OGE Form 278 (Rev. 12/2011)
5 C.F.R. Part 2634
U.S. Office of Government Ethics

# Executive Branch Personnel PUBLIC FINANCIAL DISCLOSURE REPORT

Form Approved:
OMB No. 3209-0001

| | | | | |
|---|---|---|---|---|
| Date of Appointment, Candidacy, Election, or Nomination (*Month, Day, Year*)<br>07/01/2013* | Reporting Status (Check Appropriate Boxes) | Incumbent [X]<br>Calendar Year Covered by Report: 2015 | New Entrant, Nominee, or Candidate [ ] | Termination Filer [ ]<br>Termination Date (*If Applicable*) (*Month, Day, Year*) |
| Reporting Individual's Name | Last Name<br>Rice | | First Name and Middle Initial<br>Susan, E | |
| Position for Which Filing | Title of Position<br>National Security Advisor | | Department or Agency (*If Applicable*)<br>White House | |
| Location of Present Office (or forwarding address) | Address (*Number, Street, City, State, and ZIP Code*)<br>1600 Pennsylvania Avenue NW, Washington DC 20502 | | Telephone No. (*Include Area Code*)<br>202-456-1414 | |
| Position(s) Held with the Federal Government During the Preceding 12 Months (*If Not Same as Above*) | Title of Position(s) and Date(s) Held | | | |
| **Presidential Nominees Subject to Senate Confirmation** | Name of Congressional Committee Considering Nomination | | Do You Intend to Create a Qualified Diversified Trust?<br>[ ] Yes [X] No | |
| **Certification**<br>I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge. | Signature of Reporting Individual<br>[redacted] | | Date (*Month, Day, Year*)<br>6/15/16 * | |
| **Other Review (If desired by agency)** | Signature of Other Reviewer | | Date (*Month, Day, Year*)<br>6/16/16 | |
| **Agency Ethics Official's Opinion**<br>On the basis of information contained in this report, I conclude that the filer is in compliance with applicable laws and regulations (subject to any comments in the box below) | Signature of Designated Agency Ethics Official/Reviewing Official | | Date (*Month, Day, Year*)<br>6/16/2016 | |
| Office of Government Ethics Use Only | Signature | | Date (*Month, Day, Year*) | |

Comments of Reviewing Officials (*If additional space is required, use the reverse side of this sheet*)

(*Check box if filing extension granted & indicate number of days* ______ ) [ ]

*Timely filed on 4/11/16. ww

(*Check box if comments are continued on the reverse side*) [ ]

**Fee for Late Filing**

Any individual who is required to file this report and does so more than 30 days after the date the report is required to be filed, or, if an extension is granted, more than 30 days after the last day of the filing extension period, shall be subject to a $200 fee.

**Reporting Periods**

**Incumbents:** The reporting period is the preceding calendar year except Part II of Schedule C and Part I of Schedule D where you must also include the filing year up to the date you file. Part II of Schedule D is not applicable.

**Termination Filers:** The reporting period begins at the end of the period covered by your previous filing and ends at the date of termination. Part II of Schedule D is not applicable.

**Nominees, New Entrants and Candidates for President and Vice President:**

**Schedule A**--The reporting period for income (BLOCK C) is the preceding calendar year and the current calendar year up to the date of filing. Value assets as of any date you choose that is within 31 days of the date of filing.

**Schedule B**--Not applicable.

**Schedule C, Part I** (Liabilities)--The reporting period is the preceding calendar year and the current calendar year up to any date you choose that is within 31 days of the date of filing.

**Schedule C, Part II** (Agreements or Arrangements)--Show any agreements or arrangements as of the date of filing.

**Schedule D**--The reporting period is the preceding two calendar years and the current calendar year up to the date of filing.

Agency Use Only

OGE Use Only

Supersedes Prior Editions.

OGE Form 278 (Rev. 12/2011)
5 C.F.R. Part 2634
U.S. Office of Government Ethics

Reporting Individual's Name: Rice, Susan

# SCHEDULE A

Page Number: 2

**Assets and Income** (BLOCK A)

For you, your spouse, and dependent children, report each asset held for investment or the production of income which had a fair market value exceeding $1,000 at the close of the reporting period, or which generated more than $200 in income during the reporting period, together with such income.

For yourself, also report the source and actual amount of earned income exceeding $200 (other than from the U.S. Government). For your spouse, report the source but not the amount of earned income of more than $1,000 (except report the actual acount of any honoraria over $200 of your spouse).

None ☐

**Valuation of Assets** at close of reporting period (BLOCK B)

**Income:** type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item. (BLOCK C)

| Assets and Income | None (or less than $1,001) | $1,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $250,000 | $250,001 - $500,000 | $500,001 - $1,000,000 | Over $1,000,000* | $1,000,001 - $5,000,000 | $5,000,001 - $25,000,000 | $25,000,001 - $50,000,000 | Over $50,000,000 | Excepted Investment Fund | Excepted Trust | Qualified Trust | Type: Dividends | Type: Rent and Royalties | Type: Interest | Type: Capital Gains | Amount: None (or less than $201) | $201 - $1,000 | $1,001 - $2,500 | $2,501 - $5,000 | $5,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $1,000,000 | Over $1,000,000* | $1,000,001 - $5,000,000 | Over $5,000,000 | Other Income (Specify Type & Actual Amount) | Date (Mo., Day, Yr.) Only if Honoraria |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Examples: Central Airlines Common | | | | x | | | | | | | | | | | | x | | | | | | x | | | | | | | | | | |
| Examples: Doe Jones & Smith, Hometown, State | | | x | | | | | | | | | | | | | | | | | | | | | | | | | | | | Law Partnership Income $130,000 | |
| Examples: Kempstone Equity Fund | | | | | x | | | | | | | | x | | | | | | | | | | x | | | | | | | | | |
| Examples: IRA: Heartland 500 Index Fund | | | | | | | x | | | | | | x | | | | | | | | | | | x | | | | | | | | |
| 1 ISHARES MSCE EAFE ETF | | | | | | X | | | | | | | X | | | X | | | | | | | | X | | | | | | | | |
| 2 SPDR DOW JONES INDL ETF UT ERR 1 | | | | | | X | | | | | | | X | | | X | | | | | | | | X | | | | | | | | |
| 3 CANADIAN IMPERIAL BANK COMMERCE COMMON | | | | | | | X | | | | | | | | | X | | | | | | | | | X | | | | | | | |
| 4 BROOKFIELD ASSET MGT CLASS A LTD VTG | | | | | | | X | | | | | | | | | X | | | | | | | | X | | | | | | | | |
| 5 BANK OF NOVA SCOTIA COMMON | | | | | | | X | | | | | | | | | X | | | | | | | | | X | | | | | | | |
| 6 IMPERIAL OIL LTD COMMON | | | | | | | X | | | | | | | | | X | | | | | | | | X | | | | | | | | |

* This category applies only if the asset/income is solely that of the filer's spouse or dependent children. If the asset/income is either that of the filer or jointly held by the filer with the spouse or dependent children. mark the other higher categories of value. as appropriate.

Reporting Individual's Name: Rice, Susan

# SCHEDULE A continued

(Use only if needed)

Page Number: 3

| | **Assets and Income** BLOCK A | **Valuation of Assets** at close of reporting period BLOCK B | | | | | | | | | | | | | | | **Income:** type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item. BLOCK C | | | | | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | | | | | | | | | | | | | Type | | | | Amount | | | | | | | | | | | | |
| | | None (or less than $1,001) | $1,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $250,000 | $250,001 - $500,000 | $500,001 - $1,000,000 | Over $1,000,000* | $1,000,001 - $5,000,000 | $5,000,001 - $25,000,000 | $25,000,001 - $50,000,000 | Over $50,000,000 | Excepted Investment Fund | Excepted Trust | Qualified Trust | Dividends | Rent and Royalties | Interest | Capital Gains | None (or less than $201) | $201 - $1,000 | $1,001 - $2,500 | $2,501 - $5,000 | $5,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $1,000,000 | Over $1,000,000* | $1,000,001 - $5,000,000 | Over $5,000,000 | Other Income (Specify Type & Actual Amount) | Date (Mo., Day, Yr.) Only if Honoraria |
| 1 | GREAT WEST LIFECO | | | | | | | X | | | | | | | | | X | | | | | | | | | X | | | | | | | |
| 2 | CENEVUS ENERGY COMMON | | | | | | | X | | | | | | | | | X | | | | | | | | | X | | | | | | | |
| 3 | ENBRIDGE INC COMMON | | | | | | | | X | | | | | | | | X | | | | | | | | | | X | | | | | | |
| 4 | ROYAL BANK CDA COMMON | | | | | | | | X | | | | | | | | X | | | | | | | | | | | X | | | | | |
| 5 | CDN PACIFIC RAILWAY COMMON | | | | | | | | X | | | | | | | | X | | | | | | | | | | X | | | | | | |
| 6 | TORONTO DOMINION BK COMMON | | | | | | | | X | | | | | | | | X | | | | | | | | | | | X | | | | | |
| 7 | ROYAL TRUST CORPORATION OF CANADA CASH CDN | | | | X | | | | | | | | | | | | | | X | | | X | | | | | | | | | | | |
| 8 | ROYAL TRUST CORPORATION OF CANADA CASH US | | X | | | | | | | | | | | | | | | | X | | X | | | | | | | | | | | | |
| 9 | CDN TIRE CORP CLASS A NON VTG | | | X | | | | | | | | | | | | | X | | | | | | X | | | | | | | | | | |

* This category applies only if the asset/income is solely that of the filer's spouse or dependent children. If the asset/income is either that of the filer or jointly held by the filer with the spouse or dependent children, mark the other higher categories of value, as appropriate.

Reporting Individual's Name: Rice, Susan

# SCHEDULE A continued

(Use only if needed)

Page Number: 4

**Assets and Income** (BLOCK A) | **Valuation of Assets** at close of reporting period (BLOCK B) | **Income:** type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item. (BLOCK C)

| # | Assets and Income | None (or less than $1,001) | $1,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $250,000 | $250,001 - $500,000 | $500,001 - $1,000,000 | Over $1,000,000* | $1,000,001 - $5,000,000 | $5,000,001 - $25,000,000 | $25,000,001 - $50,000,000 | Over $50,000,000 | Excepted Investment Fund | Excepted Trust | Qualified Trust | Type: Dividends | Type: Rent and Royalties | Type: Interest | Type: Capital Gains | Amount: None (or less than $201) | Amount: $201 - $1,000 | Amount: $1,001 - $2,500 | Amount: $2,501 - $5,000 | Amount: $5,001 - $15,000 | Amount: $15,001 - $50,000 | Amount: $50,001 - $100,000 | Amount: $100,001 - $1,000,000 | Amount: Over $1,000,000* | Amount: $1,000,001 - $5,000,000 | Amount: Over $5,000,000 | Other Income (Specify Type & Actual Amount) | Date (Mo., Day, Yr.) Only if Honoraria |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | SPDR DOW JONES INDL ETF UT SER 1 | | | | X | | | | | | | | | X | | | X | | | | | | X | | | | | | | | | | |
| 2 | ENCANA CORPORATION COMMON | | | X | | | | | | | | | | | | | X | | | | | | X | | | | | | | | | | |
| 3 | TRANSCANADA CORPORATION | | | | X | | | | | | | | | | | | X | | | | | | | X | | | | | | | | | |
| 4 | BANK OF MONTREAL COMMON | | | | | X | | | | | | | | | | | X | | | | | | | X | | | | | | | | | |
| 5 | BANK OF COMMERCE COMMON | | | | | X | | | | | | | | | | | X | | | | | | | | X | | | | | | | | |
| 6 | BANK OF NOVA SCOTIA COMMON | | | | | X | | | | | | | | | | | X | | | | | | | | X | | | | | | | | |
| 7 | BROOKFIELD ASSET MANAGEMENT CLASS A LTD VTG | | | | | X | | | | | | | | | | | X | | | | | | | X | | | | | | | | | |
| 8 | GREAT WEST LIFECO COMMON | | | | | X | | | | | | | | | | | X | | | | | | | | X | | | | | | | | |
| 9 | IMPERIAL OIL COMMON | | | | | X | | | | | | | | | | | X | | | | | | X | | | | | | | | | | |

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Reporting Individual's Name: Rice, Susan

# SCHEDULE A continued

(Use only if needed)



**Assets and Income** — BLOCK A

**Valuation of Assets** at close of reporting period — BLOCK B

**Income:** type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item. — BLOCK C

| # | Assets and Income (BLOCK A) | None (or less than $1,001) | $1,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $250,000 | $250,001 - $500,000 | $500,001 - $1,000,000 | Over $1,000,000* | $1,000,001 - $5,000,000 | $5,000,001 - $25,000,000 | $25,000,001 - $50,000,000 | Over $50,000,000 | Excepted Investment Fund | Excepted Trust | Qualified Trust | Type: Dividends | Type: Rent and Royalties | Type: Interest | Type: Capital Gains | Amount: None (or less than $201) | $201 - $1,000 | $1,001 - $2,500 | $2,501 - $5,000 | $5,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $1,000,000 | Over $1,000,000* | $1,000,001 - $5,000,000 | Over $5,000,000 | Other Income (Specify Type & Actual Amount) | Date (Mo., Day, Yr.) Only if Honoraria |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | VANGUARD FTSE EMERGING MARKETS ETF | | | | | X | | | | | | | | X | | | X | | | | | | | | X | | | | | | | | |
| 2 | CENOVUS ENERGY COMMON | | | | | X | | | | | | | | | | | X | | | | | | | | X | | | | | | | | |
| 3 | SPDR S&P 500 ETF TR UNITS ER 1 S&P | | | | | | X | | | | | | | X | | | X | | | | | | | | X | | | | | | | | |
| 4 | ISHARES MSC EAFE ETF | | | | | | | X | | | | | | X | | | X | | | | | | | | | X | | | | | | | |
| 5 | ENBRIDGE INC COMMON | | | | | | X | | | | | | | | | | X | | | | | | | | | X | | | | | | | |
| 6 | ROYAL BANK CDA COMMON | | | | | | | X | | | | | | | | | X | | | | | | | | | X | | | | | | | |
| 7 | TORONTO DOMINION BANK COMMON | | | | | | | | | X | | | | | | | X | | | | | | | | | X | | | | | | | |
| 8 | CDN PACIFIC RAILWAY COMMON | | | | | | | | | X | | | | | | | X | | | | | | | | X | | | | | | | | |
| 9 | ROYAL TRUST CORP OF CANADA CDN CASH | | | | | | | X | | | | | | | | | | | X | | | | | X | | | | | | | | | |

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Reporting Individual's Name: Rice, Susan

# SCHEDULE A continued

(Use only if needed)

Page Number: 6

| | Assets and Income | Valuation of Assets at close of reporting period | | | | | | | | | | | | | | | Income: type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item. | | | | | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | BLOCK A | BLOCK B | | | | | | | | | | | | | | | BLOCK C | | | | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | | | | Type | | | | Amount | | | | | | | | | | | | |
| | | None (or less than $1,001) | $1,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $250,000 | $250,001 - $500,000 | $500,001 - $1,000,000 | Over $1,000,000* | $1,000,001 - $5,000,000 | $5,000,001 - $25,000,000 | $25,000,001 - $50,000,000 | Over $50,000,000 | Excepted Investment Fund | Excepted Trust | Qualified Trust | Dividends | Rent and Royalties | Interest | Capital Gains | None (or less than $201) | $201 - $1,000 | $1,001 - $2,500 | $2,501 - $5,000 | $5,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $1,000,000 | Over $1,000,000* | $1,000,001 - $5,000,000 | Over $5,000,000 | Other Income (Specify Type & Actual Amount) | Date (Mo., Day, Yr.) Only if Honoraria |
| 1 | ROYAL TRUST CORP OF CANADA CASH US | | | | | | X | | | | | | | | | | | | X | | X | | | | | | | | | | | | |
| 2 | WALKER DUNLOP | | | X | | | | | | | | | | | | | | | | | X | | | | | | | | | | | | |
| 3 | UBS BANK USA DEP ACCT (dc) | | | X | | | | | | | | | | | | | | | X | | X | | | | | | | | | | | | |
| 4 | FANNIE MAE (dc) | X | | | | | | | | | | | | | | | | | | | X | | | | | | | | | | | | |
| 5 | FRONTIER COMMUNICATION CORP (dc) | X | | | | | | | | | | | | | | | X | | | | X | | | | | | | | | | | | |
| 6 | MCGRAW HILL FINANCIAL INC (dc) | | | X | | | | | | | | | | | | | X | | | | | X | | | | | | | | | | | |
| 7 | WALT DISNEY CO (dc) | | | X | | | | | | | | | | | | | X | | | | | X | | | | | | | | | | | |
| 8 | VANGUARD TOTAL STOCK MKT ETF (dc) | | | X | | | | | | | | | | | | | X | | | | | X | | | | | | | | | | | |
| 9 | UBS BANK USA DEP ACCT | | | X | | | | | | | | | | | | | | | X | | X | | | | | | | | | | | | |

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| Reporting Individual's Name | SCHEDULE A continued (Use only if needed) | Page Number |
|---|---|---|
| Rice, Susan | | 7 |

| | Assets and Income (BLOCK A) | Valuation of Assets at close of reporting period (BLOCK B) | | | | | | | | | | | | | | | Income: type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item. (BLOCK C) Type | | | | Amount | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | None (or less than $1,001) | $1,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $250,000 | $250,001 - $500,000 | $500,001 - $1,000,000 | Over $1,000,000* | $1,000,001 - $5,000,000 | $5,000,001 - $25,000,000 | $25,000,001 - $50,000,000 | Over $50,000,000 | Excepted Investment Fund | Excepted Trust | Qualified Trust | Dividends | Rent and Royalties | Interest | Capital Gains | None (or less than $201) | $201 - $1,000 | $1,001 - $2,500 | $2,501 - $5,000 | $5,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $1,000,000 | Over $1,000,000* | $1,000,001 - $5,000,000 | Over $5,000,000 | Other Income (Specify Type & Actual Amount) | Date (Mo., Day, Yr.) Only if Honoraria |
| 1 | FANNIE MAE | X | | | | | | | | | | | | | | | | | | | X | | | | | | | | | | | | |
| 2 | FRONTIER COMMUNICATIONS CORP | X | | | | | | | | | | | | | | | | | | | | X | | | | | | | | | | | |
| 3 | MCGRAW HILL FINANCIAL INC | | | X | | | | | | | | | | | | | X | | | | | X | | | | | | | | | | | |
| 4 | VANGUARD TOTAL STOCK MKT ETF | | | X | | | | | | | | | | X | | | X | | | | | X | | | | | | | | | | | |
| 5 | VCSP COLLEGE AMERICA 529 (underlying assets follow | | | | | | | | | | | | | X | | | | | | | | | | | | | | | | | | | |
| 6 | AMCAP FUND 529c | | | X | | | | | | | | | | X | | | | | | X | | | | X | | | | | | | | | |
| 7 | THE BOND FUND OF AMERICA - 529c | | | X | | | | | | | | | | X | | | X | | | | | X | | | | | | | | | | | |
| 8 | CAPITAL WORLD BOND FUND - 529c | | | X | | | | | | | | | | X | | | X | | | | X | | | | | | | | | | | | |
| 9 | CAPITAL WORLD GROWTH AND INCOME - 529c | | | X | | | | | | | | | | X | | | X | | | X | | X | | | | | | | | | | | |

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Reporting Individual's Name: Rice, Susan

# SCHEDULE A continued
(Use only if needed)

Page Number: 8

| # | Assets and Income (BLOCK A) | Valuation of Assets at close of reporting period (BLOCK B): None (or less than $1,001) | $1,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $250,000 | $250,001 - $500,000 | $500,001 - $1,000,000 | Over $1,000,000* | $1,000,001 - $5,000,000 | $5,000,001 - $25,000,000 | $25,000,001 - $50,000,000 | Over $50,000,000 | Excepted Investment Fund | Excepted Trust | Qualified Trust | Income (BLOCK C) Type: Dividends | Rent and Royalties | Interest | Capital Gains | Amount: None (or less than $201) | $201 - $1,000 | $1,001 - $2,500 | $2,501 - $5,000 | $5,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $1,000,000 | Over $1,000,000* | $1,000,001 - $5,000,000 | Over $5,000,000 | Other Income (Specify Type & Actual Amount) | Date (Mo., Day, Yr.) Only if Honoraria |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | FUNDAMENTAL INVESTORS - 529c | | | | X | | | | | | | | | X | | | X | | | X | | X | | | | | | | | | | | |
| 2 | GROWTH FUND OF AMERICA - 529c | | | | | X | | | | | | | | X | | | | | | X | | | | | X | | | | | | | | |
| 3 | THE INVESTMENT COMPANY OF AMERICA - 529c | | | X | | | | | | | | | | X | | | X | | | X | | X | | | | | | | | | | | |
| 4 | SMALLCAP WORLD FUND - 529c | | | | X | | | | | | | | | X | | | X | | | | X | | | | | | | | | | | | |
| 5 | RBC SELECT BALANCED PORTFOLIO | | | | | X | | | | | | | | X | | | X | | | | X | | | | | | | | | | | | |
| 6 | ARRINGTON OIL AND GAS (oil and gas lease, Ward County, TX) | | X | | | | | | | | | | | | | | | X | | | | | | X | | | | | | | | | |
| 7 | SILVER CREEK OIL AND GAS (oil and gas lease, Grayson County, TX) | | X | | | | | | | | | | | | | | | X | | | | X | | | | | | | | | | | |
| 8 | JETTA OPERATING CO (oil & gas lease, Grayson County , TX) | | X | | | | | | | | | | | | | | | X | | | X | | | | | | | | | | | | |
| 9 | KELVIN CREEK TIMBER, Victoria, CDA | | | | | | | X | | | | | | | | | X | | | | X | | | | | | | | | | | | |

Income: type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item.

* This category applies only if the asset/income is solely that of the filer's spouse or dependent children. If the asset/income is either that of the filer or jointly held by the filer with the spouse or dependent children, mark the other higher categories of value, as appropriate.

Reporting Individual's Name: Rice, Susan

# SCHEDULE A continued

(Use only if needed)



**Assets and Income** (BLOCK A) | **Valuation of Assets** at close of reporting period (BLOCK B) | **Income:** type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item. (BLOCK C)

| # | Assets and Income (BLOCK A) | None (or less than $1,001) | $1,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $250,000 | $250,001 - $500,000 | $500,001 - $1,000,000 | Over $1,000,000* | $1,000,001 - $5,000,000 | $5,000,001 - $25,000,000 | $25,000,001 - $50,000,000 | Over $50,000,000 | Excepted Investment Fund | Excepted Trust | Qualified Trust | Type: Dividends | Type: Rent and Royalties | Type: Interest | Type: Capital Gains | Amount: None (or less than $201) | $201 - $1,000 | $1,001 - $2,500 | $2,501 - $5,000 | $5,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $1,000,000 | Over $1,000,000* | $1,000,001 - $5,000,000 | Over $5,000,000 | Other Income (Specify Type & Actual Amount) | Date (Mo., Day, Yr.) Only if Honoraria |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | BROOKINGS INSTITUTION DC RETIREMENT PLAN (underlying assets follow) | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 2 | CREF STOCK | | | X | | | | | | | | | | X | | | | | | | X | | | | | | | | | | | | |
| 3 | CREF GROWTH | | X | | | | | | | | | | | X | | | | | | | X | | | | | | | | | | | | |
| 4 | CREF GLOBAL EQUITIES | | X | | | | | | | | | | | X | | | | | | | X | | | | | | | | | | | | |
| 5 | TIAA REAL ESTATE | | X | | | | | | | | | | | X | | | | | | | X | | | | | | | | | | | | |
| 6 | CREF BOND MARKET | | X | | | | | | | | | | | X | | | | | | | X | | | | | | | | | | | | |
| 7 | CREF SOCIAL CHOICE | | X | | | | | | | | | | | X | | | | | | | X | | | | | | | | | | | | |
| 8 | ISHARES S&P/TSX 60 INDEX ETF | | | | X | | | | | | | | | X | | | X | | | X | | | | | X | | | | | | | | |
| 9 | RBC PRIVATE CANADIAN MID CAP EQUITY POOL SERIES O | | | X | | | | | | | | | | X | | | X | | | | | X | | | | | | | | | | | |

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Reporting Individual's Name: Rice, Susan

# SCHEDULE A continued

(Use only if needed)



**Assets and Income** — BLOCK A

**Valuation of Assets** at close of reporting period — BLOCK B

**Income:** type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item. — BLOCK C

| # | Assets and Income (BLOCK A) | None (or less than $1,001) | $1,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $250,000 | $250,001 - $500,000 | $500,001 - $1,000,000 | Over $1,000,000* | $1,000,001 - $5,000,000 | $5,000,001 - $25,000,000 | $25,000,001 - $50,000,000 | Over $50,000,000 | Excepted Investment Fund | Excepted Trust | Qualified Trust | Type: Dividends | Type: Rent and Royalties | Type: Interest | Type: Capital Gains | Amount: None (or less than $201) | Amount: $201 - $1,000 | Amount: $1,001 - $2,500 | Amount: $2,501 - $5,000 | Amount: $5,001 - $15,000 | Amount: $15,001 - $50,000 | Amount: $50,001 - $100,000 | Amount: $100,001 - $1,000,000 | Amount: Over $1,000,000* | Amount: $1,000,001 - $5,000,000 | Amount: Over $5,000,000 | Other Income (Specify Type & Actual Amount) | Date (Mo., Day, Yr.) Only if Honoraria |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | RBC PRIVATE INCOME POOL SERIES O | | | X | | | | | | | | | | X | | | X | | | | | X | | | | | | | | | | | |
| 2 | RBC INTERNATIONAL EQUITY FUND SR O | | | | | X | | | | | | | | X | | | X | | | X | | | | | | X | | | | | | | |
| 3 | ISHARES RUSSELL 1000 ETF | | | | X | | | | | | | | | X | | | X | | | X | | | | | | | X | | | | | | |
| 4 | RBC US MID-CAP EQUITY FD US SERIES O | | | X | | | | | | | | | | X | | | X | | | X | | | | | | X | | | | | | | |
| 5 | DISNEY SAVINGS AND INVESTMENT PLAN 401K (spouse) Underlying assets follow: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 6 | FIDELITY CAP APP UNITIZED | | | | | | X | | | | | | | X | | | X | | | | X | | | | | | | | | | | | |
| 7 | DISNEY STOCK - ESOP | | | | | X | | | | | | | | | | | X | | | | X | | | | | | | | | | | | |
| 8 | BTC LIFEPATH 2025 Q | | | X | | | | | | | | | | X | | | X | | | | X | | | | | | | | | | | | |
| 9 | PNC CASH ACCOUNTS | | | | X | | | | | | | | | | | | | | X | | X | | | | | | | | | | | | |

* This category applies only if the asset/income is solely that of the filer's spouse or dependent children. If the asset/income is either that of the filer or jointly held by the filer with the spouse or dependent children, mark the other higher categories of value, as appropriate.

5 C.F.R. Part 2634
U.S. Office of Government Ethics

Reporting Individual's Name: Rice, Susan

# SCHEDULE A continued
(Use only if needed)



| # | Assets and Income (BLOCK A) | Valuation of Assets at close of reporting period (BLOCK B): None (or less than $1,001) | $1,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $250,000 | $250,001 - $500,000 | $500,001 - $1,000,000 | Over $1,000,000* | $1,000,001 - $5,000,000 | $5,000,001 - $25,000,000 | $25,000,001 - $50,000,000 | Over $50,000,000 | Excepted Investment Fund | Excepted Trust | Qualified Trust | Income (BLOCK C) Type: Dividends | Rent and Royalties | Interest | Capital Gains | Amount: None (or less than $201) | $201 - $1,000 | $1,001 - $2,500 | $2,501 - $5,000 | $5,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $1,000,000 | Over $1,000,000* | $1,000,001 - $5,000,000 | Over $5,000,000 | Other Income (Specify Type & Actual Amount) | Date (Mo., Day, Yr.) Only if Honoraria |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | TD BANK CASH ACCOUNT | | X | | | | | | | | | | | | | | | | X | | X | | | | | | | | | | | | |
| 2 | CAREER CORP | | | | | | X | | | | | | | | | | | | | | X | | | | | | | | | | | | |
| 3 | WASHINGTON INVESTMENT GROUP PARTNERSHIP | X | | | | | | | | | | | | | | | | X | X | | | | | | X | | | | | | | | |
| 4 | TRIPOINTE CAPITAL PARTNERS LLP (Hale and Hearty Restaurant, New York, NY) | | | X | | | | | | | | | | | | | | | | | X | | | | | | | | | | | | |
| 5 | Intentionally left blank | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 6 | MARJORIE CAMERON TRUST CDN CASH | | X | | | | | | | | | | | | | | | | X | | X | | | | | | | | | | | | |
| 7 | MARJORIE CAMERON TRUST US CASH | | X | | | | | | | | | | | | | | | | X | | X | | | | | | | | | | | | |
| 8 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 9 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |

Income: type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item.

* This category applies only if the asset/income is solely that of the filer's spouse or dependent children. If the asset/income is either that of the filer or jointly held by the filer with the spouse or dependent children, mark the other higher categories of value, as appropriate.

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

| Reporting Individual's Name | | Page Number |
|---|---|---|
| Rice, Susan | SCHEDULE B | 12 |

## Part I: Transactions

None ☐

Report any purchase, sale, or exchange by you, your spouse, or dependent children during the reporting period of any real property, stocks, bonds, commodity futures, and other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss.

Do not report a transaction involving property used solely as your personal residence, or a transaction solely between you, your spouse, or dependent child. Check the "Certificate of divestiture" block to indicate sales made pursuant to a certificate of divestiture from OGE.

| | Identification of Assets | Transaction Type (x): Purchase | Sale | Exchange | Date (Mo., Day, Yr.) | Amount of Transaction (x): $1,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $250,000 | $250,001 - $500,000 | $500,001 - $1,000,000 | Over $1,000,000* | $1,000,001 - $5,000,000 | $5,000,001 - $25,000,000 | $25,000,001 - $50,000,000 | Over $50,000,000 | Certificate of divestiture |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Example | Central Airlines Common | x | | | 2/1/99 | | | x | | | | | | | | | |
| 1 | RBC PRIVATE INTERNATIONAL EQUITY POOL TO RBC INTERNATIONAL EQUITY FUND (private international equity merged with international equity fund) | | | X | 11/30/15 | | | | X | | | | | | | | |
| 2 | RBC US MID CAP EQUITY FUND SERIES O | | X | | 12/24/15 | | X | | | | | | | | | | |
| 3 | RBC US MID CAP EQUITY FUND SERIES O | X | | | 12/29/15 | | X | | | | | | | | | | |
| 4 | RBC US MID CAP EQUITY FUND SERIES O | | X | | 3/11/15 | X | | | | | | | | | | | |
| 5 | ISHARES RUSSELL 1000 ETF | | X | | 12/24/15 | | X | | | | | | | | | | |

* This category applies only if the underlying asset is solely that of the filer's spouse or dependent children. If the underlying asset is either held by the filer or jointly held by the filer with the spouse or dependent children, use the other higher categories of value, as appropriate.

## Part II: Gifts, Reimbursements, and Travel Expenses

For you, your spouse and dependent children, report the source, a brief description, and the value of: (1) gifts (such as tangible items, transportation, lodging, food, or entertainment) received from one source totaling more than $350 and (2) travel-related cash reimbursements received from one source totaling more than $350. For conflicts analysis, it is helpful to indicate a basis for receipt, such as personal friend, agency approval under 5 U.S.C. § 4111 or other statutory authority, etc. For travel-related gifts and reimbursements, include travel itinerary, dates, and the nature of expenses provided. Exclude anything given to you by the U.S. Government; given to your agency in connection with official travel; received from relatives; received by your spouse or dependent child totally independent of their relationship to you; or provided as personal hospitality at the donor's residence. Also, for purposes of aggregating gifts to determine the total value from one source, exclude items worth $140 or less. See instructions for other exclusions.

None ☒

| | Source (*Name and Address*) | Brief Description | Value |
|---|---|---|---|
| Examples | Nat'l Assn. of Rock Collectors, NY, NY | Airline ticket, hotel room & meals incident to national conference 6/15/99 (personal activity unrelated to duty) | $500 |
| | Frank Jones, San Francisco, CA | Leather briefcase (personal friend) | $385 |
| 1 | | | |
| 2 | | | |
| 3 | | | |
| 4 | | | |
| 5 | | | |

OGE Form 278 (Rev. 12/2011)
5 C.F.R. Part 2634
U.S. Office of Government Ethics

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

Reporting Individual's Name: Rice, Susan

# SCHEDULE B continued
(Use only if needed)

Page Number

## Part I: Transactions

| # | Identification of Assets | Transaction Type (x): Purchase | Sale | Exchange | Date (Mo., Day, Yr.) | Amount of Transaction (x): $1,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $250,000 | $250,001 - $500,000 | $500,001 - $1,000,000 | Over $1,000,000* | $1,000,001 - $5,000,000 | $5,000,001 - $25,000,000 | $25,000,001 - $50,000,000 | Over $50,000,000 | Certificate of divestiture |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | ISHARES RUSSELL 1000 ETF | | X | | 3/11/15 | | X | | | | | | | | | | |
| 2 | ISHARES S&P/TSX 60 INDEX ETF | | X | | 12/24/15 | | | X | | | | | | | | | |
| 3 | RBC INTERNATIONAL EQUITY FUND SR O | | X | | 12/24/15 | | | | X | | | | | | | | |
| 4 | ISHARES S&P/TSX 60 INDEX ETF | X | | | 12/29/2015 | | | X | | | | | | | | | |
| 5 | RBC INTERNATIONAL EQUITY FUND SR O | X | | | 12/29/2015 | | | | X | | | | | | | | |
| 6 | RBC US MID CAP EQUITY FUND SERIES O | X | | | 12/29/2015 | | X | | | | | | | | | | |
| 7 | ISHARES RUSSELL 1000 ETF | X | | | 12/28/2015 | | | X | | | | | | | | | |
| 8 | ISHARES S&P/TSX 60 | X | | | 3/11/2015 | X | | | | | | | | | | | |
| 9 | RBC PRIVATE CANADIAN MID CAP EQUITY POOL SERIES O | X | | | 3/11/2015 | X | | | | | | | | | | | |
| 10 | RBC PRIVATE INCOME POOL SERIES O | X | | | 3/11/2015 | X | | | | | | | | | | | |
| 11 | | | | | | | | | | | | | | | | | |
| 12 | | | | | | | | | | | | | | | | | |
| 13 | | | | | | | | | | | | | | | | | |
| 14 | | | | | | | | | | | | | | | | | |
| 15 | | | | | | | | | | | | | | | | | |
| 16 | | | | | | | | | | | | | | | | | |

* This category applies only if the underlying asset is solely that of the filer's spouse or dependent children. If the underlying asset is either held by the filer or jointly held by the filer with the spouse or dependent children, use the other higher categories of value, as appropriate.

OGE Form 278 (Rev. 12/2011)
5 C.F.R. Part 2634
U.S. Office of Government Ethics

Reporting Individual's Name: Rice, Susan

# SCHEDULE C

Page Number

## Part I: Liabilities

Report liabilities over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent children. Check the highest amount owed during the reporting period. **Exclude** a mortgage on your personal residence unless it is rented out; loans secured by automobiles, household furniture or appliances; and liabilities owed to certain relatives listed in instructions. See instructions for revolving charge accounts.

None [X]

| | Creditors *(Name and Address)* | Type of Liability | Date Incurred | Interest Rate | Term if applicable | $10,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $250,000 | $250,001 - $500,000 | $500,001 - $1,000,000 | Over $1,000,000* | $1,000,001 - $5,000,000 | $5,000,001 - $25,000,000 | $25,000,001 - $50,000,000 | Over $50,000,000 |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Examples | First District Bank, Washington, DC | Mortgage on rental property, Delaware | 1991 | 8% | 25 yrs. | | | x | | | | | | | | |
| | John Jones, Washington, DC | Promissory note | 1999 | 10 % | on demand | | | | | x | | | | | | |
| 1 | | | | | | | | | | | | | | | | |
| 2 | | | | | | | | | | | | | | | | |
| 3 | | | | | | | | | | | | | | | | |
| 4 | | | | | | | | | | | | | | | | |
| 5 | | | | | | | | | | | | | | | | |

* This category applies only if the liability is solely that of the filer's spouse or dependent children. If the liability is that of the filer or a joint liability of the filer with the spouse or dependent children, mark the other higher categories, as appropriate.

## Part II: Agreements or Arrangements

Report your agreements or arrangements for: (1) continuing participation in an employee benefit plan (e.g. pension, 401k, deferred compensation); (2) continuation of payment by a former employer (including severance payments); (3) leaves of absence; and (4) future employment. See instructions regarding the reporting of negotiations for any of these arrangements or benefits.

None [ ]

| | Status and Terms of any Agreement or Arrangement | Parties | Date |
|---|---|---|---|
| Example | Pursuant to partnership agreement, will receive lump sum payment of capital account & partnership share calculated on service performed through 1/00. | Doe Jones & Smith, Hometown, State | 7/85 |
| 1 | CONTINUING PARTICIPATION IN EMPLOYEE BENEFIT PLAN, TIAA-CREF. SINCE HER TERMINATION OF EMPLOYMENT, NO FURTHER CONTRIBUTIONS HAVE BEEN MADE BY THE FILER OR THE EMPLOYER | BROOKINGS INSTITUTION | 01/03 |
| 2 | | | |
| 3 | | | |
| 4 | | | |
| 5 | | | |
| 6 | | | |

| Reporting Individual's Name | | Page Number |
|---|---|---|
| Rice, Susan | **SCHEDULE D** | |

## Part I: Positions Held Outside U.S. Government

Report any positions held during the applicable reporting period, whether compensated or not. Positions include but are not limited to those of an officer, director, trustee, general partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise or any non-profit organization or educational institution. **Exclude** positions with religious, social, fraternal, or political entities and those solely of an honorary nature.

None ☐

| | Organization *(Name and Address)* | Type of Organization | Position Held | From *(Mo., Yr.)* | To *(Mo., Yr.)* |
|---|---|---|---|---|---|
| Examples | Nat'l Assn. of Rock Collectors, NY, NY | Non-profit education | President | 6/92 | Present |
| | Doe Jones & Smith, Hometown, State | Law firm | Partner | 7/85 | 1/00 |
| 1 | RICE CAMERON FAMILY FOUNDATION | NON PROFIT FAMILY FOUNDATION | TRUSTEE | 12/2008 | PRESENT |
| 2 | | | | | |
| 3 | | | | | |
| 4 | | | | | |
| 5 | | | | | |
| 6 | | | | | |

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

Report sources of more than $5,000 compensation received by you or your business affiliation for services provided directly by you during any one year of the reporting period. This includes the names of clients and customers of any corporation, firm, partnership, or other business enterprise, or any other non-profit organization when you directly provided the services generating a fee or payment of more than $5,000. You need not report the U.S. Government as a source.

**Do not complete this part if you are an Incumbent, Termination Filer, or Vice Presidential or Presidential Candidate.**

None ☐

| | Source *(Name and Address)* | Brief Description of Duties |
|---|---|---|
| Examples | Doe Jones & Smith, Hometown, State | Legal services |
| | Metro University (client of Doe Jones & Smith), Moneytown, State | Legal services in connection with university construction |
| 1 | | |
| 2 | | |
| 3 | | |
| 4 | | |
| 5 | | |
| 6 | | |