific
- 8) Scarritt Group/Indivior

This recusal will include participation in regulations and contracts. After this recusal ends, in order to avoid any appearance of a conflict of interest, I will seek guidance from the Department's ethics officials before participating in any specific party matter involving one of these entities.

In order to help ensure that I do not participate officially in these matters, I have taken or will take the following steps: (1) Matters from which I am recused will be elevated to the HHS Deputy Secretary or the HHS Chief of Staff, as appropriate, for disposition without my input or recommendation; and (2) I have advised my immediate administrative staff of this recusal and directed them to screen all matters that are processed through them to ensure that any matters that could affect any of these entities are referred to the Chief of Staff who will ensure the matter is handled in accordance with this memorandum.

In order to ensure that this commitment to recuse continues to be effective, I will take the following steps in the future: (1) I will revise and update this memorandum whenever that is warranted by changes in my financial interests or other changed circumstances, and provide you with a copy; and (2) I will advise the Chief of Staff and my immediate administrative staff of my office of any such changes.

  
Elinore F. McCance-Katz, M.D., PhD

cc: Chief of Staff  
Acting General Counsel



Date: 1-5-2018

MEMORANDUM FOR THE RECORD

SUBJECT: Ethics Agreement

In order to avoid any financial conflict of interest in violation of 18 U.S.C. § 208(a), or the appearance of a financial conflict of interest as defined in the Standards of Ethical Conduct for Employees of the Executive Branch, 5 C.F.R. § 2635.502, and to adhere to the Ethics Pledge instituted by Executive Order 13770 issued on January 28, 2017 and entitled "Ethics Commitments by Executive Branch Appointees" (the Ethics Pledge) I am issuing the following statement.

I understand that as an appointee I must sign the Ethics Pledge and that I will be bound by the requirements and restrictions therein even if not specifically mentioned in this or any other ethics agreement.

Before beginning my covered Federal position, I have resigned from my position with the Center of the American Experiment. Pursuant to the Ethics Pledge, I will not, for a period of two years from the date of my appointment to my Federal covered position, participate in an official capacity in any particular matter involving specific parties that is directly and substantially related to that entity, unless an exception applies or I am granted a waiver. Under most circumstances, the two-year Pledge prior-employer recusal obligation will supersede the one-year prior-employer recusal obligation under 5 C.F.R. § 2635.502; however, in the limited circumstances when the Pledge recusal would not apply but the regulatory recusal would still apply, then I agree to be disqualified, for a period of one year from the date my services for that entity otherwise ceased, from participating in any particular matter involving specific parties in which the Center of the American Experiment is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

As required by 18 U.S.C. § 208(a), I will not participate personally and substantially in any particular matter that has a direct and predictable effect on my financial interests or those of any person whose interests are imputed to me, unless I first obtain a written waiver pursuant to section 208(b)(1) or qualify for a regulatory exemption, pursuant to section 208(b)(2). I understand that the interests of the following persons are imputed to me: any spouse or minor child of mine; any general partner of a partnership in which I am a limited or general partner; any organization in which I serve as officer, director, trustee, general partner or employee; and any person or organization with which I am negotiating or have an arrangement concerning prospective employment.

I understand that certain de minimis thresholds contained at 5 C.F.R. Part 2640 create exemptions from the general prohibition; for instance, I must avoid participation, as a Government employee, in any particular matter involving specific parties, such as grants, contracts, audits, investigations, litigation, interviews, and, in many circumstances, meetings, that could have a direct and predictable effect upon a financial interest in an entity (even if this entity is not one of the parties to the matter) if my affected holdings in individual securities are valued at over \$15,000. When my holdings in any single



potentially affected financial interest are valued at over \$25,000 in individual securities (or if the combination of values of all affected financial interests is over \$50,000), I must avoid participation even in particular matters of general applicability, e.g., regulation development or proposed legislation, that could have a direct and predictable effect on the holding(s). The de minimis threshold for sector mutual funds is also \$50,000. However, although exemptions may narrow the scope of the disqualification in some situations, generally my first obligation is to recuse pending review of my situation if I have any doubt whether participation is allowed.

In order to avoid the potential for conflicts of interest during my appointment, I agree that I (and anyone whose financial interests are imputed to me, such as a spouse or minor children) will not acquire any further financial interests in entities listed on the FDA prohibited holdings list or in entities involved, directly or through subsidiaries, in the following industries: (1) research, development, manufacture, distribution, or sale of pharmaceutical, biotechnology, or medical devices, equipment, preparations, treatments, or products (including chemical precursors); (2) veterinary products or cosmetics; (3) healthcare management or delivery; (4) health, disability, or workers compensation insurance or related services; (5) food and/or beverage production, processing or distribution; (6) communications media; (7) computer hardware, computer software, and related internet technologies; (8) wireless communications; (9) social sciences and economic research organizations; (10) energy or utilities; (11) commercial airlines, railroads, shiplines, and cargo carriers; or (12) sector mutual funds that concentrate their portfolios in any of these sectors or on one country other than the United States. On my Public Financial Disclosure Report (OGE 278e), I have reported a holding in Cisco Systems Inc., which is an information technology (IT) company. I agree to either maintain the total value of the Cisco holding below the lowest \$15,000 de minimis, or, if the value of the holding does rise above that level, I will recuse from specific-party matters that would directly and predictably affect Cisco Systems, which may involve recusing from certain IT matters. I will not in any event allow the value to rise above the higher \$25,000 de minimis threshold for particular matters of general applicability. I may also decide to divest the holding in its entirety if appropriate. If I have a managed account or otherwise use the services of an investment professional during my appointment, I will ensure that the account manager or investment professional obtains my prior approval on a case-by-case basis for the purchase of any assets other than cash, cash equivalents, investment funds that qualify for the exemption at 5 C.F.R. § 2640.201(a), or obligations of the United States.

A copy of this memorandum will be distributed to the appropriate personnel to enable them to assist in screening matters that may involve my participation and which may be implicated by the above disqualification provisions. Matters from which I am disqualified should be referred to Brady Brookes without my knowledge or involvement. In order to ensure that this ethics agreement continues to be effective, I will take the following steps in the future: (1) I will revise and update this memorandum whenever that is warranted by changes in my financial interests or other changed circumstances, and provide the OGC Ethics Division with a copy; and (2) I will advise my immediate administrative staff of any such changes.

  
Peter Nelson

cc: Stanley Olesh, OGC Ethics Division  
Joe Dion, CMS

\_\_\_\_\_  
[Name of Delegate]



Date: 2/1/18

MEMORANDUM FOR THE RECORD

SUBJECT: Ethics Agreement

In order to avoid any financial conflict of interest in violation of 18 U.S.C. § 208(a), or the appearance of a financial conflict of interest as defined in the Standards of Ethical Conduct for Employees of the Executive Branch, 5 C.F.R. § 2635.502, and to adhere to the Ethics Pledge instituted by Executive Order 13770 issued on January 28, 2017 and entitled "Ethics Commitments by Executive Branch Appointees" (the Ethics Pledge) I am issuing the following statement.

I understand that as an appointee I must sign the Ethics Pledge and that I will be bound by the requirements and restrictions therein even if not specifically mentioned in this or any other ethics agreement.

Before beginning my covered Federal position, I resigned from my position with the Illinois Department of Healthcare and Family Services, and I agree that my sole-proprietorship consulting company, Prairie State Strategies, will be inactive during my Federal service, and will have no clients and will not advertise. I will not perform any services for the business, except for complying, if necessary, with any requirements involving legal filings, taxes and fees that are necessary to maintain the company while it is in an inactive status. Pursuant to the Ethics Pledge, I will not, for a period of two years from the date of my appointment to my Federal covered position, participate in an official capacity in any particular matter involving specific parties that is directly and substantially related to clients of Prairie State Strategies for whom I personally did work within the prior two years, unless an exception applies or I am granted a waiver:

- 1) Exelon Generation
- 2) Wexford Health Source
- 3) Advanced Patient Care
- 4) Galloway Consulting
- 5) Energy & Enterprise Initiative
- 6) Oxfam America
- 7) Illinois Chamber of Commerce
- 8) Solex College

Under most circumstances, the two-year Pledge prior-employer recusal obligation will supersede the one-year prior-employer recusal obligation under 5 C.F.R. § 2635.502; however, in the limited circumstances when the Pledge recusal would not apply but the regulatory recusal would still apply, then I agree to be disqualified, for a period of one year from the date my services for the entity ceased, from participating in any particular matter involving specific parties in which any of the above entities is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d). I understand that, although state and local governments are exempt from the Ethics Pledge, I also have recusal obligations regarding the Illinois Department of Healthcare and Family Services because of my prior employment at that agency, and with the Village of Tinley Park because

of my prior consulting services for that entity. I will not participate in any particular matter involving specific parties in which either of those entities is a party or represents a party, for a period of one year from the date my employment with that agency ended, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

My spouse is a salaried employee at TransUnion. For as long as my spouse continues to work for that entity, I will not participate personally and substantially in any particular matter involving specific parties in which I know that TransUnion is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d). In addition, I will not participate in any particular matter, including both matters of general applicability as well as those involving specific parties, that will affect my spouse's level of compensation.

As required by 18 U.S.C. §208(a), I will not participate personally and substantially in any particular matter that has a direct and predictable effect on my financial interests or those of any person whose interests are imputed to me, unless I first obtain a written waiver pursuant to section 208(b)(1) or qualify for a regulatory exemption, pursuant to section 208(b)(2). I understand that the interests of the following persons are imputed to me: any spouse or minor child of mine; any general partner of a partnership in which I am a limited or general partner; any organization in which I serve as officer, director, trustee, general partner or employee; and any person or organization with which I am negotiating or have an arrangement concerning prospective employment.

I understand that certain de minimis thresholds contained at 5 C.F.R. Part 2640 create exemptions from the general prohibition; for instance, I must avoid participation, as a Government employee, in any particular matter involving specific parties, such as grants, contracts, audits, investigations, litigation, interviews, and, in many circumstances, meetings, that could have a direct and predictable effect upon a financial interest in an entity (even if this entity is not one of the parties to the matter) if my affected holdings in individual securities are valued at over \$15,000. When my holdings in any single potentially affected financial interest are valued at over \$25,000 in individual securities (or if the combination of values of all affected financial interests is over \$50,000), I must avoid participation even in particular matters of general applicability, e.g., regulation development or proposed legislation, that could have a direct and predictable effect on the holding(s). The de minimis threshold for sector mutual funds is also \$50,000. However, although exemptions may narrow the scope of the disqualification in some situations, generally my first obligation is to recuse pending review of my situation if I have any doubt whether participation is allowed.

In order to minimize the potential for conflicts of interest during my appointment, I agree that I (and anyone whose financial interests are imputed to me, such as a spouse or minor children) will not acquire any further financial interests in entities listed on the FDA prohibited holdings list or in entities involved, directly or through subsidiaries, in the following industries: (1) research, development, manufacture, distribution, or sale of pharmaceutical, biotechnology, or medical devices, equipment, preparations, treatments, or products; (2) veterinary products or cosmetics; (3) healthcare management or delivery; (4) health, disability, or workers compensation insurance or related services; (5) food and/or beverage production, processing or distribution; (6) communications media; (7) computer hardware, computer software, and related internet technologies; (8) wireless communications; (9) social sciences and economic research organizations; (10) energy or utilities; (11) commercial airlines, railroads, shiplines, and cargo carriers; or (12) sector mutual funds that concentrate their portfolios in



any of these sectors or on one country other than the United States. I have reported holdings in the following entities which fall within one or more of the above categories:

Healthcare/Pharmaceuticals

Abbott Laboratories

Abbvie Inc.

Food/Beverage and Insurance

Berkshire Hathaway

I agree to divest the above holdings within 90 days of my appointment to my covered position. I will not participate personally and substantially in any particular matter that has a direct and predictable effect on the financial interests of these entities until I have divested the respective asset, unless I first obtain a written waiver pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2).

I also have reported the following holdings of a type less directly related to the duties of my covered position:

Billing and Collections Software (some products marketed to Healthcare Providers)

TransUnion

TransUnion stock options

I agree that I will recuse, in my official duties, from particular matters (including both specific-party matters, and particular matters of general applicability, as described above) that would directly and predictably affect TransUnion, for as long as I continue to own them. This recusal obligation would not be unduly burdensome since I do not anticipate encountering many issues involving healthcare reimbursement software in my official duties in Region V.

If I have a managed account or otherwise use the services of an investment professional during my appointment, I will ensure that the account manager or investment professional obtains my prior approval on a case-by-case basis for the purchase of any assets other than cash, cash equivalents, investment funds that qualify for the exemption at 5 C.F.R. § 2640.201(a), or obligations of the United States.


In connection with the divestiture of the above holdings that are not in IRA accounts, I understand that I may be eligible to request the issuance of a Certificate of Divestiture (CD) to defer any capital gains that result. The Office of Government Ethics (OGE) may issue a CD under the authority of section 1043 of the Internal Revenue Code, 26 U.S.C. § 1043, and implementing OGE regulations at 5 C.F.R. Part 2634, Subpart J. I understand that a CD is effective only if obtained prior to divestiture. Regardless of whether I receive a Certificate of Divestiture, I will ensure that all divestitures discussed in this agreement occur within the agreed upon timeframes and that all proceeds are invested in non-conflicting assets. When conflicting assets are sold pursuant to a CD, the proceeds must be reinvested in permitted property within sixty (60) days. Permitted property is defined as: (1) an obligation of the United States; or (2) a diversified mutual fund or diversified unit investment trust.

I was further advised of the following information concerning the regulatory and procedural requirements to obtain a CD:

The rules operate not by eliminating the capital gains tax, but by deferring its imposition. For such deferral to be approved, the proceeds from the sale of the conflicting assets must be reinvested in permitted property: (1) any obligation of the United States; or (2) any diversified investment fund, defined as any open-end mutual fund that does not concentrate its investments in any particular or limited industrial, economic, or geographic sectors. The basis of the acquired assets is adjusted to a lower figure to reflect the nonrecognized gain. For detailed guidance as to the tax aspects of divestiture transactions and whether proposed acquisitions meet the requirements for permitted property, I have been advised to consult my personal tax advisor, tax attorney, and/or the Internal Revenue Service.

In order to obtain this specialized tax treatment, I understand that a certificate issued by the Director of the Office of Government Ethics must be received by, and held in the possession of, the seller prior to the sale. The procedures in Subpart J require that I, upon confirmation and appointment as a federal employee, request in writing the issuance of a certificate by contacting the Designated Agency Ethics Official and provide detailed information as specified in 5 C.F.R. § 2634.1005, including the specific number of shares held and the ownership thereof. Where the assets are held in trust, additional rules contained in 5 C.F.R. § 2634.1005(d) apply, and a copy of the trust instrument must be supplied, along with a print-out of the trust portfolio holdings.

A copy of this memorandum will be distributed to the appropriate personnel to enable them to assist in screening matters that may involve my participation and which may be implicated by the above disqualification provisions. Matters from which I am disqualified should be referred to LAURA TRUEMAN without my knowledge or involvement. In order to ensure that this ethics agreement continues to be effective, I will take the following steps in the future: (1) I will revise and update this memorandum whenever that is warranted by changes in my financial interests or other changed circumstances, and provide the OGC Ethics Division with a copy; and (2) I will advise my immediate administrative staff of any such changes.

  
Douglas O'Brien

cc: Stanley Olesh, OGC Ethics Division  
LAURA TRUEMAN [Name of Delegate]



Date: 08-23-17

MEMORANDUM FOR THE RECORD

SUBJECT: Ethics Agreement

In order to avoid any financial conflict of interest in violation of 18 U.S.C. § 208(a), or the appearance of a financial conflict of interest as defined in the Standards of Ethical Conduct for Employees of the Executive Branch, 5 C.F.R. § 2635.502, and to adhere to the Ethics Pledge instituted by Executive Order 13770 issued on January 28, 2017 and entitled "Ethics Commitments by Executive Branch Appointees" (the Ethics Pledge) I am issuing the following statement.

I understand that as an appointee I must sign the Ethics Pledge and that I will be bound by the requirements and restrictions therein even if not specifically mentioned in this or any other ethics agreement.

Olson Strategies & Advertising is my spouse's privately-held political consulting company, which has been my employer since 2011. Before beginning my covered Federal position, I resigned from my position with that entity. My spouse continues to have an ownership interest in the company. In my official HHS duties, I will not participate personally and substantially in any particular matter that to my knowledge has a direct and predictable effect on the financial interests of Olson Strategies & Advertising. I will also not participate in any particular matter involving specific parties in which any of my spouse's clients is a party or represents a party.

Pursuant to the Ethics Pledge, I will not, for a period of two years from the date of my appointment to my Federal covered position, participate in an official capacity in any particular matter involving specific parties that is directly and substantially related to the clients at Olson Strategies and Advertising for whom I personally performed work for the two years prior to my federal appointment, unless an exception applies or I am granted a waiver. These clients are as follows:

- 1) Morris Sparkman for CRNC Chairman;
- 2) Randy Baumgardner;
- 3) Ben Higgins;
- 4) Greener & Hook;
- 5) NZK Productions Inc.;
- 6) Woodley for Colorado;
- 7) Westbrooke Group LLC;

- 8) Committee to Elect Tim Dore;
- 9) Micah Caskey for House;
- 10) Ralph Kennedy for South Carolina House;
- 11) Donald Miles for House;
- 12) Project Helping;
- 13) Nanette Bian;
- 14) Peg Littleton;
- 15) Visionbox Studio;
- 16) Colorado Republican Committee;
- 17) Denver Mountain Parks Foundation.

Under most circumstances, the two-year Pledge prior-employer recusal obligation will supersede the one-year prior-employer recusal obligation under 5 C.F.R. § 2635.502; however, in the limited circumstances when the Pledge recusal would not apply but the regulatory recusal would still apply, then I agree to be disqualified, for a period of one year from the date of my resignation from the respective entity or the date my services for the entity otherwise ceased, from participating in any particular matter involving specific parties in which any of the above entities is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

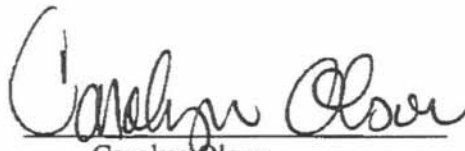
As required by 18 U.S.C. §208(a), I will not participate personally and substantially in any particular matter that has a direct and predictable effect on my financial interests or those of any person whose interests are imputed to me, unless I first obtain a written waiver pursuant to section 208(b)(1) or qualify for a regulatory exemption, pursuant to section 208(b)(2). I understand that the interests of the following persons are imputed to me: any spouse or minor child of mine; any general partner of a partnership in which I am a limited or general partner; any organization in which I serve as officer, director, trustee, general partner or employee; and any person or organization with which I am negotiating or have an arrangement concerning prospective employment.

In order to avoid the potential for conflicts of interest during my appointment, I agree that I (and anyone whose financial interests are imputed to me, such as a spouse or minor children) will not acquire any further financial interests in entities listed on the FDA prohibited holdings list or in entities involved, directly or through subsidiaries, in the following industries: (1) research, development, manufacture, distribution, or sale of pharmaceutical, biotechnology, or medical devices, equipment, preparations, treatments, or products; (2) veterinary products or cosmetics; (3) healthcare management or delivery; (4) health, disability, or workers compensation insurance or related services; (5) food and/or beverage production, processing or distribution; (6) communications media; (7) computer hardware, computer software, and related internet technologies; (8) wireless communications; (9) social sciences and economic research organizations; (10) energy or utilities; (11) commercial airlines, railroads, shiplines, and cargo carriers; or (12) sector mutual funds that concentrate their portfolios in any of these sectors or on one country other than the United States. If I have a managed account or otherwise use the services of an investment professional during my appointment, I will ensure that the account manager or investment professional obtains my prior approval on a case-by-case basis for the



purchase of any assets other than cash, cash equivalents, investment funds that qualify for the exemption at 5 C.F.R. § 2640.201(a), or obligations of the United States.

A copy of this memorandum will be distributed to the appropriate personnel to enable them to assist in screening matters that may involve my participation and which may be implicated by the above disqualification provisions. Matters from which I am disqualified should be referred to Cecilia Martinez without my knowledge or involvement. In order to ensure that this ethics agreement continues to be effective, I will take the following steps in the future: (1) I will revise and update this memorandum whenever that is warranted by changes in my financial interests or other changed circumstances, and provide the OGC Ethics Division with a copy; and (2) I will advise my immediate administrative staff of any such changes.

  
Carolyn Olson

cc: \_\_\_\_\_ *[Name of Delegate]*  
Stanley Olesh, OGC Ethics Division

MEMORANDUM FOR BRIAN SHIOZAWA

TO: Brian Shiozawa, Regional Director, Region VIII

FROM: Jack Kalavritinos, Acting Director  
Office of Intergovernmental and External Affairs

SUBJECT: Limited Authorization Under 5 C.F.R. § 2635.502(d)

You have requested a limited authorization to participate in certain specific party matters where your former employer, the government of the State of Utah (Utah), is a party or represents a party to the matter. This nine-month, limited authorization will apply, provided that the matter is not the same matter — or a substantially-related matter — in which you personally participated while an employee of Utah, or is not a matter in which you acquired confidential information as a result of your employment with Utah. After weighing the relevant factors and consulting with the Designated Agency Ethics Official for the Department, I have determined that the governmental interest in your participation in these particular matters outweighs any countervailing appearance concerns that may arise given your prior employment. Accordingly, I authorize your participation in certain particular matters involving Utah as a party or representative of a party, as described in more detail below<sup>1</sup>.

Under the Standards of Ethical Conduct for Employees of the Executive Branch, a federal employee may not participate in a particular matter that involves specific parties if one of the parties is, or is represented by, an entity with which the employee has a “covered relationship,” as defined in the regulations, and where the circumstances would cause a reasonable person to question the employee’s impartiality in the matter. “Covered relationships” include persons or entities for which the federal employee served as an employee or officer during the prior year. 5 C.F.R. § 2635.502(b)(1)(iv). This requirement of disqualification only applies to “particular matters involving specific parties,” including grant awards, litigation, contracts and other matters involving a specific request, determination, or ruling. It also applies to accepting a meeting request from a specific party. It does not apply to “particular matters of general applicability,” including legislation, regulations, or other broad policy matters that might affect an entity as part of a group. When an employee’s participation in a particular matter involving specific parties gives rise to a concern about the employee’s impartiality in the matter, the employee may be authorized to participate in the matter if the interest of the federal Government in the employee’s participation outweighs concern about a potential appearance of a lack of integrity in the agency’s programs and operations. 5 C.F.R. § 2635.502(d).

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<sup>1</sup> Please note, this authorization does not affect the application of your remaining prior-employer recusal requirements under 5 C.F.R. § 2635.502 or the Ethics Pledge (Executive Order 13770). Thus, you are still required to recuse for two years from the date of your federal appointment from particular matters involving specific parties if the Emergency Physicians Integrated Care and Regence Blue Cross is or represents a party.

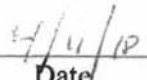


is of significant value to HHS, and the Secretary should have the utmost flexibility to use the most qualified employees that are available to the Department for such work.

Under this limited authorization, you are permitted to participate in matters where Utah is a party or represents a party, provided it is not the same matter — or a substantially-related matter — in which you personally participated while an employee of Utah, or is not a matter in which you acquired confidential information as a result of your employment with Utah.

Therefore, after consultation with the OGC Ethics Division, I have determined that, in light of the factors weighed above, the interest of the federal Government in your participation in the limited category of matters described above outweighs the concern that a reasonable person may question the integrity and impartiality of the programs and operations of HHS. Accordingly, the nine-month, limited authorization as described above is granted.

  
Jack Kalavritinos

  
Date

cc: OGC/Ethics Division

Date:

2/15/18

MEMORANDUM FOR THE RECORD

SUBJECT: Ethics Agreement

In order to avoid any financial conflict of interest in violation of 18 U.S.C. § 208(a), or the appearance of a financial conflict of interest as defined in the Standards of Ethical Conduct for Employees of the Executive Branch, 5 C.F.R. § 2635.502, and to adhere to the Ethics Pledge instituted by Executive Order 13770 issued on January 28, 2017 and entitled "Ethics Commitments by Executive Branch Appointees" (the Ethics Pledge) I am issuing the following statement.

I understand that as an appointee I must sign the Ethics Pledge and that I will be bound by the requirements and restrictions therein even if not specifically mentioned in this or any other ethics agreement.

Before beginning my covered Federal position, I resigned from all non-federal positions listed on my OGE 278e (Public Financial Disclosure Report). Pursuant to the Ethics Pledge, I will not, for a period of two years from the date of my appointment to my Federal covered position, participate in an official capacity in any particular matter involving specific parties that is directly and substantially related to the following entities, unless an exception applies or I am granted a waiver:

- 1) Emergency Physicians Integrated Care (EPIC);
- 2) Regence Blue Cross.

Additionally, under 5 C.F.R. § 2635.502 (if the two-year restriction of the Ethics Pledge does not apply), I am disqualified, for a period of one year from the date of my resignation from the entity, or the date my services for the entity otherwise ceased, from participating in any particular matter involving specific parties in which any of the above entities is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d). I understand that, although state and local governments are exempt from the Ethics Pledge, I also have recusal obligations regarding the State of Utah because of my former employment in the Utah State Senate. I will not participate in any particular matter involving specific parties in which the State of Utah is a party or represents a party, for a period of one year from the date my employment with the state of Utah ended, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

My spouse is employed at Imagine Realty. For as long as my spouse continues to work for that entity, I will not participate personally and substantially in any particular matter involving



specific parties in which I know that entity is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d). In addition, I will not participate in any particular matter, including both matters of general applicability as well as those involving specific parties, that will affect my spouse's level of compensation.

As required by 18 U.S.C. §208(a), I will not participate personally and substantially in any particular matter that has a direct and predictable effect on my financial interests or those of any person whose interests are imputed to me, unless I first obtain a written waiver pursuant to section 208(b)(1) or qualify for a regulatory exemption, pursuant to section 208(b)(2). I understand that the interests of the following persons are imputed to me: any spouse or minor child of mine; any general partner of a partnership in which I am a limited or general partner; any organization in which I serve as officer, director, trustee, general partner or employee; and any person or organization with which I am negotiating or have an arrangement concerning prospective employment.

I understand that certain de minimis thresholds contained at 5 C.F.R. Part 2640 create exemptions from the general prohibition; for instance, I must avoid participation, as a Government employee, in any particular matter involving specific parties, such as grants, contracts, audits, investigations, litigation, interviews, and, in many circumstances, meetings, that could have a direct and predictable effect upon a financial interest in an entity (even if this entity is not one of the parties to the matter) if my affected holdings in individual securities are valued at over \$15,000. When my holdings in any single potentially affected financial interest are valued at over \$25,000 in individual securities (or if the combination of values of all affected financial interests is over \$50,000), I must avoid participation even in particular matters of general applicability, e.g., regulation development or proposed legislation, that could have a direct and predictable effect on the holding(s). The de minimis threshold for sector mutual funds is also \$50,000. However, although exemptions may narrow the scope of the disqualification in some situations, generally my first obligation is to recuse pending review of my situation if I have any doubt whether participation is allowed.

In order to minimize the potential for conflicts of interest during my appointment, I agree that I (and anyone whose financial interests are imputed to me, such as a spouse or minor children) will not acquire any further financial interests in entities listed on the FDA prohibited holdings list or in entities involved, directly or through subsidiaries, in the following industries: (1) research, development, manufacture, distribution, or sale of pharmaceutical, biotechnology, or medical devices, equipment, preparations, treatments, or products; (2) veterinary products or cosmetics; (3) healthcare management or delivery; (4) health, disability, or workers compensation insurance or related services; (5) food and/or beverage production, processing or distribution; (6) communications media; (7) computer hardware, computer software, and related internet technologies; (8) wireless communications; (9) social sciences and economic research organizations; (10) energy or utilities; (11) commercial airlines, railroads, shiplines, and cargo carriers; or (12) sector mutual funds that concentrate their portfolios in any of these sectors or on one country other than the United States. The only holding reported on my Public Financial Disclosure Report (OGE 278e) that falls into any of these categories is the ICON Energy Fund (ICENX). I agree that this holding will not exceed the applicable de minimis threshold amount (\$50,000 for sector funds), and I will divest whatever amounts necessary in the future to

maintain the holding below this threshold. I may also decide to divest the holding in its entirety. If I have a managed account or otherwise use the services of an investment professional during my appointment, I will ensure that the account manager or investment professional obtains my prior approval on a case-by-case basis for the purchase of any assets other than cash, cash equivalents, investment funds that qualify for the exemption at 5 C.F.R. § 2640.201(a), or obligations of the United States.

A copy of this memorandum will be distributed to the appropriate personnel to enable them to assist in screening matters that may involve my participation and which may be implicated by the above disqualification provisions. Matters from which I am disqualified should be referred to \_\_\_\_\_ without my knowledge or involvement. In order to ensure that this ethics agreement continues to be effective, I will take the following steps in the future: (1) I will revise and update this memorandum whenever that is warranted by changes in my financial interests or other changed circumstances, and provide the OGC Ethics Division with a copy; and (2) I will advise my immediate administrative staff of any such changes.

  
Brian Shiozawa

2/15/18

cc: Stanley Olesh, OGC Ethics Division  
\_\_\_\_\_  
[Name of Delegate]

please advise if there  
are any other issues.





Date: 7/21/17

MEMORANDUM FOR THE RECORD

SUBJECT: Ethics Agreement

In order to avoid any financial conflict of interest in violation of 18 U.S.C. § 208(a), or the appearance of a financial conflict of interest as defined in the Standards of Ethical Conduct for Employees of the Executive Branch, 5 C.F.R. § 2635.502, and to adhere to the Ethics Pledge instituted by Executive Order 13770 issued on January 28, 2017 and entitled "Ethics Commitments by Executive Branch Appointees" (the Ethics Pledge) I am issuing the following statement.

I understand that as an appointee I must sign the Ethics Pledge and that I will be bound by the requirements and restrictions therein even if not specifically mentioned in this or any other ethics agreement.

As required by 18 U.S.C. §208(a), and while employed in a covered Federal position, I will not participate personally and substantially in any particular matter that has a direct and predictable effect on my financial interests or those of any person whose interests are imputed to me, unless I first obtain a written waiver pursuant to section 208(b)(1) or qualify for a regulatory exemption, pursuant to section 208(b)(2). I understand that the interests of the following persons are imputed to me: any spouse or minor child of mine; any general partner of a partnership in which I am a limited or general partner; any organization in which I serve as officer, director, trustee, general partner or employee; and any person or organization with which I am negotiating or have an arrangement concerning prospective employment.

In order to avoid the potential for conflicts of interest during my appointment, I agree that, while employed by DHHS in a covered Federal position, I (and anyone whose financial interests are imputed to me, such as a spouse or minor children) will not acquire any further financial interests in entities listed on the FDA prohibited holdings list or in entities involved, directly or through subsidiaries, in the following industries: (1) research, development, manufacture, distribution, or sale of pharmaceutical, biotechnology, or medical devices, equipment, preparations, treatments, or products; (2) veterinary products or cosmetics; (3) healthcare management or delivery; (4) health, disability, or workers compensation insurance or related services; (5) food and/or beverage production, processing or distribution; (6) communications media; (7) computer hardware, computer software, and related internet technologies; (8) wireless communications; (9) social sciences and economic research organizations; (10) energy or utilities; (11) commercial airlines, railroads, shiplines, and cargo carriers; or (12) sector mutual funds that concentrate their portfolios in any of these sectors or on one country other than the United States.



If I rely on a *de minimis* exemption under 5 C.F.R. § 2640.202 with regard to any of my financial interests in securities, I will monitor the value of those interests. If the aggregate value of interests affected by a particular matter increases and exceeds the *de minimis* threshold, I will not participate personally and substantially in the particular matter that to my knowledge has a direct and predictable effect on the interests, unless I first obtain a written waiver pursuant to 18 U.S.C. § 208(b)(1).

Before beginning my covered Federal position as the Deputy Chief Technology Officer, in the Immediate Office of the Secretary (IOS) with the Department of Health and Human Services (DHHS), I resigned from my position as a member of the Operating Board of the not-for profit CICOA Aging & In-Home Solutions, a/k/a Central Indiana Council on Aging (“CICOA”). Within (30) thirty days of my resignation from this position, CICOA has agreed to remove my name, credentials, and associated photographs, bio, written endorsements from their Internet webpage, stationary or letterhead, and/or any and all other materials used for communications, consulting, advertising and/or marketing for CICOA. Additionally, pursuant to the Ethics Pledge, I will not, for a period of two years from the date of my appointment, participate in an official capacity in any particular matter involving specific parties that is directly and substantially related to CICOA, unless an exception applies or I am granted a waiver. Additionally, under 5 C.F.R. § 2635.502 (if the two-year restriction of the Ethics Pledge does not apply), I am disqualified, for a period of one year from the date of my resignation from the entity, or the date my services for the entity otherwise ceased, from participating in any particular matter involving specific parties in which CICOA is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

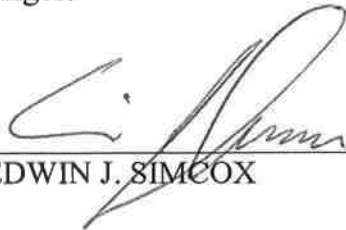
Additionally, prior to beginning my covered Federal position with DHHS, I resigned from my position as the Healthcare Practice Lead with Logicalis, Inc. (“Logicalis”), an operating division of Logicalis Group, a wholly owned subsidiary of DataTec Ltd. Upon entering on duty with DHHS, Logicalis will owe me a true-up bonus reimbursement [bookkeeping error for FY17] in the amount of no more than \$2,000.00. I expect to receive this payment no later than 90 days from the date of my appointment. Until I receive this payments, I will not participate personally and substantially in any particular matter that to my knowledge has a direct and predictable effect on the ability and willingness of Logicalis to make these payments to me, unless I first obtain a written waiver, Pursuant to 18 U.S.C. § 208(b)(1) Finally, pursuant to the Ethics Pledge, I will not, for a period of two years from the date of my appointment to my Federal covered position, participate in an official capacity in any particular matter involving specific parties that is directly and substantially related to Logicalis, unless an exception applies or I am granted a waiver. Additionally, under 5 C.F.R. § 2635.502 (if the two-year restriction of the Ethics Pledge does not apply), I am disqualified, for a period of one year from the date of my resignation from the entity, or the date my services for the entity otherwise ceased, from participating in any particular matter involving specific parties in which Logicalis is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

Finally, while employed in a covered Federal position, I will recuse myself from participation on a case-by-case basis in any particular matter involving specific parties in which I determine that a reasonable person with knowledge of the relevant facts would question my impartiality in that matter, unless I am first authorized to participate, pursuant to 5 C.F.R. §2635, Subpart E.

A copy of this memorandum will be distributed to the appropriate personnel to enable them to assist in screening matters that may involve my participation and which may be implicated by the above disqualification provisions. Matters from which I am disqualified should be referred to



Sanjay Koyan without my knowledge or involvement. In order to ensure that this ethics agreement continues to be effective, I will take the following steps in the future: (1) I will revise and update this memorandum whenever that is warranted by changes in my financial interests or other changed circumstances, and provide the OGC Ethics Division with a copy; and (2) I will advise my immediate administrative staff of any such changes.

  
EDWIN J. SIMCOX

cc: Stanley Olesh, OGC/Ethics Div.  
\_\_\_\_\_ [Name of Delegate]

Date: August 23, 2017

MEMORANDUM FOR THE RECORD

SUBJECT: Ethics Agreement

In order to avoid any financial conflict of interest in violation of 18 U.S.C. § 208(a), or the appearance of a financial conflict of interest as defined in the Standards of Ethical Conduct for Employees of the Executive Branch, 5 C.F.R. § 2635.502, and to adhere to the Ethics Pledge instituted by Executive Order 13770 issued on January 28, 2017 and entitled "Ethics Commitments by Executive Branch Appointees" (the Ethics Pledge) I am issuing the following statement.

I understand that as an appointee I must sign the Ethics Pledge and that I will be bound by the requirements and restrictions therein even if not specifically mentioned in this or any other ethics agreement.

Before beginning my covered Federal position, I resigned from all non-federal positions listed on my OGE 278e (Public Financial Disclosure Report). Pursuant to the Ethics Pledge, I will not, for a period of two years from the date of my appointment to my Federal covered position, participate in an official capacity in any particular matter involving specific parties that is directly and substantially related to Kaiser Permanente, unless an exception applies or I am granted a waiver. Under most circumstances, the two-year Pledge prior-employer recusal obligation will supercede the one-year prior-employer recusal obligation under 5 C.F.R. § 2635.502; however, in the limited circumstances when the Pledge recusal would not apply but the regulatory recusal would still apply, then I agree to be disqualified, for a period of one year from the date of my resignation from the entity, or the date my services for the entity otherwise ceased, from participating in any particular matter involving specific parties in which Kaiser Permanente is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

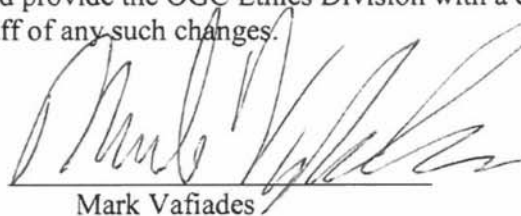
As required by 18 U.S.C. §208(a), I will not participate personally and substantially in any particular matter that has a direct and predictable effect on my financial interests or those of any person whose interests are imputed to me, unless I first obtain a written waiver pursuant to section 208(b)(1) or qualify for a regulatory exemption, pursuant to section 208(b)(2). I understand that the interests of the following persons are imputed to me: any spouse or minor child of mine; any general partner of a partnership in which I am a limited or general partner; any organization in which I serve as officer, director, trustee, general partner or employee; and any person or organization with which I am negotiating or have an arrangement concerning prospective employment.

In order to avoid the potential for conflicts of interest during my appointment, I agree that I (and anyone whose financial interests are imputed to me, such as a spouse or minor children) will not



acquire any further financial interests in entities listed on the FDA prohibited holdings list or in entities involved, directly or through subsidiaries, in the following industries: (1) research, development, manufacture, distribution, or sale of pharmaceutical, biotechnology, or medical devices, equipment, preparations, treatments, or products; (2) veterinary products or cosmetics; (3) healthcare management or delivery; (4) health, disability, or workers compensation insurance or related services; (5) food and/or beverage production, processing or distribution; (6) communications media; (7) computer hardware, computer software, and related internet technologies; (8) wireless communications; (9) social sciences and economic research organizations; (10) energy or utilities; (11) commercial airlines, railroads, shiplines, and cargo carriers; or (12) sector mutual funds that concentrate their portfolios in any of these sectors or on one country other than the United States. If I have a managed account or otherwise use the services of an investment professional during my appointment, I will ensure that the account manager or investment professional obtains my prior approval on a case-by-case basis for the purchase of any assets other than cash, cash equivalents, investment funds that qualify for the exemption at 5 C.F.R. § 2640.201(a), or obligations of the United States.

A copy of this memorandum will be distributed to the appropriate personnel to enable them to assist in screening matters that may involve my participation and which may be implicated by the above disqualification provisions. Matters from which I am disqualified should be referred to Tara Broido, OASH Deputy Director of Communications without my knowledge or involvement. In order to ensure that this ethics agreement continues to be effective, I will take the following steps in the future: (1) I will revise and update this memorandum whenever that is warranted by changes in my financial interests or other changed circumstances, and provide the OGC Ethics Division with a copy; and (2) I will advise my immediate administrative staff of any such changes.



Mark Vafiades

cc: Stanley Olesh, OGC Ethics Division  
Tara Broido, OASH Deputy Director of Communications

Date: 10/30/2017

MEMORANDUM FOR THE RECORD

SUBJECT: Ethics Agreement

In order to avoid any financial conflict of interest in violation of 18 U.S.C. § 208(a), or the appearance of a financial conflict of interest as defined in the Standards of Ethical Conduct for Employees of the Executive Branch, 5 C.F.R. § 2635.502, and to adhere to the Ethics Pledge instituted by Executive Order 13770 issued on January 28, 2017 and entitled "Ethics Commitments by Executive Branch Appointees" (the Ethics Pledge) I am issuing the following statement.

I understand that as an appointee I must sign the Ethics Pledge and that I will be bound by the requirements and restrictions therein even if not specifically mentioned in this or any other ethics agreement.

I and my spouse have ownership interests in two privately-held multi-member Limited Liability Companies which are operating as consulting companies and from which I have derived consulting income: Social Capital Valuations LLC, and Harvest Home Institute LLC. Harvest Home Institute LLC will be inactive during my Federal service, and will have no clients and will not advertise. I will not perform any services for the business, except for complying, if necessary, with any requirements involving legal filings, taxes and fees that are necessary to maintain the company while it is in an inactive status. Social Capital Valuations LLC will continue business; however, both I and my spouse agree to transfer our ownership interests in that entity to another existing member, and I will have no position or duties with that entity during my Federal service.

Pursuant to the Ethics Pledge, I will not, for a period of two years from the date of my appointment to my Federal covered position, participate in an official capacity in any particular matter involving specific parties that is directly and substantially related to the following entities:

- 1) Social Capital Valuations LLC;
- 2) Allagash Group;
- 3) A & G Associates;
- 4) The Woodson Center (client of Social Capital Valuations);
- 5) Operation Keepsake (client of Harvest Home Institute);
- 6) Baylor University Institute for Studies of Religion (client of Harvest Home Institute);
- 7) M.J. Murdock Family Trust (client of Harvest Home Institute);



- 8) Maclellan Foundation (client of Harvest Home Institute);
- 9) Florida Health Choices Coalition (client of Social Capital Valuations);
- 10) Relationships Under Construction (client of Social Capital Valuations).

In addition, I understand that, although state and local governments are exempt from the prior-employer restrictions of the Ethics Pledge, I still have recusal obligations regarding the Indiana Department of Corrections (a former client of Social Capital Valuations). Unless I am first authorized to participate pursuant to 5 C.F.R. § 2635.502(d), I will not participate in any particular matter involving specific parties in which the Indiana Department of Corrections is a party or represents a party, for one year from the date when my services to that entity ceased. Under most circumstances, the two-year Pledge prior-employer recusal obligation will supersede the one-year prior-employer recusal obligation under 5 C.F.R. § 2635.502; however, in the limited circumstances when the Pledge recusal would not apply but the regulatory recusal would still apply, then I agree to be disqualified, for a period of one year from the date of my resignation from the respective entity or the date my services for the entity otherwise ceased, from participating in any particular matter involving specific parties in which any of the above entities is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

As required by 18 U.S.C. §208(a), I will not participate personally and substantially in any particular matter that has a direct and predictable effect on my financial interests or those of any person whose interests are imputed to me, unless I first obtain a written waiver pursuant to section 208(b)(1) or qualify for a regulatory exemption, pursuant to section 208(b)(2). I understand that the interests of the following persons are imputed to me: any spouse or minor child of mine; any general partner of a partnership in which I am a limited or general partner; any organization in which I serve as officer, director, trustee, general partner or employee; and any person or organization with which I am negotiating or have an arrangement concerning prospective employment.

In order to avoid the potential for conflicts of interest during my appointment, I agree that I (and anyone whose financial interests are imputed to me, such as a spouse or minor children) will not acquire any further financial interests in entities listed on the FDA prohibited holdings list or in entities involved, directly or through subsidiaries, in the following industries: (1) research, development, manufacture, distribution, or sale of pharmaceutical, biotechnology, or medical devices, equipment, preparations, treatments, or products; (2) veterinary products or cosmetics; (3) healthcare management or delivery; (4) health, disability, or workers compensation insurance or related services; (5) food and/or beverage production, processing or distribution; (6) communications media; (7) computer hardware, computer software, and related internet technologies; (8) wireless communications; (9) social sciences and economic research organizations; (10) energy or utilities; (11) commercial airlines, railroads, shiplines, and cargo carriers; or (12) sector mutual funds that concentrate their portfolios in any of these sectors or on one country other than the United States. If I have a managed account or otherwise use the services of an investment professional during my appointment, I will ensure that the account manager or investment professional obtains my prior approval on a case-by-case basis for the purchase of any assets other than cash, cash equivalents, investment funds that qualify for the exemption at 5 C.F.R. § 2640.201(a), or obligations of the United States.

A copy of this memorandum will be distributed to the appropriate personnel to enable them to assist in screening matters that may involve my participation and which may be implicated by the above disqualification provisions. Matters from which I am disqualified should be referred to Debbie Powell without my knowledge or involvement. In order to ensure that this ethics agreement continues to be effective, I will take the following steps in the future: (1) I will revise and update this memorandum whenever that is warranted by changes in my financial interests or other changed circumstances, and provide the OGC Ethics Division with a copy; and (2) I will advise my immediate administrative staff of any such changes.



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William Wubbenhorst

cc: Debbie Powell, FYBS/ACF  
Donnell Savage, ACF  
Stanley Olesh, OGC Ethics Division



June 22, 2017

Ms. Elizabeth Fischmann  
Associate General Counsel for Ethics  
Designated Agency Ethics Official  
U.S. Department of Health and Human Services  
Room 710-E, Hubert H. Humphrey Building  
200 Independence Avenue, SW  
Washington, DC 20201

Dear Ms. Fischmann:

The purpose of this letter is to describe the steps that I will take to avoid any actual or apparent conflict of interest in the event that I am confirmed for the position of Assistant Secretary for Aging, U.S. Department of Health and Human Services.

As required by 18 U.S.C. § 208(a), I will not participate personally and substantially in any particular matter in which I know that I have a financial interest directly and predictably affected by the matter, or in which I know that a person whose interests are imputed to me has a financial interest directly and predictably affected by the matter, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2). I understand that the interests of the following persons are imputed to me: any spouse or minor child of mine; any general partner of a partnership in which I am a limited or general partner; any organization in which I serve as officer, director, trustee, general partner or employee; and any person or organization with which I am negotiating or have an arrangement concerning prospective employment.

Upon confirmation, I will resign from my positions with the Oklahoma Department of Human Services, the Oklahoma Public Employees Association PAC, and the YMCA. For a period of one year after my resignation from each of these entities, I will not participate personally and substantially in any particular matter involving specific parties in which I know that entity is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

I resigned from my position with the National Association of States United for Aging and Disabilities in August, 2016. For a period of one year after my resignation from this entity, I will not participate personally and substantially in any particular matter involving specific parties in which I know this entity is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

My spouse is employed by the Francis Tuttle Technology Center, in a position for which she receives a fixed annual salary. For as long as my spouse continues to work for the Francis Tuttle Technology Center, I will not participate personally and substantially in any particular matter involving specific parties in which I know the Francis Tuttle Technology Center is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

Ms. Elizabeth Fischmann

Page 2

If I have a managed account or otherwise use the services of an investment professional during my appointment, I will ensure that the account manager or investment professional obtains my prior approval on a case-by-case basis for the purchase of any assets other than cash, cash equivalents, investment funds that qualify for the exemption at 5 C.F.R. § 2640.201(a), or obligations of the United States.

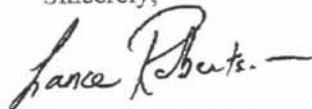
In order to avoid potential conflicts of interest during my appointment as Assistant Secretary, I, my spouse, or any minor children of mine will not acquire any direct financial interest in entities listed on the FDA prohibited holdings list or in entities involved, directly or through subsidiaries, in the following industries: (1) research, development, manufacture, distribution, or sale of pharmaceutical, biotechnology, or medical devices, equipment, preparations, treatment, or products; (2) veterinary products; (3) healthcare management or delivery; (4) health, disability, or workers compensation insurance or related services; (5) food and/or beverage production, processing or distribution; (6) communications media; (7) computer hardware, computer software, and related internet technologies; (8) wireless communications; (9) social sciences and economic research organizations; (10) energy or utilities; (11) commercial airlines, railroads, shiplines, and cargo carriers; or (12) sector mutual funds that concentrate their portfolios on one country other than the United States. In addition, we will not acquire any interests in sector mutual funds that concentrate in any of these sectors.

I understand that as an appointee I will be required to sign the Ethics Pledge (Exec. Order No. 13770) and that I will be bound by the requirements and restrictions therein in addition to the commitments I have made in this ethics agreement.

I will meet in person with you during the first week of my service in the position of Assistant Secretary in order to complete the initial ethics briefing required under 5 C.F.R. § 2638.305. Within 90 days of my confirmation, I will document my compliance with this ethics agreement by notifying you in writing when I have completed the steps described in this ethics agreement.

I have been advised that this ethics agreement will be posted publicly, consistent with 5 U.S.C. § 552, on the website of the U.S. Office of Government Ethics with ethics agreements of other Presidential nominees who file public financial disclosure reports.

Sincerely,

A handwritten signature in black ink that reads "Lance Roberts." followed by a horizontal line.

Lance A. Robertson



August 21, 2017

MEMORANDUM FOR ELIZABETH J. FISCHMANN  
Designated Agency Ethics Official

SUBJECT: Notification of Commitment to Recuse

This memorandum is to provide you with written notification of the screening arrangement I have implemented to ensure that I comply with my obligation to recuse myself from certain matters with which I have a financial interest, or a personal or business relationship. These recusal obligations are set forth in the Ethics Agreement I signed on June 22, 2017.

Unless I am authorized to participate, I am disqualified from participating in any particular matter involving specific parties in which I know the following entities are a party or represent a party:

- 1) Oklahoma Department of Human Services (Resigned August 4, 2017)
- 2) Oklahoma Public Employees Association PAC (Resigned August 3, 2017)
- 3) National Association of States United for Aging (Resigned August 2016)
- 4) YMCA (Resigned July 2017)

This recusal, under 5 C.F.R. § 2635.502, pertaining to these entities will remain for one year from the date of my resignation from my position with each entity, or from the date of my last service to the organization.

My spouse is employed by the Francis Tuttle Technology Center, in a position for which she receives a fixed annual salary. For as long as my spouse continues to work for the Francis Tuttle Technology Center, I will not participate personally and substantially in any particular matter involving specific parties in which I know the Francis Tuttle Technology Center is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

In addition to this recusal under 5 C.F.R. § 2635.502, I understand that as an appointee I am required to sign the Ethics Pledge required under the Executive Order entitled "Ethics Commitments by Executive Branch Appointees" (Executive Order 13770), dated January 28, 2017, and that I will be bound by the requirements and restrictions therein in addition to the commitments I have made in my Ethics Agreement. Pursuant to the Ethics Pledge, unless an exception to the Pledge applies or a waiver is obtained, I will not for a period of two years from the date of my appointment participate in an official capacity in any particular matter involving specific parties that is directly and substantially related to the following entities:

- 1) Oklahoma Public Employees Association PAC
- 2) National Association of States United for Aging
- 3) YMCA

This recusal will include participation in regulations and contracts. After this recusal ends, in order to avoid any appearance of a conflict of interest, I will seek guidance from the Department's ethics officials before participating in any specific party matter involving one of these entities.

In order to help ensure that I do not participate officially in these matters, I have taken or will take the following steps: (1) Matters from which I am recused will be elevated to the HHS Deputy Secretary or the HHS Chief of Staff, as appropriate, for disposition without my input or recommendation; and (2) I have advised my immediate administrative staff of this recusal and directed them to screen all matters that are processed through them to ensure that any matters that could affect any of these entities are referred to the Chief of Staff who will ensure the matter is handled in accordance with this memorandum.

In order to ensure that this commitment to recuse continues to be effective, I will take the following steps in the future: (1) I will revise and update this memorandum whenever that is warranted by changes in my financial interests or other changed circumstances, and provide you with a copy; and (2) I will advise the Chief of Staff and my immediate administrative staff of my office of any such changes.



Lance A. Robertson

cc: Chief of Staff  
Acting General Counsel



Date: 10/25/2017

MEMORANDUM FOR THE RECORD

SUBJECT: Ethics Agreement

In order to avoid any financial conflict of interest in violation of 18 U.S.C. § 208(a), or the appearance of a financial conflict of interest as defined in the Standards of Ethical Conduct for Employees of the Executive Branch, 5 C.F.R. § 2635.502, and to adhere to the Ethics Pledge instituted by Executive Order 13770 issued on January 28, 2017 and entitled "Ethics Commitments by Executive Branch Appointees" (the Ethics Pledge) I am issuing the following statement.

I understand that as an appointee I must sign the Ethics Pledge and that I will be bound by the requirements and restrictions therein even if not specifically mentioned in this or any other ethics agreement.

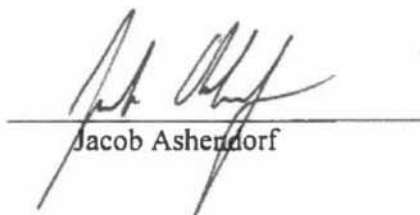
Before beginning my covered Federal position, I resigned from all non-federal positions listed on my OGE 278e (Public Financial Disclosure Report). I understand that, although state and local governments are exempt from the prior-employer restrictions of the Ethics Pledge, I still have recusal obligations regarding the California State Legislature. Unless I am first authorized to participate pursuant to 5 C.F.R. § 2635.502(d), I will not participate in any particular matter involving specific parties in which the California State Legislature is a party or represents a party, for one year from the date when my services to that entity ceased.

As required by 18 U.S.C. § 208(a), I will not participate personally and substantially in any particular matter that has a direct and predictable effect on my financial interests or those of any person whose interests are imputed to me, unless I first obtain a written waiver pursuant to section 208(b)(1) or qualify for a regulatory exemption, pursuant to section 208(b)(2). I understand that the interests of the following persons are imputed to me: any spouse or minor child of mine; any general partner of a partnership in which I am a limited or general partner; any organization in which I serve as officer, director, trustee, general partner or employee; and any person or organization with which I am negotiating or have an arrangement concerning prospective employment.

In order to avoid the potential for conflicts of interest during my appointment, I agree that I (and anyone whose financial interests are imputed to me, such as a spouse or minor children) will not acquire any further financial interests in entities listed on the FDA prohibited holdings list or in entities involved, directly or through subsidiaries, in the following industries: (1) research,

development, manufacture, distribution, or sale of pharmaceutical, biotechnology, or medical devices, equipment, preparations, treatments, or products; (2) veterinary products or cosmetics; (3) healthcare management or delivery; (4) health, disability, or workers compensation insurance or related services; (5) food and/or beverage production, processing or distribution; (6) communications media; (7) computer hardware, computer software, and related internet technologies; (8) wireless communications; (9) social sciences and economic research organizations; (10) energy or utilities; (11) commercial airlines, railroads, shiplines, and cargo carriers; or (12) sector mutual funds that concentrate their portfolios in any of these sectors or on one country other than the United States. If I have a managed account or otherwise use the services of an investment professional during my appointment, I will ensure that the account manager or investment professional obtains my prior approval on a case-by-case basis for the purchase of any assets other than cash, cash equivalents, investment funds that qualify for the exemption at 5 C.F.R. § 2640.201(a), or obligations of the United States.

A copy of this memorandum will be distributed to the appropriate personnel to enable them to assist in screening matters that may involve my participation and which may be implicated by the above disqualification provisions. Matters from which I am disqualified should be referred to David Mansdoerfer without my knowledge or involvement. In order to ensure that this ethics agreement continues to be effective, I will take the following steps in the future: (1) I will revise and update this memorandum whenever that is warranted by changes in my financial interests or other changed circumstances, and provide the OGC Ethics Division with a copy; and (2) I will advise my immediate administrative staff of any such changes.



Jacob Ashendorf

cc: Stanley Olesh, OGC Ethics Division  
David Mansdoerfer [Name of Delegate]



July 3, 2017

Ms. Elizabeth Fischmann  
Associate General Counsel for Ethics  
Designated Agency Ethics Official  
U.S. Department of Health and Human Services  
Room 710-E, Hubert H. Humphrey Building  
200 Independence Avenue, SW  
Washington, DC 20201

Dear Ms. Fischmann:

The purpose of this letter is to describe the steps that I will take to avoid any actual or apparent conflict of interest in the event that I am confirmed for the position of Surgeon General, U.S. Department of Health and Human Services.

As required by 18 U.S.C. § 208(a), I will not participate personally and substantially in any particular matter in which I know that I have a financial interest directly and predictably affected by the matter, or in which I know that a person whose interests are imputed to me has a financial interest directly and predictably affected by the matter, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2). I understand that the interests of the following persons are imputed to me: any spouse or minor child of mine; any general partner of a partnership in which I am a limited or general partner; any organization in which I serve as officer, director, trustee, general partner or employee; and any person or organization with which I am negotiating or have an arrangement concerning prospective employment.

Upon confirmation, I will resign from my positions with the State of Indiana, the Indiana University, IU Health Physicians, Eskenazi Health, the Eskenazi Pharmacy and Therapeutics Committee, and the Indiana Society of Anesthesiologists. For a period of one year after my resignation from each of these entities, I will not participate personally and substantially in any particular matter involving specific parties in which any of these entities is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

I will retain my position as a trustee of the Family Revocable Living Trust. I will not receive any fees for the services that I provide as a trustee during my appointment to the position of Surgeon General. I will not participate personally and substantially in any particular matter that to my knowledge has a direct and predictable effect on the financial interests of the Family Revocable Living Trust, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2).

I will divest my interests in the following entities within 90 days of my confirmation:

AbbVie Inc.  
Adidas AG

Ms. Elizabeth Fischmann

Page 2

Adobe Systems Inc.  
Albermarle Corp.  
Alexion Pharmaceuticals Inc.  
Alibaba Group Holdings  
Alleghany Corp.  
Allergan PLC  
Allianz SE  
Allstate Corp.  
Alphabet A (GOOGL)  
Alphabet Inc. (GOOG)  
Altria Group  
Amazon  
Amdocs Limited  
Ameren Corp  
American Electric Power Company Inc.  
Anadarko Petroleum Corp.  
Aon PLC  
Apple  
Arris International  
Arrow Electronics Inc.  
Astrazeneca PLC  
AT&T Inc  
Autodesk Inc.  
AVNET Inc.  
AXA SA  
BASF SE  
BCE Inc.  
Berry Global Group  
Biogen Inc.  
BioMarin Pharmaceutical Inc.  
Boston Properties Inc.  
Boston Scientific Corp.  
Bristol-Myers Squibb Co.  
British American Tobacco  
Broadcom Limited  
Brunswick Corp.  
Celgene Corp.  
Charter Communications Inc.  
Cisco Systems Inc.  
Citrix Systems Inc.  
Comcast Corp.  
Concho Resources Inc.  
CostCo Wholesale Corp.  
Crown Holdings Inc.  
CyrusOne Inc.



Ms. Elizabeth Fischmann

Page 3

Deutsche Telekom  
DiamondBack Energy Inc.  
Discovery Communications Inc.  
Dominion Resources Inc.  
DOW Chemical Co.  
Duke Energy Corp.  
Edison International  
Energen Corp.  
Entergy Corp.  
Enterprise Products Partners  
EOG Resources Inc.  
Exxon Mobil Corp.  
Facebook Inc.  
FleetCor Technologies Inc.  
FLEX Limited Ord  
Freeport-MoRan Inc.  
Gilead Sciences Inc.  
GlaxoSmithKline PLC  
Great Plains Energy Inc.  
Halliburton Co.  
Harris Corp.  
Illumina Inc.  
Imperial Brands  
Ionis Pharmaceuticals Inc.  
Iron Mountain Inc.  
Johnson Controls Intl  
Kimberly Clark Corp.  
L3 Technologies Inc.  
Laboratory Corp of America  
Liberty Interactive Corp.  
Liberty Media Corp.  
Loews Corp.  
Marathon Oil Corp.  
Marathon Petroleum Corp.  
McDonalds Corp.  
Medtronics  
Merck & Co.  
MFS VIT Utilities Series  
Microchip Technology Inc.  
Micron Technology Inc.  
Microsoft Corp.  
Monolithic Power Systems Inc.  
Monster Beverage Corp.  
Munich Rueckversicherungs-Gesellschaft AG  
Mylan NV

Ms. Elizabeth Fischmann

Page 4

National Grid Spon  
Nestle S A  
Newell Brands Inc.  
Nike Inc.  
Novartis AG  
Nuance Communications Inc.  
NVIDIA  
Oasis Petroleum Inc.  
Occidental Petroleum Corp  
Orkla  
Parsley Energy Inc.  
Pfizer Inc.  
PG&E Corp  
Philip Morris Intl Inc.  
PPL Corp  
Qualcomm Inc.  
Red Hat Inc.  
Regency Centers Corp.  
Reinsurance Group of America Inc.  
Reynolds American Inc.  
Roche Holding AG  
Rogers Communications Inc.  
Roper Technologies Inc.  
Royal Dutch Shell PLC  
RSP Permian Inc.  
Salesforce.com Inc.  
Sanofi  
Scor SE  
Seagate Technology  
Shire PLC  
Siemens AG  
Sky PLC Sponsored  
SL Green Realty Corp.  
Splunk Inc  
SSE PLC  
Stanley Black and Decker  
Statoil ASA  
Swisscom AG  
TE Connectivity Limited  
Telstra Corp.  
Terna Rete Elettrica Nazionale  
Tesla Inc.  
Texas Instruments Inc.  
Time Warner Inc.  
Total SA



Ms. Elizabeth Fischmann

Page 5

Twitter Inc.  
Ulta Beauty Inc.  
Unibail-Rodamco  
Unilever PLC  
UnitedHealth Group  
Unum Group  
VeriFone Systems Inc.  
Verizon Communications Inc.  
Vertex Pharmaceuticals Inc.  
Vodafone Group PLC  
Waste Management Inc.  
Weatherford International PLC  
WEC Energy Group Inc.  
Welltower Inc REIT  
Western Digital Corp.  
Workday Inc.  
WR Berkley Corp.

In addition, I have financial interests in 73 prohibited holdings in amounts that did not meet the financial disclosure reporting thresholds. Within 90 days of my confirmation, I will also divest my financial interests in each of those entities. With regard to each of these entities, I will not participate personally and substantially in any particular matter that to my knowledge has a direct and predictable effect on the financial interests of the entity until I have divested it, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2).

I understand that I may be eligible to request a Certificate of Divestiture for qualifying assets and that a Certificate of Divestiture is effective only if obtained prior to divestiture. Regardless of whether I receive a Certificate of Divestiture, I will ensure that all divestitures discussed in this agreement occur within the agreed upon timeframes and that all proceeds are invested in non-conflicting assets.

If I have a managed account or otherwise use the services of an investment professional during my appointment, I will ensure that the account manager or investment professional obtains my prior approval on a case-by-case basis for the purchase of any assets other than cash, cash equivalents, investment funds that qualify for the exemption at 5 C.F.R. § 2640.201(a), or obligations of the United States.

In order to avoid potential conflicts of interest during my appointment as Surgeon General, I, my spouse, or any minor children of mine will not acquire any direct financial interest in entities listed on the FDA prohibited holdings list or in entities involved, directly or through subsidiaries, in the following industries: (1) research, development, manufacture, distribution, or sale of pharmaceutical, biotechnology, or medical devices, equipment, preparations, treatment, or products; (2) veterinary products; (3) healthcare management or delivery; (4) health, disability, or workers compensation insurance or related services; (5) food and/or beverage production, processing or distribution; (6)

Ms. Elizabeth Fischmann  
Page 6

communications media; (7) computer hardware, computer software, and related internet technologies; (8) wireless communications; (9) social sciences and economic research organizations; (10) energy or utilities; (11) commercial airlines, railroads, shiplines, and cargo carriers; or (12) sector mutual funds that concentrate their portfolios on one country other than the United States. In addition, we will not acquire any interests in sector mutual funds that concentrate in any of these sectors.

I understand that as an appointee I will be required to sign the Ethics Pledge (Exec. Order No. 13770) and that I will be bound by the requirements and restrictions therein in addition to the commitments I have made in this ethics agreement.

I will meet in person with you during the first week of my service in the position of Surgeon General in order to complete the initial ethics briefing required under 5 C.F.R. § 2638.305. Within 90 days of my confirmation, I will document my compliance with this ethics agreement by notifying you in writing when I have completed the steps described in this ethics agreement.

I have been advised that this ethics agreement will be posted publicly, consistent with 5 U.S.C. § 552, on the website of the U.S. Office of Government Ethics with ethics agreements of other Presidential nominees who file public financial disclosure reports.

Sincerely,

A handwritten signature in black ink, appearing to read "Jerome M. Adams", with a stylized flourish at the end.

Jerome M. Adams



September 6, 2017

MEMORANDUM FOR ELIZABETH J. FISCHMANN  
Designated Agency Ethics Official

SUBJECT: Notification of Commitment to Recuse

This memorandum is to provide you with written notification of the screening arrangement I have implemented to ensure that I comply with my obligation to recuse myself from certain matters with which I have a financial interest, or a personal or business relationship. These recusal obligations are set forth in the Ethics Agreement I signed on July 3, 2017.

Pending completion of the divestiture of the financial holdings listed in my Ethics Agreement, I am also recused from personal and substantial participation in any particular matter that to my knowledge has a direct and predictable effect on the financial interests of these entities, until I have divested it, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2) such as the de minimis value threshold exemption.

Additionally, unless I am authorized to participate, I am disqualified from participating in any particular matter involving specific parties in which I know the following entities are a party or represent a party:

- 1) Eskenazi Health
- 2) Eskenazi Pharmacy and Therapeutics Committee
- 3) Indiana University
- 4) Indiana Society of Anesthesiologists
- 5) State of Indiana

In addition to this recusal under 5 C.F.R. § 2635.502, I understand that as an appointee I am required to sign the Ethics Pledge required under the Executive Order entitled "Ethics Commitments by Executive Branch Appointees" (Executive Order 13770), dated January 28, 2017, and that I will be bound by the requirements and restrictions therein in addition to the commitments I have made in my Ethics Agreement. Pursuant to the Ethics Pledge, unless an exception to the Pledge applies or a waiver is obtained, I will not for a period of two years from the date of my appointment participate in an official capacity in any particular matter involving specific parties that is directly and substantially related to the following entities:

- 1) American Society of Anesthesiologists
- 2) Eskenazi Health
- 3) Eskenazi Pharmacy and Therapeutics Committee
- 4) Indiana University
- 5) Indiana Society of Anesthesiologists

This recusal will include participation in regulations and contracts. After this recusal ends, in order to avoid any appearance of a conflict of interest, I will seek guidance from the Department's ethics officials before participating in any specific party matter involving this entity.

I will retain my position as a trustee of the Family Revocable Living Trust. I will not receive any fees for the services that I provide as a trustee during my appointment to the position of Surgeon General. I will not participate personally and substantially in any particular matter that to my knowledge has a direct and predictable effect on the financial interests of the Family Revocable Living Trust, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2).

In order to help ensure that I do not participate officially in these matters, I have taken or will take the following steps: (1) Matters from which I am recused will be elevated to the HHS Deputy Secretary or the HHS Chief of Staff, as appropriate, for disposition without my input or recommendation; and (2) I have advised my immediate administrative staff of this recusal and directed them to screen all matters that are processed through them to ensure that any matters that could affect any of these entities are referred to the Chief of Staff who will ensure the matter is handled in accordance with this memorandum.

In order to ensure that this commitment to recuse continues to be effective, I will take the following steps in the future: (1) I will revise and update this memorandum whenever that is warranted by changes in my financial interests or other changed circumstances, and provide you with a copy; and (2) I will advise the Chief of Staff and my immediate administrative staff of my office of any such changes.



Jerome M. Adams

cc: Chief of Staff  
Acting General Counsel



Date: 8 January 2018

MEMORANDUM FOR THE RECORD

SUBJECT: Ethics Agreement

In order to avoid any financial conflict of interest in violation of 18 U.S.C. § 208(a), or the appearance of a financial conflict of interest as defined in the Standards of Ethical Conduct for Employees of the Executive Branch, 5 C.F.R. § 2635.502, and to adhere to the Ethics Pledge instituted by Executive Order 13770 issued on January 28, 2017 and entitled "Ethics Commitments by Executive Branch Appointees" (the Ethics Pledge) I am issuing the following statement.

I understand that as an appointee I must sign the Ethics Pledge and that I will be bound by the requirements and restrictions therein even if not specifically mentioned in this or any other ethics agreement.

Before beginning my covered Federal position, I have resigned from my position with Breazeale, Sachse & Wilson LLP, a law firm. Pursuant to the Ethics Pledge, I will not, for a period of two years from the date of my appointment to my Federal covered position, participate in an official capacity in any particular matter involving specific parties that is directly and substantially related to that entity, or to the following clients of Breazeale, Sachse & Wilson for whom I personally did work, unless an exception applies or I am granted a waiver:

- 1) Lane Regional Medical Center
- 2) Our Lady of the Lake Regional Medical Center
- 3) St. Francis Medical Center
- 4) Crescent River Port Pilots' Association
- 5) Children's Hospital
- 6) Dr. Scott T. Odom
- 7) Ochsner Medical Center - Kenner
- 8) Sterling Pharmacy
- 9) Acadiana Management Group, LLC
- 10) Goldman Sachs & Co.
- 11) Medistar Healthcare Management Company, LLC
- 12) Duplessis Automotive Group, Inc.
- 13) IASIS Healthcare Corporation
- 14) Imperial Health, L.L.P.
- 15) Natchitoches Regional Medical Center
- 16) Eye Associates of Northeast Louisiana
- 17) West Calcasieu Cameron Hospital
- 18) Meridian Behavioral Health Systems, LLC
- 19) Cornerstone Healthcare Group
- 20) Riveridge, L.L.C.

- 21) Primary Care Providers for a Healthy Feliciana
- 22) CHRISTUS Health
- 23) Maison De'Ville Nursing Home, Inc.(Houma)
- 24) Mid State Orthopaedic & Sports Medicine Center
- 25) Nicole Arbour
- 26) Gary Mack Scott
- 27) Louisiana Healthcare Practitioners, L.L.C.
- 28) Premier Health Partners, LLC
- 29) Kelly Scrantz, M.D.
- 30) Prime Pharmacy Solutions, LLC
- 31) LabTrust, LLC
- 32) Allen Parish Hospital
- 33) St. Christopher's Imaging, L.L.C.
- 34) Mobile X-Ray of Shreveport-Bossier
- 35) CarePro Pharmacy
- 36) Seaside Health System
- 37) James Finley, D.D.S.
- 38) MedComp Sciences, LLC

Under most circumstances, the two-year Pledge prior-employer recusal obligation will supersede the one-year prior-employer recusal obligation under 5 C.F.R. § 2635.502; however, in the limited circumstances when the Pledge recusal would not apply but the regulatory recusal would still apply, then I agree to be disqualified, for a period of one year from the date my services for the respective entity otherwise ceased, from participating in any particular matter involving specific parties in which any of the above entities is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

My spouse operates her own independent-contractor nurse-anesthetist practice. Under applicable regulations at 5 C.F.R. § 2635.502, I therefore have a covered relationship with her business entity, and I will not participate in any specific party matters in which, to my knowledge, my spouse's company, or any clients of hers at that time, are a party or represents a party to the matter.

As required by 18 U.S.C. §208(a), I will not participate personally and substantially in any particular matter that has a direct and predictable effect on my financial interests or those of any person whose interests are imputed to me, unless I first obtain a written waiver pursuant to section 208(b)(1) or qualify for a regulatory exemption, pursuant to section 208(b)(2). I understand that the interests of the following persons are imputed to me: any spouse or minor child of mine; any general partner of a partnership in which I am a limited or general partner; any organization in which I serve as officer, director, trustee, general partner or employee; and any person or organization with which I am negotiating or have an arrangement concerning prospective employment.


In order to avoid the potential for conflicts of interest during my appointment, I agree that I (and anyone whose financial interests are imputed to me, such as a spouse or minor children) will not acquire any further financial interests in entities listed on the FDA prohibited holdings list or in entities involved, directly or through subsidiaries, in the following industries: (1) research, development, manufacture, distribution, or sale of pharmaceutical, biotechnology, or medical devices, equipment, preparations, treatments, or products; (2) veterinary products or cosmetics; (3) healthcare management or delivery; (4) health, disability, or workers compensation insurance or related services; (5) food



and/or beverage production, processing or distribution; (6) communications media; (7) computer hardware, computer software, and related internet technologies; (8) wireless communications; (9) social sciences and economic research organizations; (10) energy or utilities; (11) commercial airlines, railroads, shiplines, and cargo carriers; or (12) sector mutual funds that concentrate their portfolios in any of these sectors or on one country other than the United States. If I have a managed account or otherwise use the services of an investment professional during my appointment, I will ensure that the account manager or investment professional obtains my prior approval on a case-by-case basis for the purchase of any assets other than cash, cash equivalents, investment funds that qualify for the exemption at 5 C.F.R. § 2640.201(a), or obligations of the United States.

A copy of this memorandum will be distributed to the appropriate personnel to enable them to assist in screening matters that may involve my participation and which may be implicated by the above disqualification provisions. Matters from which I am disqualified should be referred to

Jonathan D. Morse without my knowledge or involvement. In order to ensure that this ethics agreement continues to be effective, I will take the following steps in the future: (1) I will revise and update this memorandum whenever that is warranted by changes in my financial interests or other changed circumstances, and provide the OGC Ethics Division with a copy; and (2) I will advise my immediate administrative staff of any such changes.

  
Albert George (Alec) Alexander

cc: Stanley Olesh, OGC Ethics Division  
Joe Dion, CMS

Jonathan D. Morse [Name of Delegate]

Date: 12-18-17

MEMORANDUM FOR THE RECORD

SUBJECT: Ethics Agreement

In order to avoid any financial conflict of interest in violation of 18 U.S.C. § 208(a), or the appearance of a financial conflict of interest as defined in the Standards of Ethical Conduct for Employees of the Executive Branch, 5 C.F.R. § 2635.502, and to adhere to the Ethics Pledge instituted by Executive Order 13770 issued on January 28, 2017 and entitled "Ethics Commitments by Executive Branch Appointees" (the Ethics Pledge) I am issuing the following statement.

I understand that as an appointee I must sign the Ethics Pledge and that I will be bound by the requirements and restrictions therein even if not specifically mentioned in this or any other ethics agreement.

Prior to or upon my Federal appointment, I commenced an unpaid leave of absence from my tenured faculty position at Oklahoma State University (OSU) listed on my OGE 278e (Public Financial Disclosure Report). Under the terms of that Leave of Absence, OSU will hold my tenured position open for no longer than 24 months; however, I am under no obligation to return to OSU. I qualify for the regulatory exemption at 5 C.F.R. § 2640.203(b) regarding leaves of absence from institutions of higher education; therefore, I will not participate personally and substantially in any particular matter that has a special and distinct effect on Oklahoma State University other than as part of a class, such as the development of a grant program of which it is known that OSU is one of only a very few entities to compete for the grant. I also will not participate personally and substantially in any particular matters involving specific parties in which OSU is a party or represents a party, such as a contract, grant, litigation, or investigation. For any matter which does not qualify for the leave-of-absence regulatory exception at 5 C.F.R. § 2640.203(b), I will not participate personally and substantially in such particular matters that to my knowledge has a direct and predictable effect on the financial interests of OSU, unless I qualify for another regulatory exemption pursuant to 18 U.S.C. § 208(b)(2). If the Leave of Absence agreement terminates while I am still in a covered Federal position, then I will have a prior-employer recusal obligation under 5 C.F.R. § 2635.502, and shall disqualify myself from participating in any particular matter involving specific parties in which OSU is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d). This § 2635.502 recusal will remain for one year from the date of the termination of the leave of absence,

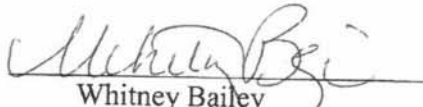
My spouse is a salaried employee of GAP, Inc., and a rideshare driver for UBER Technologies, for which he is paid as a contractor. For as long as my spouse continues to work for those entities, I will not participate personally and substantially in any particular matter involving specific parties in which I know GAP, Inc. or UBER Technologies (Rasier LLC) is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).



As required by 18 U.S.C. §208(a), I will not participate personally and substantially in any particular matter that has a direct and predictable effect on my financial interests or those of any person whose interests are imputed to me, unless I first obtain a written waiver pursuant to section 208(b)(1) or qualify for a regulatory exemption, pursuant to section 208(b)(2). I understand that the interests of the following persons are imputed to me: any spouse or minor child of mine; any general partner of a partnership in which I am a limited or general partner; any organization in which I serve as officer, director, trustee, general partner or employee; and any person or organization with which I am negotiating or have an arrangement concerning prospective employment.

In order to avoid the potential for conflicts of interest during my appointment, I agree that I (and anyone whose financial interests are imputed to me, such as a spouse or minor children) will not acquire any further financial interests in entities listed on the FDA prohibited holdings list or in entities involved, directly or through subsidiaries, in the following industries: (1) research, development, manufacture, distribution, or sale of pharmaceutical, biotechnology, or medical devices, equipment, preparations, treatments, or products; (2) veterinary products or cosmetics; (3) healthcare management or delivery; (4) health, disability, or workers compensation insurance or related services; (5) food and/or beverage production, processing or distribution; (6) communications media; (7) computer hardware, computer software, and related internet technologies; (8) wireless communications; (9) social sciences and economic research organizations; (10) energy or utilities; (11) commercial airlines, railroads, shiplines, and cargo carriers; or (12) sector mutual funds that concentrate their portfolios in any of these sectors or on one country other than the United States. If I have a managed account or otherwise use the services of an investment professional during my appointment, I will ensure that the account manager or investment professional obtains my prior approval on a case-by-case basis for the purchase of any assets other than cash, cash equivalents, investment funds that qualify for the exemption at 5 C.F.R. § 2640.201(a), or obligations of the United States.

A copy of this memorandum will be distributed to the appropriate personnel to enable them to assist in screening matters that may involve my participation and which may be implicated by the above disqualification provisions. Matters from which I am disqualified should be referred to Lance A. Robertson without my knowledge or involvement. In order to ensure that this ethics agreement continues to be effective, I will take the following steps in the future: (1) I will revise and update this memorandum whenever that is warranted by changes in my financial interests or other changed circumstances, and provide the OGC Ethics Division with a copy; and (2) I will advise my immediate administrative staff of any such changes.

  
Whitney Bailey

cc: Stanley Olesh, OGC Ethics Division  
\_\_\_\_\_ [Name of Delegate]

Date: 8/15/17

MEMORANDUM FOR THE RECORD

SUBJECT: Ethics Agreement

In order to avoid any financial conflict of interest in violation of 18 U.S.C. § 208(a), or the appearance of a financial conflict of interest as defined in the Standards of Ethical Conduct for Employees of the Executive Branch, 5 C.F.R. § 2635.502, and to adhere to the Ethics Pledge instituted by Executive Order 13770 issued on January 28, 2017 and entitled "Ethics Commitments by Executive Branch Appointees" (the Ethics Pledge) I am issuing the following statement.

I understand that as an appointee I must sign the Ethics Pledge and that I will be bound by the requirements and restrictions therein even if not specifically mentioned in this or any other ethics agreement.

On my OGE 278e form (Public Financial Disclosure Report), I have reported a non-federal position as a part-time practitioner faculty member at the Loyola Chicago School of Law. I have discontinued teaching the particular class that was ongoing, due to the restrictions in 5 C.F.R. § 2635.807 regarding accepting compensation for teaching, speaking, or writing that relates to an employee's official duties. If Loyola offers me a similar position teaching a class that is not related to my official duties, I intend to submit the required HHS Form 520 (Request for Approval of Outside Activity) for this activity. If approved, for as long as I have the outside position, I will recuse from particular matters having a direct and predictable effect upon Loyola's financial interests. If Loyola does not offer such an alternative class, or I decide not to engage in the outside activity, I will have a prior-employer recusal obligation under the Ethics Pledge, and would recuse from any particular matter involving specific parties that is directly and substantially related to Loyola University Chicago for a period of two years from the date of my appointment to my Federal covered position. Additionally, under 5 C.F.R. § 2635.502, I am disqualified from participating in any particular matter involving specific parties in which Loyola University Chicago is a party or represents a party. This § 2635.502 recusal will remain for one year from the date of my resignation from my position with Loyola, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

As required by 18 U.S.C. § 208(a), I will not participate personally and substantially in any particular matter that has a direct and predictable effect on my financial interests or those of any person whose interests are imputed to me, unless I first obtain a written waiver pursuant to section 208(b)(1) or qualify for a regulatory exemption, pursuant to section 208(b)(2). I understand that the interests of the following persons are imputed to me: any spouse or minor child of mine; any general partner of a partnership in which I am a limited or general partner; any organization in which I serve as officer, director, trustee, general partner or employee; and any person or organization with which I am negotiating or have an arrangement concerning prospective employment.



In order to avoid the potential for conflicts of interest during my appointment, I agree that I (and anyone whose financial interests are imputed to me, such as a spouse or minor children) will not acquire any further financial interests in entities listed on the FDA prohibited holdings list or in entities involved, directly or through subsidiaries, in the following industries: (1) research, development, manufacture, distribution, or sale of pharmaceutical, biotechnology, or medical devices, equipment, preparations, treatments, or products; (2) veterinary products or cosmetics; (3) healthcare management or delivery; (4) health, disability, or workers compensation insurance or related services; (5) food and/or beverage production, processing or distribution; (6) communications media; (7) computer hardware, computer software, and related internet technologies; (8) wireless communications; (9) social sciences and economic research organizations; (10) energy or utilities; (11) commercial airlines, railroads, shiplines, and cargo carriers; or (12) sector mutual funds that concentrate their portfolios in any of these sectors or on one country other than the United States. If I have a managed account or otherwise use the services of an investment professional during my appointment, I will ensure that the account manager or investment professional obtains my prior approval on a case-by-case basis for the purchase of any assets other than cash, cash equivalents, investment funds that qualify for the exemption at 5 C.F.R. § 2640.201(a), or obligations of the United States.

I own a portion of a family farm. I do not hold a position with this entity. I will continue to have a financial interest in this entity, but I will not provide services material to the production of income. Instead, I will receive only passive investment income from it. I will not participate personally and substantially in any particular matter that to my knowledge has a direct and predictable effect on the financial interests of the farm., unless I first obtain a written waiver pursuant to 18 U.S.C. § 208(b)(1).

A copy of this memorandum will be distributed to the appropriate personnel to enable them to assist in screening matters that may involve my participation and which may be implicated by the above disqualification provisions. Matters from which I am disqualified should be referred to

Demetrios KonzonKus without my knowledge or involvement. In order to ensure that this ethics agreement continues to be effective, I will take the following steps in the future: (1) I will revise and update this memorandum whenever that is warranted by changes in my financial interests or other changed circumstances, and provide the OGC Ethics Division with a copy; and (2) I will advise my immediate administrative staff of any such changes.

  
Kimberly Brandt

cc: \_\_\_\_\_ [Name of Delegate]

Joe Dion, CMS

Stanley Olesh, OGC Ethics Division

Date: 1/5/2018

MEMORANDUM FOR THE RECORD

SUBJECT: Ethics Agreement

In order to avoid any financial conflict of interest in violation of 18 U.S.C. § 208(a), or the appearance of a financial conflict of interest as defined in the Standards of Ethical Conduct for Employees of the Executive Branch, 5 C.F.R. § 2635.502, and to adhere to the Ethics Pledge instituted by Executive Order 13770 issued on January 28, 2017 and entitled "Ethics Commitments by Executive Branch Appointees" (the Ethics Pledge) I am issuing the following statement.

I understand that as an appointee I must sign the Ethics Pledge and that I will be bound by the requirements and restrictions therein even if not specifically mentioned in this or any other ethics agreement.

Before beginning my covered Federal position, I have resigned from my positions with First Liberty Institute (a law firm), and Dorkbox LLC, an IT consulting company. Pursuant to the Ethics Pledge, I will not, for a period of two years from the date of my appointment to my Federal covered position, participate in an official capacity in any particular matter involving specific parties that is directly and substantially related to either of those entities, or to the following clients of First Liberty Institute for whom I personally did work, unless an exception applies or I am granted a waiver:

- 1) Aaron and Melissa Klein
- 2) Agape Crisis Pregnancy Center
- 3) American Family Association
- 4) Assemblies of God Youth Ministries
- 5) Austin LifeCare, Inc.
- 6) Austin Pregnancy Resource Center
- 7) Bellaire Jewish Outreach Center
- 8) Beth Richardson
- 9) Boys Town [the organization, not the town]
- 10) Cambridge Christian School, Inc.
- 11) Catherine and Bryan Engelbrecht
- 12) Catholic Charities of Central Texas
- 13) Cedarville University
- 14) Chabad of Irvine
- 15) Charles and Christy Lawrence
- 16) Child Evangelism Fellowship
- 17) Christian Alliance for Orphans
- 18) Christian Fellowship Missionary Baptist Church
- 19) Colorado Uplift
- 20) Congregation Ohel Moshe, Inc.



21) Congregation Toras Chaim  
22) Cornerstone Church by the Bay  
23) Coti Matthews  
24) Covenant Church of Naples  
25) Craig James  
26) Crown College  
27) Dallas Theological Seminary  
28) Denton Bible Church  
29) Diane Josephs  
30) Doug Morgan  
31) Dr. Byron R. Johnson  
32) Dr. Eric G. Walsh  
33) Dr. Mark L. Bailey  
34) Faith Missionary Baptist Church  
35) First Baptist Church Huntsville  
36) George Alvarado  
37) Hamilton Musser  
38) Hersel Cohen  
39) Hillsdale College  
40) Hope for the Heart  
41) Insight for Living Ministries  
42) Interstate Batteries  
43) Islamic Association of Collin County  
44) Joseph A. Kennedy  
45) Judge Wayne Mack  
46) Katie Lang  
47) King Street Patriots, Inc.  
48) Laguna Madre Christian Academy  
49) Latter Day Revival Deliverance Church  
50) Mark and Judith Gothelf  
51) Marketplace Ministries  
52) Mary Anne Sause  
53) Matthew P. Bricchetto  
54) Misty Short  
55) Monifa Sterling  
56) Mt. Soledad Memorial Association  
57) Paul Blair  
58) Rachel Dean  
59) Rescue Mission of El Paso  
60) Roman Catholic Diocese of Austin  
61) Shell Point Retirement Community  
62) Sheridan K-Life  
63) Sheriff Gregory T. Coursey  
64) Shyloa Seaman  
65) Simpson University  
66) South Austin Pregnancy Resource Center  
67) Sports Challenge  
68) Sports Fan Outreach, Int'l  
69) Steven Diaz

- 70)The Alliance Community for Retirement Living, Inc.
- 71)The Alliance Home of Carlisle, Pennsylvania
- 72)The Hebrew Discovery Center
- 73)The Hope Center
- 74)The Wedding Cottage
- 75)Tim, Kate, and Mackenzie Fraiser
- 76)Tom Banks
- 77)Tonya Moffett
- 78)Town and Country Manor of the Christian and Missionary Alliance
- 79)Trinity Presbyterian Church
- 80)Vintage Church of New Orleans, Inc.
- 81)Walter Tutka
- 82)World Vision Inc.
- 83)Yeshiva Elchonon Chabad West Coast Talmudical Seminary
- 84)YWAM Tyler.

Under most circumstances, the two-year Pledge prior-employer recusal obligation will supersede the one-year prior-employer recusal obligation under 5 C.F.R. § 2635.502; however, in the limited circumstances when the Pledge recusal would not apply but the regulatory recusal would still apply, then I agree to be disqualified, for a period of one year from the date my services for the respective entity otherwise ceased, from participating in any particular matter involving specific parties in which any of the above entities is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d). In addition, the following former clients are state or local governmental entities, which are exempt from the prior-client recusal obligation of the Pledge and have only the one-year recusal obligation under 5 C.F.R. § 2635.502:

- 1) Ada, OK
- 2) Burke County Sheriff's Office
- 3) Burke County, GA
- 4) Mercer County Public Schools
- 5) Rowan County, NC
- 6) Wylie Independent School District

As required by 18 U.S.C. §208(a), I will not participate personally and substantially in any particular matter that has a direct and predictable effect on my financial interests or those of any person whose interests are imputed to me, unless I first obtain a written waiver pursuant to section 208(b)(1) or qualify for a regulatory exemption, pursuant to section 208(b)(2). I understand that the interests of the following persons are imputed to me: any spouse or minor child of mine; any general partner of a partnership in which I am a limited or general partner; any organization in which I serve as officer, director, trustee, general partner or employee; and any person or organization with which I am negotiating or have an arrangement concerning prospective employment.

In order to avoid the potential for conflicts of interest during my appointment, I agree that I (and anyone whose financial interests are imputed to me, such as a spouse or minor children) will not acquire any further financial interests in entities listed on the FDA prohibited holdings list or in entities involved, directly or through subsidiaries, in the following industries: (1) research, development, manufacture, distribution, or sale of pharmaceutical, biotechnology, or medical devices, equipment, preparations, treatments, or products; (2) veterinary products or cosmetics; (3) healthcare management or delivery; (4) health, disability, or workers compensation insurance or related services; (5) food



and/or beverage production, processing or distribution; (6) communications media; (7) computer hardware, computer software, and related internet technologies; (8) wireless communications; (9) social sciences and economic research organizations; (10) energy or utilities; (11) commercial airlines, railroads, shiplines, and cargo carriers; or (12) sector mutual funds that concentrate their portfolios in any of these sectors or on one country other than the United States. If I have a managed account or otherwise use the services of an investment professional during my appointment, I will ensure that the account manager or investment professional obtains my prior approval on a case-by-case basis for the purchase of any assets other than cash, cash equivalents, investment funds that qualify for the exemption at 5 C.F.R. § 2640.201(a), or obligations of the United States.

A copy of this memorandum will be distributed to the appropriate personnel to enable them to assist in screening matters that may involve my participation and which may be implicated by the above disqualification provisions. Matters from which I am disqualified should be referred to March Bell if they involve HIPAA or Roger Severino if they involve Conscience and Religious Freedom without my knowledge or involvement. In order to ensure that this ethics agreement continues to be effective, I will take the following steps in the future: (1) I will revise and update this memorandum whenever that is warranted by changes in my financial interests or other changed circumstances, and provide the OGC Ethics Division with a copy; and (2) I will advise my immediate administrative staff of any such changes.

  
Justin Butterfield

cc: Stanley Olesh, OGC Ethics Division  
\_\_\_\_\_ [Name of Delegate]

April 7, 2017

Ms. Elizabeth Fischmann  
Associate General Counsel for Ethics  
Designated Agency Ethics Official  
U.S. Department of Health and Human Services  
Room 710-E, Hubert H. Humphrey Building  
200 Independence Avenue, SW  
Washington, DC 20201

Dear Ms. Fischmann:

The purpose of this letter is to describe the steps that I will take to avoid any actual or apparent conflict of interest in the event that I am confirmed for the position of Deputy Secretary, U.S. Department of Health and Human Services.

As required by 18 U.S.C. § 208(a), I will not participate personally and substantially in any particular matter in which I know that I have a financial interest directly and predictably affected by the matter, or in which I know that a person whose interests are imputed to me has a financial interest directly and predictably affected by the matter, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2). I understand that the interests of the following persons are imputed to me: any spouse or minor child of mine; any general partner of a partnership in which I am a limited or general partner; any organization in which I serve as officer, director, trustee, general partner or employee; and any person or organization with which I am negotiating or have an arrangement concerning prospective employment.

Upon confirmation, I will resign from my shareholder position with the law firm of Greenberg Traurig, LLP. Pursuant to the Greenberg Traurig, LLP, shareholder agreement, the firm will repurchase my shares at cost the day that I resign. I will not receive a bonus for 2017. I participate in the Greenberg Traurig LLP, 401(k) retirement plan, and I will receive a contribution to my 401(k) based on my work performed in 2016. I will not participate personally and substantially in any particular matter that to my knowledge has a direct and predictable effect on the ability or willingness of Greenberg Traurig LLP, to make this payment to me, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1). For a period of one year after my resignation, I will not participate personally and substantially in any particular matter involving specific parties in which I know this firm is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d). In addition, I will not participate personally and substantially in any particular matter involving specific parties in which I know a former client of mine is a party or represents a party for a period of one year after I last provided service to that client, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

I previously held a position with Loyola University Law School from which I resigned in January 2017 and a position with The Center for Biologic Policy Evaluation from which I resigned in February 2017. For a period of one year after my resignation from each of these entities, I will not



Ms. Elizabeth Fischmann  
Page 2

participate personally and substantially in any particular matter involving specific parties in which I know that either Loyola University or The Center for Biologic Policy Evaluation is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

In order to avoid potential conflicts of interest during my appointment as Deputy Secretary, I, my spouse, or any minor children of mine will not acquire any direct financial interest in entities listed on the FDA prohibited holdings list or in entities involved, directly or through subsidiaries, in the following industries: (1) research, development, manufacture, distribution, or sale of pharmaceutical, biotechnology, or medical devices, equipment, preparations, treatment, or products; (2) veterinary products; (3) healthcare management or delivery; (4) health, disability, or workers compensation insurance or related services; (5) food and/or beverage production, processing or distribution; (6) communications media; (7) computer hardware, computer software, and related internet technologies; (8) wireless communications; (9) social sciences and economic research organizations; (10) energy or utilities; (11) commercial airlines, railroads, shiplines, and cargo carriers; or (12) sector mutual funds that concentrate their portfolios on one country other than the United States. In addition, we will not acquire any interests in sector mutual funds that concentrate in any of these sectors.

If I have a managed account or otherwise use the services of an investment professional during my appointment, I will ensure that the account manager or investment professional obtains my prior approval on a case-by-case basis for the purchase of any assets other than cash, cash equivalents, investment funds that qualify for the exemption at 5 C.F.R. § 2640.201(a), obligations of the United States, or municipal bonds.

I will meet in person with you during the first week of my service in the position of Deputy Secretary in order to complete the initial ethics briefing required under 5 C.F.R. § 2638.305. Within 90 days of my confirmation, I will document my compliance with this ethics agreement by notifying you in writing when I have completed the steps described in this ethics agreement.

I have been advised that this ethics agreement will be posted publicly, consistent with 5 U.S.C. § 552, on the website of the U.S. Office of Government Ethics with ethics agreements of other Presidential nominees who file public financial disclosure reports.

I understand that as an appointee I will be required to sign the Ethics Pledge (Exec. Order No. 13770) and that I will be bound by the requirements and restrictions therein in addition to the commitments I have made in this ethics agreement.

Sincerely,



Eric D. Hargan

September 12, 2017

MEMORANDUM FOR ELIZABETH J. FISCHMANN  
Designated Agency Ethics Official

SUBJECT: Notification of Commitment to Recuse

This memorandum is to provide you with written notification of the screening arrangement I have implemented to ensure that I comply with my obligation to recuse myself from certain matters with which I have a financial interest, or a personal or business relationship. These recusal obligations are set forth in the Ethics Agreement I signed on April 7, 2017.

Prior to my appointment, I resigned from my shareholder position with the law firm of Greenberg Traurig, LLP. For a period of one year after my resignation, I will not participate personally and substantially in any particular matter involving specific parties in which I know this firm is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

In addition, I will not participate personally and substantially in any particular matter involving specific parties in which I know a former client of mine is a party or represents a party for a period of one year after I last provided service to that client, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

I previously held a position with Loyola University Law School from which I resigned in January 2017 and a position with The Center for Biologic Policy Evaluation from which I resigned in February 2017. For a period of one year after my resignation from each of these entities, I will not participate personally and substantially in any particular matter involving specific parties in which I know that either Loyola University or The Center for Biologic Policy Evaluation is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

Additionally, I will not participate personally and substantially in any particular matter involving specific parties in which I know a former client of mine is a party or represents a party. Unless I am authorized to participate, I am disqualified from participating in any particular matter involving specific parties in which the following entities are a party or represent a party:



<u>Client</u>	<u>Date of Last Service</u>
4G Clinical, LLC	11/29/2016
Alvogen, Inc.	12/16/2016
American Renal Associates, Inc.	2/23/2017
Ansfield, Richard	2/24/2017
AonHewitt	1/23/2017
Athletico Physical Therapy	11/23/2016
(The) Business Roundtable	1/23/2017
Centauri Health Solutions, Inc.	12/28/2016
Centerbridge Capital Partners, LP	11/4/2016
Domb, Benjamin	11/23/2016
Goldstone, Andrew C.	10/9/2016
Guidewell Sanitas 1, LLC	9/7/2016
Hayward, Louisa	11/4/2016
Hoya Medical Singapore	1/12/2017
Hoya Vision Care	9/19/2016
Illinois State Ambulance Association	12/9/2016
Journeycare	12/5/2016
Linden LLC	10/27/2016
Medtronic, Inc.	12/29/2016
Musculoskeleta Transplant Foundation	12/15/2016
National Hemophilia Foundation	11/16/2016
National Fisheries Institute	2/9/2017
Partnership for Quality Home Healthcare	1/23/2017
PriceMDs.com	12/29/2016
Product Quest Manufacturing	12/23/2016
Quorum Health Corporation	1/23/2017
Rural Hospitals Coalition	1/23/2017

Senior Health Holdings, LLC	11/21/2016
Superior Ambulance	2/15/2017
Tempus	11/18/2016
TriHealth, Inc.	10/31/2016
United Healthcare Services	12/22/2016
Universal Health Services, Inc.	10/31/2016
Vizient, Inc.	1/25/2017
Workday.com	8/31/2016

This recusal, under 5 C.F.R. § 2635.502, pertaining to these entities will remain for one year from the date of my resignation from my position with each entity, or from the date of my last service to the organization.

In addition to this recusal under 5 C.F.R. § 2635.502, I understand that as an appointee I am required to sign the Ethics Pledge required under the Executive Order entitled "Ethics Commitments by Executive Branch Appointees" (Executive Order 13770), dated January 28, 2017, and that I will be bound by the requirements and restrictions therein in addition to the commitments I have made in my Ethics Agreement. Pursuant to the Ethics Pledge, I will not for a period of two years from the date of my appointment participate in an official capacity in any particular matter involving specific parties that is directly and substantially related to the following entities, including regulations and contracts:

4G Clinical, LLC  
Acer Capital Group, LLC  
Alamo, Juan Guillermo  
Alvogen, Inc.  
American Renal Associates, Inc.  
Ansfield, Richard  
AonHewitt  
Arlington Capital Partners  
Athletico Physical Therapy  
AXA Strategic Ventures US, LLC  
Balmoral Funds LLC



Bank of the West  
(The) Business Roundtable  
Centauri Health Solutions, Inc.  
Centerbridge Capital Partners, LP  
Centrex Revenue Solutions  
Cerebro Solutions, Inc.  
Chembio Diagnostics, Inc.  
Citron Pharma  
CRG Operating Company, Inc.  
Domb, Benjamin  
Empire City Labs  
EON Clinics  
Falconhead Capital, LLC  
Fischer, Addison  
Garibaldi, Abel  
Genetic Technologies Ltd.  
Global MedChoices, LLC  
Goldstone, Andrew C.  
Green Benefits Group  
Greenberg Traurig, LLC  
Guidewell Sanitas 1, LLC  
Hayward, Louisa  
Health Care Service Corporation  
Healthcare Billing Systems, Inc.  
HealthEngine, LLC  
Home Access Health Corporation  
Hill, Dr. Clint  
Hoya Medical Singapore  
Hoya Vision Care  
Hughes, Arthur R. (VibraLung)

Illinois State Ambulance Association  
IntegraMed  
Intrexon Corporation  
Ironshore International  
InWelligent Healthcare, Inc.  
John Hopkins HealthCare LLC  
Journeycare  
Kelso Investment Associates IX, LP  
KSF Acquisition Corporation  
Linden LLC  
Lipp, Michael  
Loyola University  
Luxury Brand Partners, LLC  
Mediscan Staffing Services  
Medtronic, Inc.  
Miami Hand Center, LLC  
Miranda Home Health, Inc.  
Montgomery Place  
Moon, Dr. Eric  
Musculoskeleta Transplant Foundation  
National Hemophilia Foundation  
National Fisheries Institute  
Nguyen, Hien  
Partnership for Quality Home Healthcare  
Partnership HealthPlan of California  
PHBH, LLC  
PriceMDs.com  
(The) Private Bank – Chicago  
Product Quest Manufacturing  
PSA Healthcare, Inc.



Quorum Health Corporation  
Roundtable Investment Partners, LLC  
Rural Hospitals Coalition  
Safeway, Inc.  
Sancillo & Company, Inc.  
Sanitas Health Care, LLC  
SCL Health System  
Senior Health Holdings, LLC  
St. Anthony's Nursing & Rehab Service  
Strategic Telecom Solutions  
SunTrust Capital Markets  
Superior Ambulance  
Suzanne Koenig  
Symbria  
Tempus  
The Center for Biologic Policy Evaluation  
TriHealth, Inc.  
TriVidia Health, Inc.  
United Healthcare Services  
Universal Health Services, Inc.  
Virtus Pharmaceuticals  
Vizient, Inc.  
Workday.com

After this recusal ends, in order to avoid any appearance of a conflict of interest, I will seek guidance from the Department's ethics officials before participating in any specific party matter involving these entities.

In order to help ensure that I do not participate officially in these matters, I have taken or will take the following steps: (1) Matters from which I am recused will be elevated to the HHS Secretary or the HHS Chief of Staff, as appropriate, for disposition without my input or recommendation; and (2) I have advised my immediate administrative staff of this recusal and directed them to screen all matters that are processed through them to ensure that any matters

that could affect any of these entities are referred to the Chief of Staff who will ensure the matter is handled in accordance with this memorandum.

In order to ensure that this commitment to recuse continues to be effective, I will take the following steps in the future: (1) I will revise and update this memorandum whenever that is warranted by changes in my financial interests or other changed circumstances, and provide you with a copy; and (2) I will advise my immediate administrative staff of any such changes.



Eric D. Hargan

cc: Chief of Staff  
Acting General Counsel

# Ronald Holden

(b)(6)

## Professional Experience

- U.S. Department of Education** (Washington, DC) – *Special Assistant to the Secretary for Advance* **January 2017 -- Present**
- Plan and execute event logistics nationwide for the Secretary; Staff the Secretary and execute advance plans.
  - Coordinate with U.S. Marshals and local law enforcement agencies to ensure synchronized and seamless movements.
  - Advise departmental staff on logistics and implement events that promote the administration's agenda.
- Presidential Inaugural Committee** (Washington, DC) – *Dep. Assoc. Director of Transportation* **December 2016 -- January 2017**
- Responsible for all transportation of the First and Second families, Cabinet, Senior Staff, and VIPs during swearing-in.
  - Coordinated with departments to ensure logistics were in sync for all movements to and from all events.
  - Directed staff, contractors, and volunteers to keep the First Family and over 2,000 friends, staff, and VIPs on schedule.
- Trump-Pence for President** (New York, NY) – *Site Advance* **October 2016 -- November 2016**
- Developed and executed advance plans for rallies and events; Ensured continuity on the run-of-show and event timing.
  - Advanced site locations, developed event builds, and managed vendors; Coordinated with the Secret Service.
- Lauren's Kids** (Aventura, FL) – *Director of Advance* **March 2016 -- October 2016**
- Planned, supported, and executed events that promoted the organization's agenda, mission, and business strategy.
  - Acted as the face of the organization to government officials, press, VIPs, and over 10,000 event participants.
  - Negotiated with vendors to conceptualize, plan, and develop logistics for events, managing a \$50,000 budget.
  - Advanced all locations and planned logistics for a month-long, 1,500-mile statewide bus tour; Briefed all staff.
  - Planned logistics and built an awareness event at Yankee Stadium for 1,000 students in the Bronx public school system.
- Christie for President** (Morristown, NJ) – *Director of Briefings; Advance Lead* **June 2015 -- February 2016**
- Reconciled logistics for all meetings and events; Researched and organized all briefing materials; Briefed the Governor.
  - Developed, supported, and executed advance plans and event builds for all scheduled private and public events.
  - Staffed the Governor at public and private events; Executed movements and ensured event logistics were accurate.
  - Coordinated with media outlets for press interviews; Advanced locations then conceptualized and built junket visuals.
- Office of The Governor** (Trenton, NJ) – *Director of Briefings* **January 2014 -- June 2015**
- Responsible for the daily briefings of the Governor and Lt. Governor; Planned, developed, and organized all materials.
  - Researched and organized all briefing materials for 3 official international trips; Briefed the Governor and delegation.
  - Planned, supported, and executed logistics for the Governor, Lt. Governor, and First Lady at scheduled events.
- Susana Martinez Inaugural Committee** (Santa Fe, NM) – *Director of Advance* **December 2014 -- January 2015**
- Briefed the Governor and staffed her at all events; Executed movements and ensured the event logistics were accurate.
  - Ran stage operations for all events; Directed principals and surrogates to keep continuity on the run-of-show.
  - Planned and built all aspects of the public swearing-in; Planned press visuals; Supervised vendors.
- Susana Martinez for Governor** (Albuquerque, NM) – *Director of Advance* **October 2014 -- November 2014**
- Advanced all events; Worked with event hosts to conceptualize all builds, press visuals, logistics, and movements.
  - Developed all aspects of the election night main hall; Supervised vendors, directed staff, and ran stage operations.
  - Designed and set-up a customized and transportable A/V build that was tailored to each bus tour event.
- Christie for Governor** (Bridgewater, NJ) – *Deputy Director of Operations* **August 2013 -- November 2013**
- Responsible for the daily schedule and briefing of the Governor, Lt. Governor, First Lady, and surrogates.
  - Worked with the Advance Director to plan logistics, execute events, and ensure the event logistics were accurate.
  - Advanced events, setup A/V equipment, and built event logistics on the ground based on the needs of each event.
- Office of The Governor** (Trenton, NJ) – *Regional Director* **January 2013 -- August 2013**
- Represented the Governor's Office to various organizations and constituencies throughout the state.
  - Advanced the Governor's mission and agenda at town hall meetings and at various public events.
  - Worked with the regional team to maintain relationships and act as a liaison with local elected officials.
- Romney-Ryan for President** (Denver, CO) – *Field Director* **May 2012 -- November 2012**
- Planned and executed event logistics and ETO for bus tours, surrogate events, and up to 10,000+ person rallies.
  - Managed a regional headquarters, directed staff and volunteers, and organized targeted precincts for fieldwork.
  - Exceeded door and phone goals by 120% and turned out more voters in my counties than in any prior election.

## Education

**Bachelor of Arts, Criminal Justice: Minor in Political Science**; Rutgers University, New Brunswick, NJ 2010



**NOTIFICATION OF PERSONNEL ACTION**

1. Name (Last, First, Middle) <b>ROBERTSON, LANCE ALLEN</b>				2. Social Security Number (b)(6)		3. Date of Birth (b)(6)		4. Effective Date <b>08-11-2017</b>			
<b>FIRST ACTION</b>					<b>SECOND ACTION</b>						
5-A. Code <b>170</b>		5-B. Nature of Action <b>Exc Appt</b>			6-A. Code		6-B. Nature of Action				
5-C. Code <b>ZNM</b>		5-D. Legal Authority <b>Approved by the President w/Senate Confir 08/03/17</b>			6-C. Code		6-D. Legal Authority				
5-E. Code <b>ZLM</b>		5-F. Legal Authority <b>5 U.S.C 5312</b>			6-E. Code		6-F. Legal Authority				
7. FROM: Position Title and Number					15. TO: Position Title and Number <b>Administrator PD: EX0001</b>  Position: <b>00385290</b>						
8. Pay Plan <b>EX</b>	9. Occ. CD <b>0301</b>	10. Grd/Lvl <b>02</b>	11. Step/Rate <b>0</b>	12. Tot. Salary <b>\$179,700.00</b>	13. Pay Basis <b>PA</b>	16. Pay Plan <b>EX</b>	17. Occ. CD <b>0301</b>	18. Grd/Lvl <b>02</b>	19. Step/Rate <b>0</b>	20. Tot. Salary/Award <b>\$179,700.00</b>	21. Pay Basis <b>PA</b>
12A. Basic Pay		12B. Locality Adj.	12C. Adj. Basic Pay	12D. Other Pay	20A. Basic Pay <b>\$179,700.00</b>		20B. Locality Adj. <b>\$0</b>	20C. Adj. Basic Pay <b>\$179,700.00</b>	20D. Other Pay <b>\$0</b>		
14. Name and Location of Position's Organization					22. Name and Location of Position's Organization <b>Administration For Community Living</b>  <b>WASHINGTON DC USA</b>						
<b>EMPLOYEE DATA</b>											
23. Veterans Preference (b)(6) 1-None 3-10 Point/Disability 5-10 Point/Other (6) 2-5 Point 4-10 Point/Compensable 6-10 Point/Compensable/30%					24. Tenure (b)(6) 0-None 2-Conditional (6) 1-Permanent 3-Indefinite		25. Agency Use		26. Veterans Preference for RIF (b)(6) YES (b)(6) NO		
27. FEGLI (b)(6)					28. Annuitant Indicator (b)(6)		29. Pay Rate Determinant (b)(6)				
30. Retirement Plan (b)(6)		31. Service Comp. Date (Leave) <b>08-11-2017</b>			32. Work Schedule (b)(6)		33. Part-Time Hours Per Biweekly Pay Period				
<b>POSITION DATA</b>											
34. Position Occupied <b>2</b> 1-Competitive Service 3-SES General 2-Excepted Service 4-SES Career Reserved			35. FLSA Category <b>E</b> E-Exempt N-Nonexempt		36. Appropriation Code <b>72995210</b>			37. Bargaining Unit Status <b>8888</b>			
38. Duty Station Code <b>110010001</b>		39. Duty Station (City-County-State or Overseas Location) <b>WASHINGTON Dist Columbia DC USA</b>									
40. Agency Data		41.	42.	43.	44. PAR Number:						
45. Remarks (b)(6)											
46. Employing Department or Agency <b>Department of HHS Administration For Community Living</b>					50. Signature/Authentication and Title of Approving Official <b>TONYA M JOHNSON Director, National Capital Region HR Center</b>						
47. Agency Code <b>HE12</b>	48. Personnel Office ID <b>1704</b>	49. Approval Date <b>08-16-2017</b>									

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**NOTIFICATION OF PERSONNEL ACTION**

1. Name (Last, First, Middle) <b>HOLDEN II, RONALD H</b>				2. Social Security Number (b)(6)		3. Date of Birth (b)(6)		4. Effective Date <b>12-18-2017</b>			
<b>FIRST ACTION</b>					<b>SECOND ACTION</b>						
5-A. Code <b>170</b>		5-B. Nature of Action <b>Exc Appt</b>			6-A. Code		6-B. Nature of Action				
5-C. Code <b>Y7M</b>		5-D. Legal Authority <b>SCH C, 213.3301a Agency-unique Schedule C auth.</b>			6-C. Code		6-D. Legal Authority				
5-E. Code <b>ZLM</b>		5-F. Legal Authority <b>OPM Form 1019 Dated December 18, 2017</b>			6-E. Code		6-F. Legal Authority				
7. FROM: Position Title and Number					15. TO: Position Title and Number <b>Special Assistant to the Secre</b> <b>PD: GS4750</b> <b>Position: 00390030</b>						
8. Pay Plan	9. Occ. CD	10. Grd/Lvl	11. Step/Rate	12. Tot. Salary	13. Pay Basis	16. Pay Plan <b>GS</b>	17. Occ. CD <b>0301</b>	18. Grd/Lvl <b>14</b>	19. Step/Rate <b>1</b>	20. Tot. Salary/Award <b>\$112,021.00</b>	21. Pay Basis <b>PA</b>
12A. Basic Pay		12B. Locality Adj.	12C. Adj. Basic Pay	12D. Other Pay		20A. Basic Pay <b>\$88,136.00</b>		20B. Locality Adj. <b>\$23,885.00</b>	20C. Adj. Basic Pay <b>\$112,021.00</b>	20D. Other Pay <b>\$0</b>	
14. Name and Location of Position's Organization					22. Name and Location of Position's Organization <b>Office of the Secretary of Health and Human Services</b> <b>Immediate Office Of The Secretary</b>  <b>WASHINGTON DC USA</b>						
<b>EMPLOYEE DATA</b>											
23. Veterans Preference (b)(6) 1-None 3-10 Point/Disability 5-10 Point/Other (6) 2-5 Point 4-10 Point/Compensable 6-10 Point/Compensable/30%						24. Tenure (b)(6) 0-None 2-Conditional (6) 1-Permanent 3-Indefinite		25. Agency Use		26. Veterans Preference for RIF (b)(6) YES (b)(6) NO	
27. FEGLI (b)(6)						28. Annuitant Indicator (b)(6)		29. Pay Rate Determinant (b)(6)			
30. Retirement Plan (b)(6)			31. Service Comp. Date (Leave) <b>01-30-2017</b>			32. Work Schedule (b)(6)			33. Part-Time Hours Per Biweekly Pay Period		
<b>POSITION DATA</b>											
34. Position Occupied <b>2</b> 1-Competitive Service 3-SES General 2-Excepted Service 4-SES Career Reserved				35. FLSA Category <b>E</b> E-Exempt N-Nonexempt		36. Appropriation Code <b>81990362</b>			37. Bargaining Unit Status <b>8888</b>		
38. Duty Station Code <b>110010001</b>			39. Duty Station (City-County-State or Overseas Location) <b>WASHINGTON Dist Columbia DC USA</b>								
40. Agency Data		41.	42.	43.	44.	PAR Number:					
45. Remarks (b)(6)											
46. Employing Department or Agency <b>Department of HHS</b> <b>Office of the Secretary of Health and Human Services</b>						50. Signature/Authentication and Title of Approving Official <b>TONYA M JOHNSON</b> <b>Director, National Capital Region HR Center</b>					
47. Agency Code <b>HE10</b>		48. Personnel Office ID <b>1704</b>		49. Approval Date <b>12-21-2017</b>							

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**NOTIFICATION OF PERSONNEL ACTION**

1. Name (Last, First, Middle) <b>HOWARD, PAUL ISAAC</b>				2. Social Security Number (b)(6)		3. Date of Birth (b)(6)		4. Effective Date 12-10-2017				
<b>FIRST ACTION</b>					<b>SECOND ACTION</b>							
5-A. Code 170		5-B. Nature of Action Exc Appt			6-A. Code		6-B. Nature of Action					
5-C. Code Y7M		5-D. Legal Authority SCH C, 213.3301a Agency-unique Schedule C auth.			6-C. Code		6-D. Legal Authority					
5-E. Code ZLM		5-F. Legal Authority OPM Form 1019 dated 11-7-17			6-E. Code		6-F. Legal Authority					
7. FROM: Position Title and Number					15. TO: Position Title and Number Sr Adv to the Commissioner PD: HHS373 Position: 00389931							
8. Pay Plan	9. Occ. CD	10. Grd/Lvl	11. Step/Rate	12. Tot. Salary	13. Pay Basis	16. Pay Plan GS	17. Occ. CD 0301	18. Grd/Lvl 15	19. Step/Rate 10	20. Tot. Salary/Award \$161,900.00	21. Pay Basis PA	
12A. Basic Pay		12B. Locality Adj.	12C. Adj. Basic Pay	12D. Other Pay		20A. Basic Pay \$134,776.00		20B. Locality Adj. \$27,124.00	20C. Adj. Basic Pay \$161,900.00	20D. Other Pay \$0		
14. Name and Location of Position's Organization					22. Name and Location of Position's Organization Food and Drug Administration  OFC OF POLICY PLANNING LEGISLATION & ANA  SILVER SPRING MD USA							
<b>EMPLOYEE DATA</b>												
23. Veterans Preference					24. Tenure			25. Agency Use		26. Veterans Preference for RIF		
(b)(6) 1-None 3-10 Point/Disability 5-10 Point/Other					(b)(6) 0-None 2-Conditional					(b)(6) YES (b)(6) NO		
(b)(6) 2-5 Point 4-10 Point/Compensable 6-10 Point/Compensable/30%					(b)(6) 1-Permanent 3-Indefinite							
27. FEGLI					28. Annuitant Indicator			29. Pay Rate Determinant				
(b)(6)					(b)(6)			(b)(6)				
30. Retirement Plan					31. Service Comp. Date (Leave)			32. Work Schedule			33. Part-Time Hours Per Biweekly Pay Period	
(b)(6)					12-10-2017			(b)(6)				
<b>POSITION DATA</b>												
34. Position Occupied				35. FLSA Category		36. Appropriation Code			37. Bargaining Unit Status			
2 1-Competitive Service 3-SES General 2-Excepted Service 4-SES Career Reserved				E E-Exempt N-Nonexempt		869999GZ			8888			
38. Duty Station Code				39. Duty Station (City-County-State or Overseas Location)								
241450031				SILVER SPRING Montgomery MD USA								
40. Agency Data		41.		42.		43.		44. PAR Number:				
45. Remarks												
(b)(6)												
46. Employing Department or Agency Department of HHS Food and Drug Administration						50. Signature/Authentication and Title of Approving Official TANIA L TSE Director, Human Resources Center						
47. Agency Code		48. Personnel Office ID		49. Approval Date								
HE36		1189		12-19-2017								

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# LANCE ALLEN ROBERTSON

(b)(6)

## Professional Experience

**Director, Oklahoma Department of Human Services (OKDHS), Aging Services.** Oklahoma City, OK  
**July 2007 to Present** (9.3 years)

Snapshot: Serve as the chief advocate for seniors and adults with physical disabilities for the State of Oklahoma. Direct Aging Services (AS), designated by both the Governor and federal government, in programmatic offerings and service delivery to ensure the needs of constituents are met. Responsible for approximately \$325,000,000 program and administrative dollars (State/Medicaid) and employs a team of 250. The mission of AS is to provide leadership on issues of concern to older Oklahomans and adults with physical disabilities, helping develop community based systems that support independence and protect the quality of life, promoting citizen involvement in planning and delivering those services. AS offers 15 major programs, which includes (select): Adult Day Health, Respite, Transportation, Legal Services, Ombudsman, Senior Employment, and the *ADvantage* Medicaid waiver. Additionally, AS is the federally designated oversight agency for the Older Americans Act, which provides funding for a variety of localized services, notably senior meals. The division touches nearly 400,000 Oklahomans annually.

Abbreviated accountabilities include:

- Assure program accountability, policy implementation and maintenance of standards.
- Engage strong and visible advocacy on behalf of service recipients, build supportive and participatory relationships with applicable organizations, and represent the agency in regional and national conversations.
- Develop and oversee the division's budget, supervising many units in coordinating different services and activities.
- Continue to develop services, engage partners, cultivate staff and support contractors.
- Elevate the operational capacity, efficiency and success of the division.
- Engage and interpret proposed state and federal legislation and speak before the legislature.
- Oversee strategic planning and visioning efforts.

Select Accomplishments:

- Successfully broadened network and developed a robust array of partners, including multiple state agencies, internal (OKDHS) partners, tribes, higher education, corporations, faith-based organizations and many others.
- Strengthened the division's relationship and communication with the 11 Area Agencies on Aging, the Oklahoma Association of Regional Councils, and the 5 Centers for Independent Living.
- Strategically built relationships with advocacy groups.
- Led division thru many years of budget reduction cycles (2009, 2010, 2014, 2015, 2016, 2017).
- Gained approval by the U.S. Administration on Aging of the 2011-2014 as well as the 2015-2018 Oklahoma State Aging plans.
- Transitioned the *ADvantage* waiver operations from the Long Term Care Authority of Tulsa to a highly successful and efficient in-house arrangement.
- Successfully transitioned the Senior Community Service Employment Program to the division from the Oklahoma Securities Exchange Commission.
- Built a fully functional grants unit that is capturing a growing number of opportunities and bringing in roughly \$3,200,000 annually.
- Elevated Oklahoma's national status in terms of programming and models of excellence.
- Greatly strengthened relationships with federal/national partners, chiefly the U.S. Administration for Community Living and the National Association of States United for Aging and Disability.
- Provided accurate and thorough contract management and oversight to 800+ partners.
- Successfully launched key initiatives like the Aging & Disability Resource Consortium, ELDERS program, the No Wrong Door initiative, and National Core Indicators – Aging & Disability.



**President, Robertson Enterprises.** Edmond, OK

**September 2005 to Present** (limited obligations outside of work with State of Oklahoma) (12.3 years)

Snapshot: Self-started company created for consulting and other contracting opportunities such as organizational management, event preparation/planning, speaking engagements, co-authorship royalties on books, etc. Abbreviated accountabilities include:

- Adjust Faculty in Gerontology, Oklahoma State University, College of Human Sciences, 2015.
- New Faculty Mentor, California State University Northridge, Junior Faculty Program, 2014.

Select Accomplishments:

- Created an innovative 501-c-3 foundation intended to provide vouchers to individuals and older adults dealing with family caregiving challenges (National Omega Care Foundation).
- Co-authored two books ("*Overtime: The Bonus Years*" and "*Godly Grandparenting*") with Dr. Ben Dickerson.
- Numerous speaking engagements and a variety of other service contract agreements.
- Chapter Co-Author, Textbook on Caregiving, Springer Publications, 2016.

**Assistant Director, Oklahoma State University Gerontology Institute (academic unit).** Stillwater, OK  
**July 2004 to September 2005** (1.2 years; 11.6 years at OSU)

Snapshot: Housed in the College of Human Environmental Sciences (CHES), the Institute ran the multi-disciplinary gerontology program for the University. In this position, was responsible for all non-credit programming, conference management, contracts, grants, special projects, distance education and training offerings for business and industry contacts.

**Director, Oklahoma State University CHES University Extension (administrative unit).** Stillwater, OK  
**February 1994 to July 2004** (10.5 years; 11.6 years at OSU)

Snapshot: Provided leadership for this College of Human Environmental Sciences (CHES) division (18 FTE, annual budget of \$3,400,000), managing 325 annual non-credit programs, credit courses, special events, marketing campaigns, distance education and service learning contracts. Served on college and university executive committees and strategic planning groups. Provided overall leadership in international, distance education and extramural funding efforts. Managed contractual responsibilities, including the nationally recognized Replenishing the Caregiver program and the administrative management of PartnerShips for Aging. Provided concurrent leadership for the Gerontology Institute.

**Executive Director, PartnerShips for Aging, Oklahoma State University.** Stillwater, OK  
**November 1996 to September 2005** (contract appointment = percentage time buyout) (9.8 years; 11.6 years at OSU)

Snapshot: Served as the chief administrative officer for the then largest regional gerontology association in the U.S. Oversight for all organizational activities, to include a large annual conference, multiple statewide forums throughout the region, membership drives, webpage development, the production of two peer-reviewed journals annually and much more. Ensured the organization had a strong presence and met membership needs in the 18 state region. Managed budget, fundraising, recruiting and supervising 50 volunteers annually, interacting daily with board members, providing long range planning, negotiating contracts, utilizing available technology, etc. Provided oversight for the successful merger of the Southwest Society on Aging and the Mid-America Congress on Aging.

**Staff Sergeant (E6), U.S. Army and U.S. Army Reserves,** Stillwater, OK  
**January 1989 to December 1997** (9.9 years)

Snapshot: Extensive and successful career. Throughout eight years of service, held a variety of positions and received specialized training in the following areas: Adjutant General Corps, Infantry and Security. Numerous awards and honors. Honorably discharged.

## **Education**

**Master of Science Degree in Public Administration,** University of Central Oklahoma, College of Liberal Arts, Edmond, OK. 2014 to 2015. Graduated with honors.



**Bachelor of Science Degree in Business Administration**, Oklahoma State University, College of Business Administration, Stillwater, OK. Double majored in General Business and Management, with a minor in Marketing. 1989 to 1993.

Additional education/training (select) include:

- Graduate, **The Governor's Executive Development Program for State Officials**, State of Oklahoma, Office of Personnel Management, Stillwater, OK, 2010.
- Graduate, **Oklahoma Aging Advocacy Leadership Academy**, Oklahoma Department of Human Services, Aging Services, Oklahoma City, OK, 1998.
- Graduate, **University of Oklahoma & Oklahoma State University Management Development Program**, Norman, OK, 1997.
- Graduate, **Leadership Development Program**, Oklahoma State University, Stillwater, OK, 1996.

**Memberships & Committees (select)**

- Past President, **National Association of States United for Aging & Disabilities (NASUAD)**, Washington, DC, 2007 to present. NASUAD is the nation's most influential aging professional organization. Various roles and responsibilities include (select):
  - Former President, Vice President, Treasurer, and Region VI Representative.
  - Past Chair of Finance Committee.
  - Work with U.S. Health & Human Services (HHS) Secretary and senior leadership team.
  - Meet quarterly with Centers for Medicare and Medicaid (CMS) leadership, particularly the Medicaid Disabled and Elderly Group.
  - Regular meetings with the U.S. Assistant Secretary on Aging (AoA) and the Administrator of the Administration of Community Living (ACL) on Older Americans Act issues.
  - Principle advisor on initiatives like the National Core Indicators – Aging & Disability, Project 2020, Elder Justice Act, and the Aging & Disability Resource Consortium.
  - Honorary co-chair of the 2013 and 2014 Home & Community Based Services (HCBS) national conferences.
- Member, Oklahoma Public Employees Association (OPEA) **Political Action Committee (PAC) Board of Directors**, Oklahoma City, OK, 2015 to present.
- Co-Leader, **Alzheimer's State Plan Task Force**, Oklahoma City, OK, 2015 to present.
- Mentor, **Oklahoma State University College of Business**, Stillwater, OK, 2015 to present.
- Senior Advisory Board Member, **Oklahoma Healthy Aging Initiative**, OU Health Sciences Center, Oklahoma City, OK, 2009 to present.
- Appointee, **Catastrophic Health Emergency Task Force**, Oklahoma State Department of Health, Oklahoma City, OK, 2008 to present.
- Appointee, **Senior Advisory Committee on Statewide Emergency Response**, Oklahoma State Department of Health, Oklahoma City, OK, 2008 to present.
- Member, **Oklahoma State University Gerontology Institute Advisory Committee**, Stillwater, OK, 2007 to present.
- Chair, Edmond **YMCA** (former Vice Chairman and now Board Member again), Edmond, OK, 2004 to present.
- Delegate, Centers for Medicare & Medicare Services (**CMS**) **Agency Advisory Body**, representing the National Association of States United for Aging & Disabilities, Washington, DC, 2011 to 2013.
- Appointee, **National Project Advisory Committee**, National Volunteer Resource Center, National Association of Area Agencies on Aging, Washington, DC, 2011.
- Delegate, **National Thought Leaders Symposium on Volunteerism**, AARP, Washington, DC, 2011.
- Member, **The Oklahoman Vintage Visions Editorial Executive Writers Group**, Oklahoma City, OK, 2003 to 2009.
- Appointee, **Oklahoma Attorney General's Task Force to Improve End-of-Life Care**, Oklahoma City, OK, 2004 to 2005.



## Honors (select)

- Speaker, **AARP and NASUAD MLTSS and Caregiving Roundtable**, “*State MLTSS Programs*”, Little Rock, AR. 2016.
- Speaker, **Osher Lifelong Learning Institute**, Oklahoma State University, “*Aging in Oklahoma*”, Oklahoma City, OK. 2016
- State Executive Panelist, **Oklahoma Public Health Association**, “*Budget Crisis: Long Term Impacts to Health Equity*”, Tulsa, OK, 2016.
- Speaker, **Oklahoma Public Health Association**, “*Oklahoma’s Aging Network Budget, Activities, and Programmatic Forecast*”, Tulsa, OK, 2016.
- Keynote Speaker, **Montana 48<sup>th</sup> Annual Governor’s Conference on Aging and HCBS**, Billings, MT, 2016.
- Speaker, 2016 **National Home & Community Based Services Conference**, “*Engaging and Caring for Caregivers*” (sponsored by SeniorLink), Washington, DC, 2016.
- Panelist, **OHAI’s Summer Geriatric Institute**, “*Healthy Aging in Oklahoma: Living Longer Better*”, Oklahoma City, OK, 2016.
- Track Chair, **Oklahoma Governor’s Healthy Aging Initiative and Summit**, Senior Nutrition, Oklahoma City, OK, 2016.
- Featured Speaker, **The Sandwich Generation Caregiver Conference**, Edmond, OK, 2016.
- Featured Speaker, Oklahoma Chapter, **American Society of Public Administrators Annual Conference**, Edmond, OK, 2016.
- Delegate, U.S. Department of Health & Human Services (HHS), in partnership with the Association of State & Territorial Health Officials (ASTHO) and the National Association of States United for Aging & Disability (NASUAD) **Healthy Aging Summit**, Washington, DC, 2015.
- Recipient, 2015 National Association of States United for Aging & Disability (NASUAD) **President’s Award**.
- Delegate, AARP Western U.S. **Long-Term Care Rebalancing Leadership Symposium**, Portland, OR, 2015.
- Speaker, **Native American National Conference**, U.S. Administration for Community Living, Washington, DC, 2014.
- 2013 **Honorary Alumni Award Recipient**, Oklahoma State University, College of Human Sciences.
- Delegate, **United Nations World Elder Abuse Awareness Summit**, New York City, NY, 2013.
- Inaugural speaker, Oklahoma State University College of Human Sciences, Human Development and Family Science, **Bryan Close Distinguished Speaker in Adulthood and Aging**, Stillwater, OK, 2013.
- Speaker, **Human Services Policy & Practice Lecture**, Governor’s Blue Room, State of Oklahoma, Oklahoma City, OK, 2012.
- Delegate, **White House Seniors’ Health Town Hall**, Washington, DC, 2012.
- Recipient, Oklahoma Department of Human Services, Vertically Integrated Services “**Best of the Best**” Award, 2011.
- Recipient, **Edmond YMCA Council Chairman Award**, 2010.
- Recipient, **Edmond YMCA Strong Kids Campaign Co-Chairman recognition**, 2009.
- Recipient, Oklahoma Department of Human Services **Director’s Award**, 2008.
- Keynote Speaker, Oklahoma Centennial Commission, **Oklahoma Centenarian Celebration**, Oklahoma City, OK, 2007.
- Featured Professional, **featured in college textbook “Gerontology: Careers, Choices and Challenges**”, Northridge, CA, 2007.
- National Award Winner, **Salute to Leaders in Aging**, Washington, DC, 2004.
- Recipient, **Oklahoma Aging Professional of the Year Award**, State of Oklahoma, Department of Human Services, Aging Services, Edmond, OK, 2004.
- Contributing writer, **Today’s Caregiver Magazine**, 2003.
- Recipient, **National CareHeroes Professional Award**, *Today’s Caregiver Magazine*, Orlando, FL, 2003.
- Recipient, **PartnerShips for Aging Lifetime Membership recognition**, 2002.
- Recipient, **Oklahoma State University Outstanding Staff Award**, 1997.

- Recipient, U.S. Army Reserves (75<sup>th</sup> Infantry) **Soldier of the Year**, Stillwater, OK, 1993.
- Top Graduate, U.S. Army Adjutant General Corps training - **Top 5% graduate**, Fort Benjamin Harrison, IN, 1992.
- Distinguished **U.S. Army veteran** with ten (10) commendations/ribbons.

## Personal Information

- Lifelong Republican
- Community/Humanitarian Service (select):
  - Volunteer, Trump Campaign
  - Edmond YMCA (former Chair, Vice Chair and current Board Member; Annual Campaign Leadership), 2004 to present.
  - *LifeChurch.TV* church member (campus volunteers, LifeGroup leaders, “A Parent’s Life” co-organizers, etc.), 2005 to present.

## References

**Mrs. Martha Roherty**, Executive Director, National Association of State United for Aging & Disabilities, Washington, DC (b)(6)

**Dr. Whitney Bailey**, Professor of Gerontology and Chair of the Oklahoma Citizen’s Advisory Panel on Aging Issues, Oklahoma State University, Stillwater, OK (b)(6)

**Mrs. Trish Emig**, aging network advocate and former Chair of the Oklahoma State Council on Aging, Stillwater, OK (b)(6)

**Ms. Esther Houser**, aging network advocate and former Oklahoma State Long-Term Care Ombudsman, Guthrie, OK (b)(6)

**Mr. Mark Jones**, Director, Community Living and Support Services, Oklahoma Department of Human Services, Oklahoma City, OK (b)(6)

**Mr. Howard Hendrick**, former Director, Oklahoma Department of Human Services, Oklahoma City, OK (b)(6)

**Dr. George Young**, Oklahoma State Representative and former Commissioner for the Oklahoma Department of Human Services, Oklahoma City, OK (b)(6)

**Mrs. Mary Brinkley**, Director, Leading Age Oklahoma, El Reno, OK {405-640-8040, (b)(6)}

**Dr. Chuck Clark**, aging network advocate and former Chair of the Oklahoma State Council on Aging, Ponca City, OK (b)(6)

**Dr. Ben Dickerson**, retired Professor (Indianapolis University, Baylor University), Denton, TX (b)(6)

**Mr. Gary Brown**, former owner, Christian Companion Senior Care, and community initiative partner, Edmond, OK (b)(6)

Numerous additional references would be happily provided upon request.

{Updated: December 2016}



**Jerome M. Adams, M.D., M.P.H.**  
**Associate Professor of Clinical Anesthesia**  
**Indiana State Health Commissioner**  
American Board of Anesthesia Diplomate, May 2007

**EDUCATION**

Post Graduate: Indiana University Department of Anesthesia, Indianapolis, IN  
Anesthesiology Residency, Completed June, 2006

St. Vincent's Hospital, Indianapolis, IN  
Medicine Internship, Completed May 2003

Graduate: Indiana University School of Medicine  
Medical Doctorate, May 2002

University of California, Berkeley  
Masters of Public Health, Focus on Chronic Disease Prevention, May 2000

Undergraduate: University of Maryland Baltimore County  
B.S. in Biochemistry and B.A. in Psychology, May 1997

**HONORS**

Indiana Sagamore of the Wabash Award for Outstanding Service to the State  
Richard M. Fairbanks School of Public Health National Honor Society in Public Health  
IU School of Public Health-Bloomington Founding Dean's Medallion  
Center for Leadership Development Minority Award for Achievement in Professions  
Indianapolis Recorder Golden Laurel Award as a Top Area Physician  
Indiana Rural Health Association 2016 Health Policy Advocate Award  
IU School of Medicine 2016 Trustee Teaching Award  
IU School of Medicine Young Alumni Achievement Award  
Eli Lilly/Indiana University Medical School Scholarship  
University of California at Berkeley School of Public Health Scholarship  
Howard Hughes Research Scholar  
Howard Hughes Academic Exchange Fellowship  
Fogarty International Research Training Program Fellowship

**PROFESSIONAL  
ORGANIZATIONS**

National Academy for State Health Policy Indiana State Medical Association  
(Health Care Access and Finance Steering Committee), Indiana Society of



Anesthesiologists (Board of Directors) American Medical Association, American Society of Anesthesiologists (Diversity Committee Chair), National Medical Association, Association of State and Territorial Health Officials, Association of State and Territorial Health Officials (ASTHO- Prevention Policy Committee member)

## **PROFESSIONAL ACTIVITIES**

Indiana Health Care Facilities Task Force— Chair – July 2017 to present

Adjunct Faculty Member in Department of Health Policy and Management at the IU Richard M. Fairbanks School of Public Health. February 2016 to present

Indiana Commission to Combat Drug Abuse (ICCDA) – member – June 2016 to present (SEA 271-2016 – Governor’s Task Force on Drug Enforcement, Treatment and Prevention codified)

National Academy for State Health Policy Steering Committee – March 2016 to present

Professional Licensing Agency INSPECT Oversight Committee, member – September 2015 to present

Governor’s Task Force on Drug Enforcement, Treatment and Prevention, member – August 2015 to present

Indiana Coalition to End Sexual Assault (ICESA) Board of Directors – August 2015 to present

KIDS COUNT Indiana Advisory Group – August 2015 to present

IU School of Medicine Diversified Recruitment Scholarship Committee – August 2015 to present

17<sup>th</sup> Class of Leadership for New State Health Officials – Harvard Kennedy School of Government, Cambridge, MA – July 27 to 31, 2015

Purdue University MPH External Advisory Committee – July 1, 2015 to June 30, 2017

IU Richard M. Fairbanks School of Public Health National Advisory Council, member – June 2015 to present

Indiana State Department of Health Executive Board, Secretary - 2014 to present

Commission on Improving the Status of Children in Indiana, member – 2014 to present

Indiana Health Information Exchange Board, member – 2014 to present

Indiana Counter-Terrorism and Security Council, member – 2014 to present (security clearance approved)

Indiana Perinatal Quality Improvement Collaborative Governing Council, Co Chair –  
2014 to present

Indiana State Trauma Care Committee, Chair – 2014 to present

Jump IN for Healthy Kids Leadership Council, member – 2014 to present

Indiana Medical Education Board, member – 2014 to present

National Governor's Association (NGA) Health Workforce Policy Academy Core  
Team, member – 2014 to present

Domestic Nuclear Detection Executive Steering Committee, member – 2014 to present

Indiana Intelligence Fusion Center (IIFC) Executive Committee, member – 2014 to  
present

Indiana Governor's Cabinet, member – 2014 to present

ASA Governmental Affairs, Regional Anesthesia, and Professional Diversity (Chair)  
Committees

Indiana Society of Anesthesiologists Resident Committee Chair  
Delegate to ASA HOD

## DEPARTMENTAL

Member, Anesthesia

IU Department of Anesthesia Clinical Competency Committee

## SERVICE

Department Simulation Committee Member and Simulation Lab Proctor, Eskenazi  
Hospital Pharmacy and Therapeutics Committee Chair, Eskenazi Operating Room and  
Pharmacy Committee Member, Eskenazi Medical Executive Committee Member

## WORK EXPERIENCE

**Indiana University Department of Clinical Anesthesia, School of Medicine** January 2008 – Present  
Assistant Professor of Anesthesia at Eskenazi (formerly Wishard) Health, instructing residents and performing  
own cases from January 2008 to July 2017. Promoted on April 14, 2017 by Trustees of Indiana University to  
Associate Professor effective July 1, 2017. Provide anesthetic care for level 1 trauma, obstetrics, neuro,  
vascular, and all general anesthetic cases except for coronary bypass. Also staffs the acute pain service 1-2 times  
a week.

## Indiana State Health Commissioner

Oct 2014 - Present

Appointed by Governor Mike Pence as head of the Indiana State Department of Health (ISDH), and as his  
cabinet advisor on public health matters. Re-appointed by Governor Eric Holcomb in 2017.

HHS 2018-00318--000058

HHS-17-0560-B-000100



**Delaware County Anesthesiologists**

July 2006 - January 2008

General anesthesiologist at Ball Memorial Hospital and adjoining surgery center. Provided general anesthetic care, obstetrics, neuro, trauma, and regional anesthesia including continuous nerve block techniques

**Indianapolis Orthopedic Hospital**

August 2005 - June 2006

Served as physician rapid responder including responding to and running codes, managing complications and acute pain of post surgical orthopedic patients

**RESEARCH EXPERIENCE****Researcher, Indiana University Department of Anesthesia**

October 2003-December 2005

Helped design a study to assess efficacy of COX-2 inhibitors for preemptive analgesia in orthopedic cases. Assisted in chart review of cardiopulmonary bypass patients at Riley Hospital for Children during 2003, and analyzed data to ascertain practice patterns of staff, and to elucidate risk factors for failed extubation in the OR as opposed to later in the ICU. Poster presented at New York Post Graduate Assembly, 12/04.

**Intern, Berkeley Health Department**

September 1999 – May 2000

Designed a chronic disease prevention program for the City of Berkeley's health department. Designed, conducted, and analyzed a survey to assess health attitudes, behaviors, and barriers among City residents. Conducted focus groups and helped establish a network of community groups.

**Clinical Research Assistant, Eli Lilly Pharmaceuticals Inc.**

Summer 1998 and

1997

Helped designed a clinical research trial to assess efficacy in terms of exercise tolerance of a Lilly drug versus a competitor drug for heart failure. Assisted with pre-study visits of potential sites to be used in a heart failure trial. Wrote a research summary assessing Moxonidine, Clonidine, and Carvedilol use for heart failure.

**Howard Hughes Research Scholar, Department of Biochemistry, University of Colorado**

Summer

1996

Working under Noble Laureate Dr. Thomas Cech, researched random and site-specific mutagenesis of the P5C1 portion of the tetrahymena Group I intron. This was done to help ascertain the tertiary structure of the intron by identifying which portions of the sequence can be changed while still retaining the intron's splicing activity.

**Fogarty Fellow (Zimbabwe), University of Zimbabwe Medical School**

Summer 1995

Helped initiate an epidemiological study to assess the prevalence and predictors of hypertension among rural and urban blacks in Zimbabwe. Conducted pilot study to determine validity of automated blood pressure measurements for clinical research. (Published, *Central African Journal of Medicine*.)

**Fogarty Fellow (Netherlands), Erasmus University, Netherlands**

Summer

1994

Working with Dr. H.A.W.M. Tiddens, conducted research on the effects of smooth muscle on airway compliance, used and helped validate a new device developed by Dr. Tiddens designed to measure small volume displacements. (Acknowledged in Dr. Tiddens abstract on Microplethysmograph)



## LECTURES

Indiana Health Workforce Collaborative: Transforming Health Workforce Education, Practice and Policy – “Quadruple Aim Panel”, Indianapolis – June 20, 2017

Indianapolis Urban League Health and Wellness Speaker Series – “HIV in the Community”, Indianapolis – June 16, 2017

9<sup>th</sup> Annual Summit on Breastfeeding – “Increasing Breastfeeding in Middle America – Indiana State Department of Health Experience”, Washington, DC – June 6, 2017

National Association of State Alcohol and Drug Abuse Directors (NASADAD) Annual Meeting – “How Indiana is Attacking the Opioid Epidemic”, Indianapolis – May 25, 2017

HHS Region V Regional Public Health Action Plan to Prevent Substance Misuse and Addictions – “Opening Remarks”, Indianapolis – May 11 & 12, 2017

International Anesthesia Research Society (IARS) Annual Meeting and International Science Symposium – “Serving the Underserved: The Role of Today’s Anesthesiologist”, Washington, DC – May 7, 2017

4<sup>th</sup> Annual EMS Directors’ Conference – “Opening Remarks w/Bryan Langley, Director of IDHS”, Indianapolis – April 28, 2017

Marion County Minority Health Coalition Health Forum – “Addressing Public Health Priorities in Indiana”, Indianapolis – April 21, 2017

Clinton County Healthy Communities – “Addressing Public Health Priorities in Indiana”, Frankfort – April 20, 2017

Indiana Public Health Association Public Health Month Conference – “Opioid Epidemic: What it Means for Indiana”, West Lafayette – April 20, 2017

American Association of Critical Care Nurses Annual Spring Conference – “Moderator of Opioid Lecture Panel”, Indianapolis – April 19, 2017

IU School of Public Health – “Addressing Health Priorities in Indiana”, Bloomington – April 13, 2017

Indiana Minority Health Coalition’s HIV Advocacy Day at the State House – “Advocacy and Public Health”, Indianapolis – April 12, 2017

Indiana Pharmacists Alliance Spring CE Conference – “Indiana Pharmacists & Population Health”, Carmel – April 12, 2017

IU School of Medicine American Medical Association Chapter - “Build Your Own Bill: How Would You Change Our Health Care System?”, Indianapolis – April 11, 2017

US HUD, Mayors and Local Health Officers – “Hosted discussion on Funding Opportunities to Address Lead Hazard Remediation in Indiana”, Indianapolis – March 29, 2017

HHS-17-0560-B-000102

Indiana Senate Health and Provider Services Committee Testimony – “HB 1438 Syringe Exchange Program”, Indianapolis – March 22, 2017

Indiana House Public Health Committee Testimony – “SB 226 Prescribing and Dispensing of Opioids”, Indianapolis – March 15, 2017

Indiana Spring Local Public Health Leadership Symposium – “ISDH Updates/Late Breaking News”, Indianapolis – March 15, 2017

FDA Joint Meeting of Drug Safety and Risk Management Advisory Committee & Anesthetic and Analgesic Drug Products Advisory Committee - “2015 Indiana HIV Outbreak: Overview” with Dr. John Brooks, CDC, Silver Spring, Maryland – March 13, 2017

Circle City Chapter of Links, Inc. – “State of Health in Indiana”, Indianapolis – March 4, 2017

IU McKinney School of Law McDonald-Merrill-Ketcham Award for Excellence in Law and Medicine Lecture Series – “Panel Discussion of Dayna Matthew’s Presentation on Just Medicine: A Cure for Racial Inequality in American Health Care”, Indianapolis – March 3, 2017

Cardiovascular and Diabetes Coalition of Indiana (CADI) Symposium – “Heart Disease, Stroke and Diabetes”, Indianapolis – February 28, 2017

Richard M. Fairbanks School of Public Health INSights and INnovations Webinar Series – “Health Equity: Leading from the Cliff”, Indianapolis – February 24, 2017

Indiana Pharmacists Alliance – Pharmacy Day at the State House – “Pharmacists Role in Public Health”, Indianapolis – February 22, 2017

US Chamber of Commerce Health Means Business National Summit and Healthy 10 Awards – “Remarks and Introduction of 2017 Health Means Business Champions”, Washington, DC – February 16, 2017

Indiana Society of Anesthesiologists Annual Meeting – “Public Health and Clinician Advocacy: You Can Make a Difference!”, Carmel – February 11, 2017

Indiana Senate Health and Provider Services Committee Testimony – “SB 226 Prescribing and Dispensing of Opioids”, Indianapolis – February 8, 2017

American College of Surgeons, Indiana Chapter Day at the Capitol – “Surgery and Public Health”, Indianapolis – February 7, 2017

Lead Symposium – “Lead in Indiana: Understanding the Risks & Challenges”, Munster – February 4, 2017

Indiana Lawmakers Show – “Opioid Epidemic and Syringe Exchange Program Legislation”, Indianapolis – February 2, 2017

Indiana House Public Health Committee Testimony – “Syringe Exchange Program Data”, Indianapolis – January 25, 2017



Indiana Rural Health Association Public Policy Forum – “Healthcare Issues from the State Perspective and Plan for a Healthier Indiana”, Indianapolis – January 24, 2017

Indiana House Public Health Committee – “ISDH: 2017 Overview”, Indianapolis – January 18, 2017

Indiana Senate Health and Provider Services Committee – “ISDH: 2017 Overview”, Indianapolis – January 11, 2017

CDC 1305/1422 Grantee Meeting – “Doing the Right thing When No One is Watching: Addressing Health disparities & the Social Determinants of Health in States & Communities”, Atlanta, GA – December 1, 2016

White House Office of National Drug Control Policy and MITRE presentation on Research Work on Prescription Drug Fraud and Abuse, Washington, DC – November 7, 2016

White House Office of National Drug Control Policy Convening on Pay for Success and the Opioid Crisis, Washington, DC – November 3, 2016

American Public Health Association (APHA) Alcohol, Tobacco and Other Drugs (ATOD) Opioid Session Shifting the Paradigm: What Progress are we Making in Responding to the Opioid Crisis – “Indiana’s HIV Outbreak: Lessons from the Heartland”, Denver, CO – October 31, 2016

National Academy for State Health Policy (NASHP) Conference – “Moderate Panel on Successful State Policies to Lower Infant Mortality”, Pittsburgh, PA – October 18, 2016

4<sup>th</sup> Annual Labor of Love Infant Mortality Summit – “Welcome and Updates”, Indianapolis – October 17, 2016

Riley Children’s Health & Indianapolis Colts Safe Sleep Sack Initiative Announcement – “Public Health Impact”, Carmel – October 12, 2016

Indiana Perinatal Hospital Summit – “Welcome and Updates”, Carmel – October 7, 2016

Indianapolis Dental Society – “Health Care in Indiana”, Indianapolis – October 5, 2016

Indiana Business Journal Power Breakfast – “Panel on Health Care and Benefits”, Indianapolis – September 29, 2016

Indiana Public Health Conference – “Welcome and Panel on Health Equity”, Indianapolis – September 15, 2016

Richard M. Fairbanks Foundation Summit on Opioid and Tobacco Addiction for Indiana Funders – “Facilitate Panel on Impact of Opioid Addiction on Communities in Indiana”, Indianapolis – September 14, 2016

Healthcare Quality Leadership Conference on Infection Prevention – “State Experience with Outbreaks and Infection Prevention”, Indianapolis – September 13, 2016

Understanding the Disease of Opioid Addiction: How YOU Can Improve Access to Successful Treatment NOW – “Welcome and Updates”, Fort Wayne – September 12, 2016

Elwood School Corporation Ribbon-Cutting Ceremony – “Importance of School-Based Telehealth Clinics”, Elwood – September 6, 2016

Virginia Commonwealth University School of Medicine Grand Rounds – “Physician Advocacy: Why and How”, Richmond, VA – August 18, 2016

National Medical Association Annual Convention & Scientific Assembly – “Updates from Indiana”, Los Angeles, CA – July 30 to August 2, 2016

Greenwood Rotary Club – “State of Health in Indiana and Johnson County”, Greenwood – July 25, 2016

Indiana Academy of Family Physicians Annual Conference – “State & Public Health Updates: Priorities & Hot Topics”, French Lick – July 22, 2016

Indiana University/Purdue University of Indianapolis Grand Rounds – “State of Health in Indiana”, Indianapolis – July 20, 2016

Indiana Chamber of Commerce Workshop – Starting a Movement: Healthy Businesses Fuel Healthy Communities – “Indiana Health Data & Trends and Translating “Wellness” Into Action Panel”, Indianapolis – July 13, 2016

2<sup>nd</sup> Annual Indiana Diabetes Prevention Network Conference – “State of Diabetes and Pre-Diabetes in Indiana”, Indianapolis – June 22, 2016

Union Hospital Grand Rounds – “Overview of the ISDH”, Terre Haute – June 16, 2016

Indiana Primary Health Care Association Health Center Forum – “ISDH Strategic Priorities and Community Health Center’s Role”, Indianapolis – June 14, 2016

American Medical Association House of Delegates Meeting, Chicago, IL – June 10 to 13, 2016

National Academies of Sciences, Engineering and Medicine (formerly the Institute of Medicine) Committee on a National Strategy for the Elimination of Hepatitis B and C – “Harm Reduction and Needle Exchange Panel on harm Reduction in Rural Areas and Small Towns”, Washington, DC – June 8 to 9, 2016

Mental Health America Indiana (MHAI) Symposium – “Opioid Epidemic, Governor’s Task Force on Drug Abuse, Treatment and Prevention, and Syringe Exchange Programs”, Crowne Plaza Union Station, Indianapolis – June 2, 2016

US Chamber of Commerce Health Means Business Campaign National Partners Meeting – “Opening Remarks”, Washington, DC – June 2, 2016

ASTHO Technical Assistance Webinar with Kentucky and West Virginia – “Preventing HIV/HCV Outbreaks Associated with Opioids and Injection Drug Use”, State Health Department, Indianapolis – May 26, 2016

Indiana Immunization Coalition 12<sup>th</sup> National Conference for Immunization Coalitions and Partnerships – “Welcome and Opening Remarks”, Hyatt Regency, Indianapolis – May 25, 2016

Indiana Rural Health Association Opioid Symposium – “Opening Remarks”, Marriott East Indianapolis May 19, 2016



24, 2016

Indiana Minority Health Professional Association – “Moderate Panel on Violence and Trauma”, Indianapolis – April 29, 2016

Indiana Cancer Consortium Annual Meeting – “Welcome and Reaction Panel to Dr. Richard Wender (ACS) presentation”, Indianapolis – April 26, 2016

Indiana Minority Health Coalition Town Hall Meeting with Dr. Craig Hooper, CDC – “Sickle Cell Disease”, Indianapolis – April 21, 2016

Indiana Lead Forum – “Welcome and Introductions”, Indianapolis – April 21, 2016

Vanderburgh County Drug Symposium – “Statewide Initiatives to Reduce Drug Abuse”, Evansville – April 18, 2016

Madison County Drug Addiction 2016 Summit – “The State of Indiana, HIV, Hepatitis and Injection Drug Use”, Anderson – April 14, 2016

CDC National Leadership Academy on Health Equity – “Best Practices for Developing Policies to Address Social Determinants of Health Panel”, Atlanta, GA – April 12, 2016

National Center for Medical-Legal Partnership Annual Summit – “Welcome and Introduction of Dr. Lisa Harris”, Hyatt Regency, Indianapolis – April 8, 2016

National Rx Drug Abuse Summit – “Tackling the Prescription Drug and Opioid Abuse Epidemic”, Westin Peachtree Plaza, Atlanta, GA – March 29, 2016

Spring Local Public Health Leadership Symposium – “Welcome and ISDH Updates/Late Breaking News”, The Garrison at Fort Ben, Indianapolis – March 16, 2016

Grand Rounds – “Overview of State Health”, St. Mary’s Medical Center, Evansville – March 9, 2016

U.S. Senate Special Committee on Aging – “Opioid Epidemic Impact on Seniors”, Capitol Hill, Washington, DC – February 24, 2016

Covering Kids and Families (CFK) Policy & Providers Meeting – “HIP 2.0” – Indiana Minority Health Coalition, Indianapolis – February 12, 2016

US Chamber of Commerce, RWJ Foundation & IN Chamber Foundation Indiana Health Means Business Forum – “INShape IN Program” – Westin Hotel, Indianapolis – February 5, 2016

Indiana Healthcare Executives Network – “Improving the Health Status of Your Community” – City Way, Indianapolis – February 3, 2016

Indiana Healthcare Executives Network – “Improving the Health Status of Your Community” – City Way, Indianapolis – February 3, 2016

Indiana Rural Health Association Public Policy Forum – “Healthcare Issues from the State Perspective”

Regency, Indianapolis – January 19, 2016

Rotary Club of Indianapolis – “Public Health Challenges”, Scottish Rite Cathedral, Indianapolis – January 12, 2016

Vanderbilt University School of Medicine, Department of Anesthesiology – “Professional Development”, Nashville, TN – January 4, 2016

Association of State and Territorial Health Officials (ASTHO) Million Hearts/Community-Clinical Linkages State Learning Collaborative Learning Session - “Leadership in Addressing Hypertension Panel” – Washington, DC – December 16, 2015

ASTHO Winter Meeting – “Communications: Lessons Learned from the Past Four Years” Panel Session – Princeton, New Jersey – December 9, 2015

Funders Concerned About AIDS (FCAA) Summit – “The Politics of HIV” Keynote Panel – Washington, DC – December 7, 2015

Indiana Youth Institute’s Because KIDS COUNT Conference – “Commission on Improving the Status of Children in Indiana Panel” – Indianapolis – December 1, 2015

Elkhart County Minority Health Coalition 21<sup>st</sup> Annual Fundraising Minority Health Initiative Dance Like No One is Watching – “Hypertension and Obesity” – Lerner Theatre, Elkhart – November 20, 2015

University of Notre Dame Master of Science in Global Health Students – “Community Health and the Affordable Care Act” – Notre Dame – November 20, 2015

ISMA Specialty Societies Presidents Dinner – “Current Public Health Issues” – ISMA Office – November 17, 2015

American Swiss Foundation Young Leaders Conference – “Healthcare Panel” – Zurich, Switzerland – November 6 to 14, 2015

ISDH 3<sup>rd</sup> Annual Labor of Love Infant Mortality Summit – “State of the State on Infant Mortality” – JW Marriott, Indianapolis – November 6, 2015

DePauw University Global Public Health students – “Public Health: the Good, the Bad and the Ugly” – DePauw University, Greencastle – November 3, 2015

National HIV/AIDS Strategy Consultation sponsored by amfAR, MAC AIDS Fund, Ford Foundation and Funders Concerned About AIDS (FCAA) – White House Eisenhower Executive Office Building, Washington, DC – November 2, 2015

Black Nurses Association of Indianapolis, Inc Annual Luncheon Welcome and Introduce Keynote Speaker – “Diabetes the Disease: The Many Faces” – Ritz Charles, Carmel – October 29 2015  
American Society of Anesthesiologists Keynote at House of Delegates Meeting – “Anesthesiologists as Leaders: Why Not?” – San Diego Convention Center, San Diego, CA – October 25, 2015



Wellington, Fishers – October 14, 2015

St. Joseph Community Wellness Partners (formerly MHC) Conference – “Infant Mortality in Northern Indiana, and ISDH Initiatives to Lower It”, Pottawattomie Country Club, Michigan City – September 23, 2015

Elkhart General Hospital 6<sup>th</sup> Annual Pediatric Environmental Health Symposium – “Infant and Pediatric Health in Indiana” – Windsor Park Conference Center, Mishawaka – September 23, 2015

Congressional Black Caucus Foundation 45<sup>th</sup> Annual Legislative Conference – “National HIV/AIDS Strategy Reboot and Reaching Marginalized Populations Panel” – Washington, DC – September 17, 2015

US Health and Human Services Advancing Policy and Practice: A 50-State Convening to Prevent Opioid Overdose and Addiction – “The Indiana HIV Outbreak: Lessons from the Opioid Epidemic’s Newest Front” – Arlington, VA – September 17, 2015

ISDH Team Meeting with US Surgeon General Vice Admiral (VADM) Vivek H. Murthy, MD, MBA – “ISDH Priorities” – IU Fairbanks School of Public Health, Indianapolis – September 11, 2015

Governor’s Task Force on Drug Enforcement, Treatment and Prevention Announcement and Roundtable, Indianapolis (September 1, 2015) Evansville and Sellersburg (September 3, 2015)

Prescriber Roundtable with US Senator Donnelly and US Representative Brooks, IUPUI, Indianapolis – September 2, 2015

Kokomo Community Partners Summit – “ISDH Priorities” – TRFM Building, Kokomo – August 18, 2015

Indiana Minority Health Coalition Statewide Intensive Training – “Priorities Addressing Health Disparities in Indiana”, Sheraton Hotel, Indianapolis – July 20, 2015

ESF-8 Conference – “A Whole of Community Approach to Infectious Disease Outbreaks”, IUPUI, Indianapolis – June 10, 2015

American Medical Association House of Delegates Meeting – “HIV Outbreak in Scott County”, Hyatt Regency, Chicago, IL – June 7, 2015.

Congressional Committee on Energy and Commerce Subcommittee on Oversight and Investigations – “Indiana’s HIV and Opioid Epidemic”, Capitol Hill, Washington, DC – May 21, 2015

First Annual Indiana Latino Health Summit - “The State of Minority Health in Indiana”, Sheraton Hotel, Indianapolis – May 7, 2015 (also participated in media availability with Dr. Nadine Gracia, Deputy Assistant Secretary for Minority Health and the Director of the Office of Minority Health at the US Department of Health and Human Services)

American Association of Anesthesiologists (ASA) Legislative Conference – “Advocacy Skills Panel and Interactive Session: Physician Advocacy from the Perspective of the State Administration Panel” – JW Marriott, Washington, DC – May 4, 2015

2015 Indiana Sickle Cell Conference – “Welcome and ISDH Priorities”, Ivy Tech Community College Corporate and Culinary Center, Indianapolis

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Health Science Deans Committee – “ISDH Initiatives and Opportunities for Collaboration”, Fairbanks Hall, Indianapolis – April 15, 2015

Indiana University School of Public Health-Bloomington – “ISDH Initiatives and Opportunities for Collaboration”, Indiana University, Bloomington – April 14, 2015

Indiana Minority Health Coalition Initiative Keynote – “Celebrating the Past...Embracing the Future”, JW Marriott, Indianapolis – April 8, 2015

St. Joseph County Minority Health Coalition Events: Black Barbershop Health Initiative – “Kick-off and Opening Ceremony” and Luncheon Speaker – “The Road to a Healthier Community: Reducing Health Disparities thru Grassroots Outreach and Advocacy”, The Brick Barbershop, South Bend – April 2, 2015

Spring Local Public Health Leadership Symposium – “State Health Commissioner Updates and Breaking News”, The Garrison at Fort Harrison, Indianapolis – March 18, 2015

Northwest Indiana Health Advisory Council – “Infant Mortality in Indiana” and Lake County Advancement Committee – “Indiana State Department of Health Priorities and Updates”, Merrillville and Schererville (respectively) – March 13, 2015

Indiana University School of Medicine (IU SoM) Pediatric Grand Rounds – “Infant Mortality: Foundation and Future”, Riley Hospital for Children, Indianapolis – February 18, 2015

Dental Day at the State House – “ISDH Priorities”, American College of Sports Medicine, Indianapolis – February 4, 2015

District V American College of Obstetricians and Gynecologists (ACOG) – “Infant Mortality in Indiana”, Ritz Charles, Indianapolis – January 21, 2015

Indiana Rural Health Association Public Policy Forum – “Health Care Issues from a State Perspective and Plan for a Healthier Indiana”, Hyatt, Indianapolis – January 20, 2015

Indiana House Public Health Committee – “Introduction and ISDH Priorities”, House Chambers at State Capitol, Indianapolis – January 7, 2015

Indiana University Anesthesia Department – “Grand Rounds on Ebola”, Eskenazi Health, Indianapolis - December 2014

Marion County Public Health Department – “Kick-Off and Release of Community Health Needs Assessment Results”, The Hall, Indianapolis – December 11, 2014

Indiana Society for Post-Acute and Long Term Care Medicine (formerly Indiana Medical Directors Association) – “De-prescribing in Older Adults to Improve Cognition”, Eskenazi Health, Indianapolis – November 20, 2014

Labor of Love Infant Mortality Summit – “Infant Mortality in Indiana: Where are we going?”, Convention Center, Indianapolis – November 13, 2014

Minority Health Partners – “Ebola Virus Disease Update”, ISDH, Indianapolis – November 7, 2014



Integrating Regional Anesthesia Into Your Practice, North Carolina Society of Anesthesiologists (NCSA) 2013 Annual Meeting

Health Care Reform: Where are we going, and how can the ASA and AMA help? NCSA 2013 Annual Meeting

Professionalism and Diversity Awareness: IU Grand Rounds, 11/12

ACOs and Other Alternative Payment Models: IU Grand Rounds 11/11

Medical Malpractice in Indiana: IU Anesthesia Department Grand Rounds 12/10

The ACA and Healthcare Reform: NMA 2010 Annual and IARS 2010 Annual

Incorporating Regional Anesthesia Into Your Practice: NMA 2008 Annual, at IU Anesthesia Department Grand Rounds, 08, 2010, and at various regional workshops in 11, 2012,

Anesthesia Boards/ ITE Review: IU Anesthesia Department Grand Rounds, 08- 2012

Legislative Affairs Review: IU Anesthesia Department, 05, 06, 09- 2012

The Future of Anesthesia: Indiana Academy of Otolaryngology Annual Meeting, 09

## **ABSTRACTS**

ASA Committee on Professional Diversity Mentoring Award: An Innovative Approach to Facilitate Mentoring Relationships and Foster Leadership within Our Specialty. (ASA Annual 2013)

Web Based Evaluations and Board Certification of Foreign Medical Graduates as Compared to U.S. Medical Graduates Peers (IARS Annual 2010)

Web based competency evaluation is not a good predictor of resident progress during CA1 year (ASA Annual 2009)

DOs Rate Lower than MDs on Competency Evaluation (ASA Annual 2009)

## **PUBLICATIONS**

Teaching

**Diversity in the American Society of Anesthesiologists Leadership.** Accepted for Publication, 2016,  
**Anesthesia and Analgesia**

Inhalational Anesthesia, Anesthesiology: A comprehensive board review, Oxford University Press, 2013

Pharmacologic Principles, Anesthesia Student Survival Guide: A Case Based

Approach, Springer NY, 2009

HHS-2018-00318--000068

HHS-17-0560-B-000110

Service  
Magazine,

Are Continuous Peripheral Nerve Blocks for You? Outpatient Surgery

September 2013

8 keys to success with continuous nerve blocks, Outpatient Surgery Magazine, October 2013

Young Physician, Heal Thyself, ASA Newsletter, July 2013, Vol 77 Number 7

Mentoring and Advocacy: Ensuring a Solid Future for Anesthesiology, Accepted for publication, ASA Newsletter, December 2013

To the Editor

HIV Outbreak in Indiana, NEW ENGLAND JOURNAL of MEDICINE,  
October 1, 2015, Vol. 373 Number 14, pages 1379 to 1381

Are Pain Management Questions in Patient Satisfaction Surveys Driving the Opioid Epidemic, AMERICAN JOURNAL OF PUBLIC HEALTH, June 16, 2016, Vol. 106 Number 6

Opinion Editorials

Indiana Syringe Services Programs Save Lives, Money, June 22, 2017

HIV Outbreak: Why Austin? Why Indiana?, Joint Information Center, May 19, 2015

Myths About HIV Still Plague Indiana, Indianapolis Star, May 3, 2015

Greatest Weapons in the Fight Against Ebola are Facts, NUVO, October 29, 2015

## **WORKSHOPS**

Proctor/ lecturer at Ebola Workshops in Indiana's public health preparedness districts (10), Dec 2014- January 2015

Instructor at various regional anesthesia workshops throughout Indiana, 2011- Current

1

Jerome Adams



## EDUCATION

### Harvard Law School

2004–2007

Juris Doctor

Activities

- Federalist Society, Member
- Harvard Law School Christian Fellowship, Webmaster
- The Veritas Forum, Student Coordinator

### University of Texas at El Paso

2000–2004

B.S. *summa cum laude* with Honors in Electrical Engineering

Activities

- University Honors Council, Member
- Phi Alpha Delta, Vice-Chair of Professional Development

## EXPERIENCE

### First Liberty Institute

2010–Present

Senior Counsel and Director of Research &amp; Education

- Successfully argued in the Middle District of Florida and the Eastern District of Texas for injunctions to stop enforcement of the Affordable Care Act's contraceptive mandate against ministries with religious objections to providing health insurance coverage for drugs, devices, and services that induce or facilitate abortions
- Co-authored three articles:
  - "The Jurisprudence of the Body: Conscience Rights in the Use of the Sword, Scalpel, and Syringe," which is to be published in an upcoming issue of the *Texas Review of Law and Politics*
  - "The Parsonage Exemption Deserves Broad Protection," published in the *Texas Review of Law and Politics*
  - "The Light of Accountability: Why Partisan Elections Are the Best Method of Judicial Selection," published in the Texas Bar Association's *The Advocate*
- Editor-in-Chief of *Undeniable: The Survey of Hostility to Religion in America*, an annual report cataloging incidents of attacks on religious liberty in the United States
- Authored a chapter for *Religion and Law in Public Schools: History, Philosophy, Trends and Education Administration*, published by the Education Law Association
- Defended religious liberty across the United States through litigation at the trial and appellate levels
- Drafted model legislation to maximize religious liberty protections

### Rick Green for Texas Supreme Court Campaign

2009–2010

Campaign staffer

- Gave campaign speeches at events across Texas
- Debated with other candidates for Texas Supreme Court, Place 3

### Scott & Hulse, P.C.

2007–2009

Associate attorney

- Worked primarily in the areas of corporate law and litigation support

### Covenant Christian Academy

2002–2004

Physics teacher

- Implemented the twelfth-grade physics program

## LICENSURE

Admitted to the Texas Bar, the Northern District of Texas, the Southern District of Texas, the Western District of Texas, the Eastern District of Texas, the U.S. Court of Appeals for the Second Circuit, the U.S. Court of Appeals for the Fifth Circuit, the U.S. Court of Appeals for the Tenth Circuit, the U.S. Court of Appeals for the Eleventh Circuit