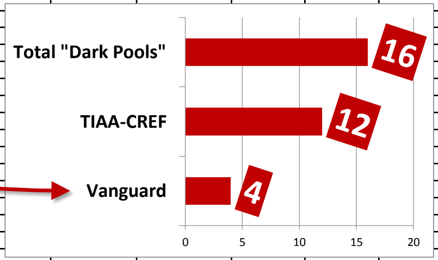
# Lawrence "Larry" Summers, Various Titles,
# Financial Disclosure,  Facebook "dark pools," 2009

**No. of Fund Entries: 16**
**Value/Income:  ≤ $1.5M**

**e.g., Vanguard ranks #9 in fund purchases of Facebook stock after S.E.C. exemption** (*Source: Wall Street Journal*)

| No. | Income and Value | Facebook Club Basket Fund | Undisclosed | J - $0-15 000 | K - $15 001-50 000 | L - $50 001-100 000 | M - $100 001-250 000 | N - $250 001-500 000 | O - $500 001-1 000 000 | P1 - $1 000 001-5 000 000 | P2 - $5 000 000-25 000 000 | P3 - 425 000 001-50 000 000 | P4 - 450 000 000+ | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | J | K | L | M | N | O | P1 | P2 | P3 | P4 | |
| 1 | Harvard University Salary 2008 and 20 | | | | | | | | $ 586,896 | | | | | $ 586,896 |
| 2 | Harvard University Salary (S) | | | | | | | | $ 586,896 | | | | | $ 586,896 |
| 3 | D.E. Shaw & Co., LP Salary | | | | | | | | | $ 1,248,747 | | | | $ 1,248,747 |
| 4 | D.E. Shaw & Co., LP 2008 Income and 2008 Deferred Comp Paid in 2009 | | | | | | | | | $ 2,596,171 | | | | $ 2,596,171 |
| 5 | D.E. Shaw & Co., LLC Salary | | | | | | $ 183,750 | | | | | | | $ 183,750 |
| 6 | D.E. Shaw & Co., LLC 2008 Income and 2007 2008 Deferred Comp Paid in 2009 | | | | | | | | | $ 1,159,955 | | | | $ 1,159,955 |
| 7 | Equity Resource Fund XXIV Investment | | | | | $ 68,820 | | | | | | | | $ 68,820 |
| 8 | Equity Resource Mercury Fund Investment See Note 1 - Statement Attached | | | $ 15,000 | | | | | | | | | | $ 15,000 |
| 9 | Revolution Money Inc Payment Processing System Tampa, FL ) Series A-3 Units) | | | | | | $ 250,000 | | | | | | | $ 250,000 |
| 10 | Revolution Money Inc Payment Processing System Tampa, FL ) Series B-2 Units) | | | | | $ 100,000 | | | | | | | | $ 100,000 |
| 11 | Wylie Agency (UK) Limited, The (Receivable $500) | | | $ 500 | | | | | | | | | | $ 500 |
| 12 | Big Think, Inc. | | | $ 15,000 | | | | | | | | | | $ 15,000 |
| 13 | Roubini Global Economics | | | $ 1,000 | | | | | | | | | | $ 1,000 |
| 14 | Roubini Global Economics | | | | | | $ 147,500 | | | | | | | $ 147,500 |
| 15 | Brookings Institution, The | | | | | $ 60,620 | | | | | | | | $ 60,620 |
| 16 | Ewing M. Kauffman Foundation | | | $ 1,000 | | | | | | | | | | $ 1,000 |
| 17 | Financial Times, The | | | | $ 34,000 | | | | | | | | | $ 34,000 |
| 18 | BCBS of Massechusetts | | | $ [illegible] | | | | | | | | | | $ 3,000 |
| 19 | Gates Foundation, Bill and Melinda | | | $ 4,000 | | | | | | | | | | $ 4,000 |
| 20 | Reliance Makers Chambers, IV | | | | | | $ 187,500 | | | | | | | $ 187,500 |
| 21 | Michael Kinsley Creative Capitalism, Author | | | $ 2,500 | | | | | | | | | | $ 2,500 |
| 22 | Teachers as Scholars (DC), Inc | | | $ 1,320 | | | | | | | | | | $ 1,320 |
| 23 | Massachusetts Institute of Technology - Published Articles See Note 2 - Statement Attach | | | $ 201 | | | | | | | | | | $ 201 |
| 24 | Massachusetts Institute of Technology - 401(K) 75% Stock Fund, 25% Bond Fund | | | $ 2,500 | | | | | | | | | | $ 2,500 |
| 25 | Northwestern Mutual - Term Life Insurance Policy | | | | | | | $ 1,000,000 | | | | | | $ 1,000,000 |
| 26 | Vanguard 500 Index Fd, Harvard (S) 403(b) | 1 | | | | | $ 250,000 | | | | | | | $ 250,000 |
| 27 | Vanguard Global Equity Fund, Harvard (S) 403(b) | 1 | | | $ 50,000 | | | | | | | | | $ 50,000 |
| 28 | Vanguard 500 Index Fund, Vanguard Natl Bureau of Econ Research - 403(B | 1 | | $ 15,000 | | | | | | | | | | $ 15,000 |
| 29 | Vanguard 500 Index Fund, Vanguard Natl Bureau of Econ Research - 401(A | 1 | | | | | $ 250,000 | | | | | | | $ 250,000 |
| 30 | Sterling Trust Defined Benefit Plan (Keogh Plan) See Statement Attached) | | | | | | $ 250,000 | | | | | | | $ 250,000 |
| 31 | TIAA-CREF CREF Global Equities, Harvard 403(b) | 1 | | | | | $ 250,000 | | | | | | | $ 250,000 |
| 32 | TIAA-CREF TIAA Real Estate, Harvard 403(b) | 1 | | $ 1,000 | | | | | | | | | | $ 1,000 |
| 33 | TIAA-CREF CREF Stock, University of Pennsylvania (S) | 1 | | | | $ 100,000 | | | | | | | | $ 100,000 |
| 34 | TIAA-CREF CREF Money Market, Deferred Comp Plan, Harvard 457(b) | 1 | | | $ 50,000 | | | | | | | | | $ 50,000 |
| 35 | TIAA-CREF CREF Stock, Deferred Comp Plan, Harvard University | 1 | | | | $ 100,000 | | | | | | | | $ 100,000 |
| 36 | TIAA-CREF CREF Stock, Tax Deferred Annuity Plan, Natl Bureau of Econ Res | 1 | | $ 15,000 | | | | | | | | | | $ 15,000 |
| 37 | TIAA-CREF CREF Global Eq, Tax Deferred Annuity Plan, Natl Bureau of Econ | 1 | | $ 15,000 | | | | | | | | | | $ 15,000 |
| 38 | TIAA-CREF TIAA Real Estate, Tax Deferred Annuity Plan, Natl Bureau of Eco | 1 | | $ 2,500 | | | | | | | | | | $ 2,500 |
| 39 | TIAA-CREF CREF Bond Mkt, Tax Deferred Annuity Plan, Natl Bureau of Econ | 1 | | $ 15,000 | | | | | | | | | | $ 15,000 |
| 40 | TIAA-CREF CREF Infl Linked Bd, Tax Deferred Annuity Plan, Natl Bureau of E | 1 | | $ 15,000 | | | | | | | | | | $ 15,000 |
| 41 | TIAA-CREF CREF Stock, Deferred Comp Plan, Harvard University 457(b) | 1 | | | | $ 100,000 | | | | | | | | $ 100,000 |
| 42 | TIAA-CREF CREF Stock, Harvard RIP | 1 | | | | | $ 250,000 | | | | | | | $ 250,000 |
| | | | | | | | | | | | | | | $ - |
| | | | | | | | | | | | | | | $ - |
| | | 16 | | $ 124,521 | $ 134,000 | $ 529,440 | $ 2,018,750 | $ 1,000,000 | $ 1,173,792 | $ 5,004,873 | $ - | $ - | $ - | $ 9,985,376 |
| | | | | $ 124,521 | $ 258,521 | $ 787,961 | $ 2,806,711 | $ 3,806,711 | $ 4,980,503 | $ 9,985,376 | | | | |




## Facebook Shares as of June 30, 2012

| RANK | NAME | TOTAL AUM | FB SHARES AS OF JUNE 30 |
|---|---|---|---|
| 1 | Goldman Sachs Asset Management, L.P. (U.S.) | 82,329.1 | 36,634,486.0 |
| 2 | Baillie Gifford & Company | 60,809.1 | 19,380,440.0 |
| 3 | Fidelity Management & Research Company | 544,656.5 | 18,774,915.0 |
| 4 | T. Rowe Price Associates, Inc. | 338,744.6 | 18,663,997.0 |
| 5 | Morgan Stanley Investment Management, Inc. (U.S.) 54,113.2 | 54,113.2 | 16,362,788.0 |
| 6 | BlackRock Fund Advisors | 768,143.8 | 11,690,656.0 |
| 7 | Sands Capital Management, LLC | 22,157.4 | 11,649,292.0 |
| 8 | Jennison Associates, LLC | 80,316.4 | 9,691,825.0 |
| 9 | The Vanguard Group, Inc. | 908,526.5 | 9,582,480.0 |
| 10 | Capital Research Global Investors (U.S.) | 366,059.2 | 8,273,200.0 |

Source: "Who Else Has a Big Bet on Facebook" by Telis Demos, *The Wall Street Journal*, Aug. 24, 2012

**Summary of Facebook "Dark Pool" Funds**

| | No. | |
|---|---|---|
| Vanguard | 4 | $ 565,000 |
| TIAA-CREF | 12 | $ 913,500 |
| Total "Dark Pools" | **16** | $ 1,478,500 |

**5 C.F.R. Part 2635: Standards of ethical conduct for employees of the executive branch, Subpart E – Impartiality in Performing Official Duties**

". . .avoid an appearance of loss of impartiality."

SF278 (Rev. 03/2000)
5 C.F.R Part 2634
U.S. Office of Government Ethics

Form Approved
OMB No. 3209-0001

# Executive Branch Personnel PUBLIC FINANCIAL DISCLOSURE REPORT

Date of Appointment, Candidacy, Election or Nomination (*Month, Day, Year*): January 20, 2009

Reporting Status (*Check appropriate boxes*): ☐ Incumbent; Calendar Year Covered by Report: ; ☒ New Entrant, Nominee, or Candidate; ☐ Termination Filer; Termination Date (*If Applicable*) (*Month, Day, Year*):

**Reporting Individual's Name**
Last Name: SUMMERS
First Name and Middle Initial: LAWRENCE H.

**Position for Which Filing**
Title of Position: DIRECTOR
Department or Agency (*If Applicable*): NATIONAL ECONOMIC COUNCIL

**Location of Present Office (or forwarding address)**
Address (*Number, Street, City, State, and ZIP Code*):
WHITE HOUSE, WEST WING
1600 PENNSYLVANIA AVE NW WASHINGTON, DC 20500
Telephone No. (*Include Area Code*): (202) 456-1337

**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? ☐ Yes ☐ No

**Certification**
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:
Date (*Month, Day, Year*): 2/23/0~~8~~ 9

**Other Review (If desired by agency)**
Signature of Other Reviewer:
Date (*Month, Day, Year*): 03.23.09

**Agency Ethics Official's Opinion**
On the basis of information contained in this report, I conclude that the filer is in compliance with applicable laws and regulations (subject to any comments in the box below)
Signature of Designated Agency Ethics Official/Reviewing Official:
Date (*Month, Day, Year*): 3/23/09

**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 ________*) ☐

(*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**

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278-112
Form Designed in Microsoft Excel 2000
NSN 7540-01-070-8444

# Funds that do not qualify under the "safe harbor" mutual fund exemption from disclosure rule include:

(1) most IRAs;
(2) funds that issue regular reports where the judge knows or should know the stocks in his portfolio;
(3) funds with notoriously public activity (e.g., T. Rowe Price and Fidelity pre-IPO Facebook investing);
(4) undisclosed purchases of "dark" instruments which conceal activity subject to transparency laws;
(5) law firm 401(k) retirement accounts;
(6) funds where stocks are held in the judge's (or spouse) name —"even one share"; and
(7) funds where there is an appearance of impropriety.

**Sources:**

Guide to Judiciary Policy, Ethics & Judicial Conduct, Vol. 2B, Ch. 2, see esp. Section 106, U.S. Courts , United States Department of Justice <http://www.uscourts.gov/uscourts/RulesAndPolicies/conduct/Vol02B-Ch02.pdf>;

*See* also <https://docs.google.com/file/d/0B2SfG2nEsMfqSVQ4dFUyWGNHS0E/edit> and <http://www.scribd.com/doc/199638078/Guide-to-Judiciary-Policy-Vol-02-Ethics-and-Judicial-Conduct-Part-B-Ethics-Advisory-Opinions-Ch-02-Published-Advisory-Opinions-acesssed-Jan>.

THE WALL STREET JOURNAL.
WSJ.com

August 24, 2012, 2:18 PM ET

# Who Else Has a Big Bet on Facebook

ByTelis Demos

We reported this morning about the concentration of Facebook stock in the portfolio of one group of investors, several mutual funds operated by Morgan Stanley Asset Management. But that is not where the concentration of Facebook stock ends.

AFP/Getty Images

According to fresh data from Ipreo, which has tallied up the public filings by all investors, a relatively large chunk of Facebook stock  just three months after its $16 billion IPO in May is held by the company's 10 largest institutional investors (that excludes insiders, like CEO Mark Zuckerberg, and the early VC investors, like Accel Partners).

The top 10 "accounts," in banker-speak, represent about 50% of Facebook's institutional ownership, according to Ipreo, the capital markets data firm. That tops the 42% concentration for the top 10 institutions for all second quarter tech IPOs three months after they went public. Across more comparable $1 billion-plus IPOs since 2010, the concentration is even lighter: The top 10 institutional accounts held 32% of those companies' shares.

This data, keep in mind, does not tell us who bought the IPO. That's a closely guarded secret held by the lead underwriters. These figures are based on public disclosures as of June 30. They are at best a proxy for how the IPO was actually distributed.

So who are the biggest betters — by total number of shares, not necessarily by weighting within the fund – on Facebook? Morgan Stanley Asset Management is only the fifth largest holder by that measure, according to Ipreo. Above them are Goldman Sachs Asset Management, Baillie Gifford & Company, Fidelity Investments, and T. Rowe Price Group Inc. Rounding out the top 10 are BlackRock Inc., Sands Capital Management LLC, Jennison Associates LLC, The Vanguard Group Inc. and Capital Research Global Advisors Inc.

Some of those investors were big pre-IPO holders. Goldman Sachs famously marketed a fund with pre-IPO Facebook stock to international investors, which accounts for a big chunk of its holdings. T. Rowe Price and Fidelity also bought in before the IPO. The point here is that they all may still be sitting on Facebook stock gains, depending on when exactly they got into the stock.

Others, however, appear to have gotten in primarily via the IPO, or after it began trading. That includes Baillie Gifford, an Edinburgh-based fund management giant that manages assets of £76.0 billion ($120 billion). They are a sub-advisor to some large fund management families, like Vanguard, but also manage money on behalf of giant pension funds such as the California Public Employees' Retirement System (CALPERS), the New York City Police Pension Fund and the Korea National Pension Service, according to their website. The firm did not return requests for an interview.

Some of the big investors are also there just because they have to be. BlackRock and Vanguard operate many index funds that may have bought Facebook stock solely because it likely will be a member someday of indexes such as the S&P 500 and Nasdaq 100, and is already in indexes such as the Russell 1000.

What speaks loudly are the absences of firms that are typically very big holders of recently IPO'd companies. Citadel Advisors, which bought 17 other second-quarter IPOs according to Ipreo, owned just 167,164 Facebook shares at the end of June. Wellington Management Company LLP and Lord Abbett & Company LLC, which bought 11 second quarter IPOs, both held fewer than 1m shares. For context, Baillie Gifford reported holding 19 million shares.

| RANK | NAME | TOTAL AUM | FB SHARES AS OF JUNE 30 |
|---|---|---|---|
| 1 | Goldman Sachs Asset Management, L.P. (U.S.) | 82,329.1 | 36,634,486.0 |
| 2 | Baillie Gifford & Company | 60,809.1 | 19,380,440.0 |
| 3 | Fidelity Management & Research Company | 544,656.5 | 18,774,915.0 |
| 4 | T. Rowe Price Associates, Inc. | 338,744.6 | 18,663,997.0 |
| 5 | Morgan Stanley Investment Management, Inc. (U.S.) 54,113.2 | 54,113.2 | 16,362,788.0 |
| 6 | BlackRock Fund Advisors | 768,143.8 | 11,690,656.0 |
| 7 | Sands Capital Management, LLC | 22,157.4 | 11,649,292.0 |
| 8 | Jennison Associates, LLC | 80,316.4 | 9,691,825.0 |
| 9 | The Vanguard Group, Inc. | 908,526.5 | 9,582,480.0 |
| 10 | Capital Research Global Investors (U.S.) | 366,059.2 | 8,273,200.0 |

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

Reporting Individual's Name

SUMMERS. LAWRENCE H.

# 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 amount 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

Type | Amount

| | 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 | 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 |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Examples | Central Airlines Common | | | | x | | | | | | | | | | | | x | | | | | | x | | | | | | | | | | |
| | Doe Jones & Smith, Hometown, State | | | x | | | | | | | | | | | | | | | | | | | | | | | | | | | | Law Partnership Income $130,000 | |
| | Kempstone Equity Fund | | | | | x | | | | | | | | x | | | | | | | | | | x | | | | | | | | | |
| | IRA: Heartland 500 Index Fund | | | | | | | x | | | | | | x | | | | | | | | | | | x | | | | | | | | |
| 1 | HARVARD UNIVERSITY<br>SALARY 2008 AND 2009 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | SALARY<br>$586,896.00 | |
| 2 | (S) HARVARD UNIVERSITY | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | SALARY | |
| 3 | D.E. SHAW & CO., LP<br>SALARY | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | SALARY<br>$1,248,747.00 | |
| 4 | D.E. SHAW & CO., LP<br>2008 INCOME AND 2008<br>DEFERRED COMP PAID IN 2009 | X | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | DISTRIBUTIVE<br>SH OF PSHIP INC<br>$2,596,171.00 | |
| 5 | D.E. SHAW & CO., LLC<br>SALARY | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | SALARY<br>$183,760.00 | |
| 6 | D.E. SHAW & CO., LLC<br>2008 INCOME AND 2007-2008<br>DEFERRED COMP PAID IN 2009 | X | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | DISTRIBUTIVE<br>SH OF PSHIP INC<br>$1,159,955 | |

* 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.

Prior Editions Cannot be Used.

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5 C.F.R Part 2634
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Reporting Individual's Name
SUMMERS, LAWRENCE H.

## SCHEDULE A continued
(Use only if needed)

| | Assets and Income<br>BLOCK A | Valuation of Assets at close of reporting period<br>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.<br>BLOCK C | | | | | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | | | | | | | | | | | | | Type | | | | Amount | | | | | | | | | | | | |
| | None ☐ | 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 | EQUITY RESOURCE FUND XXIV INVESTMENT | | | | | | X | | | | | | | X | | | | | | | | | | | | | | | | | | DISTRIBUTIVE SH OF PSHIP INC = $68,820 | |
| 2 | EQUITY RESOURCE MERCURY FUND INVESTMENT<br>SEE NOTE 1 - STATEMENT ATTACHED | | | | | X | | | | | | | | X | | | | | | | X | | | | | | | | | | | | |
| 3 | REVOLUTION MONEY INC<br>PAYMENT PROCESSING SYSTEM<br>TAMPA, FL (SERIES A-3 UNITS) | | | | | X | | | | | | | | | | | | | | | X | | | | | | | | | | | | |
| 4 | REVOLUTION MONEY INC<br>PAYMENT PROCESSING SYSTEM<br>TAMPA, FL (SERIES B-2 PREF UNITS) | | | | X | | | | | | | | | | | | | | | | X | | | | | | | | | | | | |
| 5 | THE WYLIE AGENCY (UK) LIMITED<br>(RECEIVABLE $500) | X | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | $52,807 COLUMNIST | |
| 6 | BIG THINK, INC. | X | | | | | | | | | | | | | | | | | X | | | | | | X | | | | | | | INTEREST PAID ON LOAN | |
| 7 | ROUBINI GLOBAL ECONOMICS | X | | | | | | | | | | | | | | | | | | X | | | | | | X | | | | | | GAIN ON DISPOSITION | |
| 8 | ROUBINI GLOBAL ECONOMICS | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | ADV. BOARD COMPENSATION $147,500 | |
| 9 | THE BROOKINGS INSTITUTION | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | EDITOR COMPENSATION $60,820 | |

* 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 categ

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Reporting Individual's Name: SUMMERS, LAWRENCE H.

# SCHEDULE A continued

(Use only if needed)

Page Number 6

| | 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 ☐ | 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 | EWING M. KAUFFMAN FOUNDATION | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | $1,000<br>PERMISSION FEE | |
| 2 | THE FINANCIAL TIMES | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | $34,000<br>COLUMNIST | |
| 3 | BCBS OF MASSACHUSETTS | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | ADV. BOARD COMPENSATION<br>$3,000 | |
| 4 | BILL & MELINDA GATES FOUNDATION | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | ADV. BOARD COMPENSATION<br>$4,000 | |
| 5 | RELIANCE, MAKERS CHAMBERS - IV | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | ADV. BOARD COMPENSATION<br>$187,500 | |
| 6 | MICHAEL KINSLEY<br>CREATIVE CAPITALISM, AUTHOR | X | | | | | | | | | | | | | | | | X | | | | | X | | | | | | | | | | |
| 7 | (DC) TEACHERS AS SCHOLARS, INC | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | $1,320<br>COMPENSATION | |
| 8 | MASSACHUSETTS INSTITUTE OF TECHNOLOGY - PUBLISHED ARTICLES<br>SEE NOTE 2 - STATEMENT ATTACHED | | | | | | | | | | | | | | | | | X | | | X | | | | | | | | | | | ROYALTIES FOR PUBLISHED ARTICLES | |
| 9 | MASSACHUSETTS INSTITUTE OF TECHNOLOGY - 401(K)<br>75% STOCK FUND, 25% BOND FUND | | | X | | | | | | | | | | X | | | | | | | | | X | | | | | | | | | | |

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Reporting Individual's Name

SUMMERS, LAWRENCE H.

# SCHEDULE A continued

(Use only if needed)

Page Number 5

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| | | | | | | | | | | | | | | | | | Type | | | | Amount | | | | | | | | | | | |
| | None ☐ | 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 | NORTHWESTERN MUTUAL - TERM LIFE INSURANCE POLICY | | | | | | | X | | | | | | | | | X | | X | | | | X | | | | | | | | | | |
| 2 | (S) HARVARD 403(b) - VANGUARD 500 INDEX FD | | | | | X | | | | | | | | X | | | | | | | | | | | X | | | | | | | | |
| 3 | (S) HARVARD 403(b) - VANGUARD GLOBAL EQUITY FUND | | | X | | | | | | | | | | X | | | | | | | | | X | | | | | | | | | | |
| 4 | VANGUARD NATL BUREAU OF ECON RESEARCH - 403(B)7 PLAN VANGUARD 500 INDEX FUND | | X | | | | | | | | | | | X | | | | | | | | X | | | | | | | | | | | |
| 5 | VANGUARD NATL BUREAU OF ECON RESEARCH - 401(A) PLAN VANGUARD 500 INDEX FUND | | | | | X | | | | | | | | X | | | | | | | | | | | X | | | | | | | | |
| 6 | STERLING TRUST DEFINED BENEFIT PLAN (KEOGH PLAN) SEE STATEMENT ATTACHED | | | | | X | | | | | | | | | | | X | | X | X | | | | | X | | | | | | | | |
| 7 | TIAA-CREF HARVARD 403(b) CREF GLOBAL EQUITIES | | | | | X | | | | | | | | X | | | | | | | | | | | X | | | | | | | | |
| 8 | TIAA-CREF HARVARD 403(b) TIAA REAL ESTATE | | X | | | | | | | | | | | X | | | | | | | | | | | X | | | | | | | | |
| 9 | (S) UNIVERSITY OF PENNSYLVANIA TIAA-CREF - CREF STOCK | | | | X | | | | | | | | | X | | | | | | | | | | | X | | | | | | | | |

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Reporting Individual's Name: SUMMERS, LAWRENCE H.

# SCHEDULE A continued

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| | Assets and Income<br>BLOCK A | Valuation of Assets at close of reporting period<br>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.<br>BLOCK C | | | | | | | | | | | | | | | | | |
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| | | | | | | | | | | | | | | | | | Type | | | | Amount | | | | | | | | | | | | |
| | None ☐ | 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 | (S) TIAA-CREF HARVARD 457(B) DEFERRED COMP PLAN - CREF MONEY MARKET | | | X | | | | | | | | | | X | | | | | | | | | X | | | | | | | | | | |
| 2 | TIAA-CREF HARVARD UNIVERSITY - DEFERRED COMPENSATION PLAN - CREF STOCK | | | | X | | | | | | | | | X | | | | | | | | | | | X | | | | | | | | |
| 3 | TIAA-CREF NATL BUREAU OF ECON RESEARCH - TAX DEFERRED ANNUITY PLAN - CREF STOCK | | X | | | | | | | | | | | X | | | | | | | | | X | | | | | | | | | | |
| 4 | TIAA-CREF NATL BUREAU OF ECON RESEARCH - TAX DEFERRED ANNUITY PLAN - CREF GLOBAL EQ | | X | | | | | | | | | | | X | | | | | | | | | X | | | | | | | | | | |
| 5 | TIAA-CREF NATL BUREAU OF ECON RESEARCH - TAX DEFERRED ANNUITY PLAN - TIAA REAL ESTATE | X | | | | | | | | | | | | X | | | | | | | | | X | | | | | | | | | | |
| 6 | TIAA-CREF NATL BUREAU OF ECON RESEARCH - TAX DEFERRED ANNUITY PLAN - CREF BOND MKT | | X | | | | | | | | | | | X | | | | | | | | X | | | | | | | | | | | |
| 7 | TIAA-CREF NATL BUREAU OF ECON RESEARCH - TAX DEFERRED ANNUITY PLAN-CREF INFL LINKED BD | | X | | | | | | | | | | | X | | | | | | | | X | | | | | | | | | | | |
| 8 | TIAA-CREF HARVARD UNIVERSITY 457(b) DCP - CREF STOCK | | | | X | | | | | | | | | X | | | | | | | | | | | X | | | | | | | | |
| 9 | TIAA-CREF HARVARD RIP CREF STOCK | | | | | X | | | | | | | | X | | | | | | | | | | | | X | | | | | | | |

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SUMMERS, LAWRENCE H.

## SCHEDULE A continued

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| 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: 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: 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 |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| None ☐ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 1 TIAA-CREF HARVARD RIP CREF GLOBAL EQUITIES | | | | | X | | | | | | | | X | | | | | | | | | | | | X | | | | | | | |
| 2 TIAA-CREF HARVARD RIP TIAA REAL ESTATE | X | | | | | | | | | | | | X | | | | | | | | | | | X | | | | | | | | |
| 3 TIAA-CREF HARVARD RIP CREF BOND MARKET | | | | X | | | | | | | | | X | | | | | | | | | | | X | | | | | | | | |
| 4 TIAA-CREF HARVARD RIP CREF INFLATION LINKED BOND | | | X | | | | | | | | | | X | | | | | | | | | | X | | | | | | | | | |
| 5 TIAA-CREF HARVARD 403(b) TIAA TRADITIONAL | | | | X | | | | | | | | | | | | | | X | | | | | | X | | | | | | | | |
| 6 (DC) BROOKLINE BANK CERTIFICATE OF DEPOSIT | | X | | | | | | | | | | | | | | | | X | | | X | | | | | | | | | | | |
| 7 (S) BROOKLINE BANK SAVINGS ACCOUNT | X | | | | | | | | | | | | | | | | | X | | | | | X | | | | | | | | | |
| 8 BANK OF AMERICA IRA - COLUMBIA CASH RESERVES DAILY | | X | | | | | | | | | | | X | | | | | | | X | | | | | | | | | | | | |
| 9 BANK OF AMERICA IRA - I SHARES TR MSCI EAFE INDEX | | | X | | | | | | | | | | X | | | | | | | | | | X | | | | | | | | | |

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| Reporting Individual's Name | | Page Number |
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| SUMMERS, LAWRENCE H | **SCHEDULE A continued**<br>(Use only if needed) | 8 |

| | Assets and Income<br>BLOCK A | Valuation of Assets at close of reporting period<br>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.<br>BLOCK C | | | | | | | | | | | | | | | | |
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| | | | | | | | | | | | | | | | | | Type | | | | Amount | | | | | | | | | | | | |
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| 1 | BANK OF AMERICA IRA - I SHARES TR RUSSELL 1000 GROWTH | | | X | | | | | | | | | | X | | | | | | | | X | | | | | | | | | | | |
| 2 | BANK OF AMERICA IRA - I SHARES TR RUSSELL 1000 VALUE INDEX | | | X | | | | | | | | | | X | | | | | | | | | X | | | | | | | | | | |
| 3 | BANK OF AMERICA IRA - I SHARES TR RUSSELL 2000 INDEX | X | | | | | | | | | | | | X | | | | | | | X | | | | | | | | | | | | |
| 4 | BANK OF AMERICA IRA - I SHARES TR S&P MICAP 400 GROWTH | | X | | | | | | | | | | | X | | | | | | | X | | | | | | | | | | | | |
| 5 | BANK OF AMERICA IRA - I SHARES TR S&P MIDCAP 400 VALUE | | X | | | | | | | | | | | X | | | | | | | X | | | | | | | | | | | | |
| 6 | BANK OF AMERICA IRA - S&P 500 DEPOSITORY RECEIPT | X | | | | | | | | | | | | X | | | | | | | X | | | | | | | | | | | | |
| 7 | BANK OF AMERICA - SELF-EMPLOYED PROFIT SHARING PLAN - COLUMBIA CASH RESERVES DAILY | | X | | | | | | | | | | | X | | | | | | | X | | | | | | | | | | | | |
| 8 | BANK OF AMERICA - SELF-EMPLOYED PROFIT SHARING PLAN - ISHARES TR C&S REALTY | X | | | | | | | | | | | | X | | | | | | | | | | X | | | | | | | | | |
| 9 | BANK OF AMERICA - SELF-EMPLOYED PROFIT SHARING PLAN - ISHARES TR MSCI EAFE | | | X | | | | | | | | | | X | | | | | | | | | | X | | | | | | | | | |

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| SUMMERS, LAWRENCE H. | **SCHEDULE A continued**<br>(Use only if needed) | 9 |

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| 1 | BANK OF AMERICA - SELF-EMPLOYED PROFIT SHARING PLAN - ISHARES TR MSCI EMERGING MKTS | | X | | | | | | | | | | | X | | | | | | | | X | | | | | | | | | | | |
| 2 | BANK OF AMERICA - SELF-EMPLOYED PROFIT SHARING PLAN - ISHARES TR RUSSELL 1000 VALUE | | | X | | | | | | | | | | X | | | | | | | | | X | | | | | | | | | | |
| 3 | BANK OF AMERICA - SELF-EMPLOYED PROFIT SHARING PLAN - ISHARES TR RUSSELL 1000 GROWTH | | | X | | | | | | | | | | X | | | | | | | | X | | | | | | | | | | | |
| 4 | BANK OF AMERICA - SELF-EMPLOYED PROFIT SHARING PLAN - ISHARES TR RUSSELL 2000 INDEX | | X | | | | | | | | | | | X | | | | | | | X | | | | | | | | | | | | |
| 5 | BANK OF AMERICA - SELF-EMPLOYED PROFIT SHARING PLAN - ISHARES TR S&P MICAP 400 VAL | | X | | | | | | | | | | | X | | | | | | | X | | | | | | | | | | | | |
| 6 | BANK OF AMERICA - SELF-EMPLOYED PROFIT SHARING PLAN - ISHARES TR S&P MICAP 400 GR | | X | | | | | | | | | | | X | | | | | | | X | | | | | | | | | | | | |
| 7 | BANK OF AMERICA - SELF-EMPLOYED PROFIT SHARING PLAN - S&P 500 SPY | | X | | | | | | | | | | | X | | | | | | | X | | | | | | | | | | | | |
| 8 | BANK OF AMERICA - SELF-EMPLOYED PROFIT SHARING PLAN - SECTOR SPDR - ENERGY | X | | | | | | | | | | | | X | | | | | | | | X | | | | | | | | | | | |
| 9 | BANK OF AMERICA - SELF-EMPLOYED PROFIT SHARING PLAN - SECTOR SPDR - INT MATERIALS | X | | | | | | | | | | | | X | | | | | | | | X | | | | | | | | | | | |

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# SCHEDULE A continued

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| | | | | | | | | | | | | | | | | | Type | | | | Amount | | | | | | | | | | | |
| | None ☐ | 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 | BANK OF AMERICA - SELF-EMPLOYED PROFIT SHARING PLAN - TRI CONTINENTAL CORP | | | X | | | | | | | | | | X | | | | | | | | | | | X | | | | | | | | |
| 2 | (J) BANK OF AMERICA - COLUMBIA MUNICIPAL RES DAILY | | | | | | | | | | X | | | X | | | | | | | | | | | | | X | | | | | | |
| 3 | (J) BANK OF AMERICA - ISHARES TR MSCI EAFE INDEX | | | | | | X | | | | | | | X | | | | | | | | | | | | X | | | | | | | |
| 4 | (J)BANK OF AMERICA - ISHARES TR RUSSELL 1000 INDEX | | | X | | | | | | | | | | X | | | | | | | | | X | | | | | | | | | | |
| 5 | (J) BANK OF AMERICA - ISHARES TR RUSSELL 2000 INDEX | | | | | | X | | | | | | | X | | | | | | | | | | | X | | | | | | | | |
| 6 | (J)BANK OF AMERICA - ISHARES TR RUSSELL 2000 VALUE | | X | | | | | | | | | | | X | | | | | | | | X | | | | | | | | | | | |
| 7 | (J)BANK OF AMERICA - ISHARES TR RUSSELL 1000 GROWTH | | | X | | | | | | | | | | X | | | | | | | | X | | | | | | | | | | | |
| 8 | (J)BANK OF AMERICA - ISHARES TR RUSSELL 1000 VALUE | | | X | | | | | | | | | | X | | | | | | | | X | | | | | | | | | | | |
| 9 | (J)BANK OF AMERICA - ISHARES TR S&P MICAP GR | | X | | | | | | | | | | | X | | | | | | | X | | | | | | | | | | | | |

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| Reporting Individual's Name | | Page Number |
|---|---|---|
| SUMMERS, LAWRENCE H | **SCHEDULE A continued**<br>(Use only if needed) | 11 |

| | Assets and Income<br>BLOCK A | Valuation of Assets at close of reporting period<br>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.<br>BLOCK C | | | | | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | | | | | | | | | | | | | Type | | | | Amount | | | | | | | | | | | | |
| | None ☐ | 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 | (J)BANK OF AMERICA - ISHARES TR S&P MICAP VAL | | X | | | | | | | | | | | X | | | | | | | X | | | | | | | | | | | | |
| 2 | (J)BANK OF AMERICA - S&P 500 DEPOSITORY RECEIPTS | | | | | | X | | | | | | | X | | | | | | | | | | | X | | | | | | | | |
| 3 | (J)BANK OF AMERICA - COLUMBIA MUTUAL FUNDS<br>SEE STATEMENT ATTACHED | | | X | | | | | | | | | | X | | | | | | | | X | | | | | | | | | | | |
| 4 | (J)BANK OF AMERICA - DWS LARGE CAP VALUE FUND | | | | X | | | | | | | | | X | | | | | | | | | | X | | | | | | | | | |
| 5 | OBAMA-BIDEN TRANSITION | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | SALARY $5,811 | |
| 6 | FOREIGN POLICY ASSOCIATION | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | $1,000 SPEAKING ENGAGEMENT | 4/9/2008 |
| 7 | FINANCIAL TIMES | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | $60,000 SPEAKING ENGAGEMENT | |
| 8 | ITINERA INSTITUTE | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | $62,876 SPEAKING ENGAGEMENT | 1/8/2008 |
| 9 | SKAGEN FUNDS | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | $60,300 SPEAKING ENGAGEMENT | 1/9/2008 |

* 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 categ

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| Reporting Individual's Name | | Page Number |
|---|---|---|
| SUMMERS, LAWRENCE H. | **SCHEDULE A continued**<br>(Use only if needed) | 12 |

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

None ☐

| | 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 |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | SKAGEN FUNDS | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | $60,300<br>SPEAKING<br>ENGAGEMENT | 1/10/2008 |
| 2 | SKAGEN FUNDS | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | $59,400<br>SPEAKING<br>ENGAGEMENT | 1/11/2008 |
| 3 | JP MORGAN | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | $67,500<br>SPEAKING<br>ENGAGEMENT | 2/1/2008 |
| 4 | PRICEWATERHOUSE COOPERS LLP | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | $25,000<br>(DONATED TO<br>CHARITY) | 02/14/08 |
| 5 | TAX COUNCIL POLICY INSTITUTE | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | $45,000<br>SPEAKING<br>ENGAGEMENT | 2/20/2008 |
| 6 | CITIGROUP | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | $45,000<br>SPEAKING<br>ENGAGEMENT | 3/3/2008 |
| 7 | PENSION REAL ESTATE ASSOCIATION | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | $67,500<br>SPEAKING<br>ENGAGEMENT | 3/28/2008 |
| 8 | ASOCIACION DE BANCOS DE MEXICO | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | $90,000<br>SPEAKING<br>ENGAGEMENT | 4/3/2008 |
| 9 | GOLDMAN, SACHS & CO. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | $135,000<br>SPEAKING<br>ENGAGEMENT | 4/18/2008 |

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Prior Editions Cannot be Used.

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Reporting Individual's Name

SUMMERS, LAWRENCE H.

# SCHEDULE A continued

(Use only if needed)

| | Assets and Income<br>BLOCK A | Valuation of Assets at close of reporting period<br>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.<br>BLOCK C | | | | | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | | | | | | | | | | | | | Type | | | | Amount | | | | | | | | | | | | |
| | None ☐ | 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 | LEHMAN BROTHERS | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | $67,500 SPEAKING ENGAGEMENT | 4/17/2008 |
| 2 | STATE STREET CORPORATION | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | $45,000 SPEAKING ENGAGEMENT | 4/18/2008 |
| 3 | CEO 100 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | $45,000 SPEAKING ENGAGEMENT | 4/24/2008 |
| 4 | YALE UNIVERSITY | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | $10,000 SPEAKING ENGAGEMENT | 4/29/08 |
| 5 | SIGULER GUFF & COMPANY | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | $67,500 SPEAKING ENGAGEMENT | 5/5/2008 |
| 6 | AMERICAN EXPRESS | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | $67,500 SPEAKING ENGAGEMENT | 5/7/2008 |
| 7 | CENTRO DE LIDERAZGO Y GESTION | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | $112,500 SPEAKING ENGAGEMENT | 5/12/2008 |
| 8 | TA ASSOCIATES | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | $67,500 SPEAKING ENGAGEMENT | 5/12/2008 |
| 9 | HUDSON INSTITUTE | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | $10,000 SPEAKING ENGAGEMENT | 05/28/08 |

* 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.

Prior Editions Cannot be Used.

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Reporting Individual's Name: SUMMERS, LAWRENCE H.

# SCHEDULE A continued

(Use only if needed)

| Assets and Income<br>BLOCK A | Valuation of Assets at close of reporting period<br>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.<br>BLOCK C | | | | | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | | | | | | | | | | | | Type | | | | Amount | | | | | | | | | | | | |
| None ☐ | 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 CITIGROUP NA | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | $54,000 SPEAKING ENGAGEMENT | 5/30/2008 |
| 2 INVESTEC BANK | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | $157,500 SPEAKING ENGAGEMENT | 6/13/2008 |
| 3 GOLDMAN SACHS | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | $67,500 SPEAKING ENGAGEMENT | 8/18/2008 |
| 4 LEHMAN BROTHERS | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | $67,500 SPEAKING ENGAGEMENT | 7/30/2008 |
| 5 PRICEWATERHOUSE COOPERS LLP | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | $67,500 SPEAKING ENGAGEMENT | 9/9/2008 |
| 6 TATA CONSULTANCY SERVICES | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | $67,500 SPEAKING ENGAGEMENT | 9/21/2008 |
| 7 STATE STREET CORPORATION | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | $112,500 SPEAKING ENGAGEMENT | 10/2/2008 |
| 8 LEADERS AND COMPANY LTD. (THISDAY NEWSPAPER GROUP) | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | $225,000 SPEAKING ENGAGEMENT | 10/3/2008 |
| 9 AMERICAN CHAMBER OF COMMERCE IN ARGENTINA | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | $135,000 SPEAKING ENGAGEMENT | 10/7/2008 |

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| Reporting Individual's Name | | Page Number |
|---|---|---|
| SUMMERS, LAWRENCE H. | **SCHEDULE A continued**<br>(Use only if needed) | 15 |

| Assets and Income<br>BLOCK A | Valuation of Assets at close of reporting period<br>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.<br>BLOCK C | | | | | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | | | | | | | | | | | | Type | | | | Amount | | | | | | | | | | | | |
| None ☐ | 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 UNIVERSIDAD AUTONOMA DEL ESTADO DE BAJA CALIFORNIA | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | $103,500 SPEAKING ENGAGEMENT | 10/18/2008 |
| 2 McKINSEY AND COMPANY | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | $135,000 SPEAKING ENGAGEMENT | 10/19/2008 |
| 3 IESE BUSINESS SCHOOL | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | $112.500 SPEAKING ENGAGEMENT | 10/24/2008 |
| 4 (S) NEXTBOOK.ORG | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | $1.000 SPEAKING ENGAGEMENT | 10/26/08 |
| 5 SECURITIES INDUSTRY & FINANCIAL MARKETS ASSOCIATION (SIFMA) | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | $33.750 SPEAKING ENGAGEMENT | 10/28/2008 |
| 6 GLOBAL INSIGHT | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | $38.000 SPEAKING ENGAGEMENT | 10/28/2008 |
| 7 INSTITUTIONAL LIMITED PARTNERS ASSOCIATION | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | $13.500 SPEAKING ENGAGEMENT | 11/6/2008 |
| 8 CHARLES RIVER VENTURES LLC | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | $87,500 SPEAKING ENGAGEMENT | 11/11/2008 |
| 9 MERRILL LYNCH | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | $45,000 (DONATED TO CHARITY) | 11/12/2008 |

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| Reporting Individual's Name | | Page Number |
|---|---|---|
| SUMMERS, LAWRENCE H. | **SCHEDULE A continued**<br>(Use only if needed) | 18 |

| | Assets and Income<br>BLOCK A | Valuation of Assets at close of reporting period<br>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.<br>BLOCK C | | | | | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | | | | | | | | | | | | | Type | | | | Amount | | | | | | | | | | | | |
| | None ☐ | 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 | INSTITUTE FOR INTERNATIONAL ECONOMICS | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | $25,000<br>ADVISORY<br>COMMITTEE | |
| 2 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
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| 9 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |

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

| Reporting Individual's Name | | Page Number |
|---|---|---|
| SUMMERS, LAWRENCE H. | **SCHEDULE B** | 17 |

## 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) | | | Date (Mo., Day, Yr.) | Amount of Transaction (x) | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | Purchase | Sale | Exchange | | $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 | | | | | | | | | | | | | | | | | |
| 2 | | | | | | | | | | | | | | | | | |
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| 4 | | | | | | | | | | | | | | | | | |
| 5 | | | | | | | | | | | | | | | | | |

* 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 $260; and (2) travel-related cash reimbursements received from one source totaling more than $260. 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 $104 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) | $300 |
| 1 | | | |
| 2 | | | |
| 3 | | | |
| 4 | | | |
| 5 | | | |

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

Reporting Individual's Name
SUMMERS, LAWRENCE H.

# SCHEDULE B continued

(Use only if needed)

Page Number
18

## Part I: Transactions

| | | Transaction Type (x) | | | Date (Mo., Day, Yr.) | Amount of Transaction (x) | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | Identification of Assets | Purchase | Sale | Exchange | | $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 | | | | | | | | | | | | | | | | | |
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* 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.

Prior Editions Cannot Be Used.

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Reporting Individual's Name
SUMMERS, LAWRENCE H.

# SCHEDULE C

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## 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 ☐

| | Creditors (Name and Address) | Type of Liability | Date Incurred | Interest Rate | Term if applicable | Category of Amount or Value (x) | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | | $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, 123 J St., Washington, DC | Promissory note | 1999 | 10 % | on demand | | | | | x | | | | | | |
| 1 | BANK OF AMERICA INVESTMENT SERVICES, 900 WEST TRADE STREET, CHARLOTTE, NC | MARGIN ON SECURITIES | 2007 | VAR | DEMAND | | | | | X | | | | | | |
| 2 | HARVARD UNIVERSITY, CAMBRIDGE, MA | STUDENT LOAN | 2008 | 0% | 10 YRS | | X | | | | | | | | | |
| 3 | (S) HARVARD UNIVERSITY, CAMBRIDGE, MA | STUDENT LOAN | 2005 | 0% | 10YRS | | | | X | | | | | | | |
| 4 | (S) HARVARD UNIVERSITY, CAMBRIDGE, MA | PERSONAL LOAN | 2003 | 6% | 10YRS | | X | | | | | | | | | |
| 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: continuing participation in an employee benefit plan (e.g. 401k, deferred compensation; (2) continuation 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 MASSACHUSETTS INSTITUTE OF TECHNOLOGY DEFINED CONTRIBUTION PLAN (NO FUTURE EMPLOYEE OR EMPLOYER CONTRIBUTIONS EXPECTED) | MASSACHUSSETS INSTITUTE OF TECHNOLOGY CAMBRIDGE, MA | 1979 |
| 2 | CONTINUING PARTICIPATION IN NATIONAL BUREAU OF ECONOMIC RESEARCH TAX DEFERRED ANNUITY PLAN VIA TIAA-CREF (NO FUTURE EMPLOYEE OR EMPLOYER CONTRIBUTIONS EXPECTED) | NATIONAL BUREAU OF ECONOMICS US DEPT OF COMMERCE, WASHINGTON DC | 1979 |
| 3 | CONTINUING PARTICIPATION IN NATIONAL BUREAU OF ECONOMIC RESEARCH 403(B) VIA VANGUARD (NO FUTURE EMPLOYEE OR EMPLOYER CONTRIBUTIONS EXPECTED) | NATIONAL BUREAU OF ECONOMICS US DEPT OF COMMERCE, WASHINGTON DC | 1979 |
| 4 | CONTINUING PARTICIPATION IN NATIONAL BUREAU OF ECONOMIC RESEARCH 401(A) VIA VANGUARD (NO FUTURE EMPLOYEE OR EMPLOYER CONTRIBUTIONS EXPECTED) | NATIONAL BUREAU OF ECONOMICS US DEPT OF COMMERCE, WASHINGTON DC | 1979 |
| 5 | CONTINUING PARTICIPATION IN HARVARD UNIVERSITY 403(b) PLAN VIA TIAA-CREF (NO EMPLOYEE OR EMPLOYER CONTRIBUTIONS EXPECTED FOR SERVICES PROVIDED AFTER 2008) | HARVARD UNIVERSITY, CAMBRIDGE MA | 2001 |
| 6 | | | |

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## 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 ☐

| | Creditors (Name and Address) | Type of Liability | Date Incurred | Interest Rate | Term if applicable | Category of Amount or Value (x) | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | | $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, 123 J St., Washington, DC | Promissory note | 1999 | 10 % | on demand | | | | | x | | | | | | |
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* 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: continuing participation in an employee benefit plan (e.g. 401k, deferred compensation; (2) continuation 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 HARVARD UNIVERSITY DEFERRED COMPENSATION PLAN VIA TIAA-CREF (NO EMPLOYEE OR EMPLOYER CONTRIBUTIONS EXPECTED FOR SERVICES PROVIDED AFTER 2008) | HARVARD UNIVERSITY, CAMBRIDGE MA | 2001 |
| 2 | CONTINUING PARTICIPATION IN HARVARD UNIVERSITY 457(B) PLAN VIA TIAA-CREF (NO EMPLOYEE OR EMPLOYER CONTRIBUTIONS EXPECTED FOR SERVICES PROVIDED AFTER 2008) | HARVARD UNIVERSITY, CAMBRIDGE MA | 2001 |
| 3 | CONTINUING PARTICIPATION IN HARVARD UNIVERSITY RIP VIA TIAA-CREF (NO EMPLOYEE OR EMPLOYER CONTRIBUTIONS EXPECTED FOR SERVICES PROVIDED AFTER 2008) | HARVARD UNIVERSITY, CAMBRIDGE MA | 2001 |
| 4 | ON LEAVE FROM PROFESSORSHIP AT HARVARD UNIVERSITY. WILL CONTINUE PARTICIPATION IN HARVARD'S MORTGAGE LENDING PROGRAM ON TERMS ESTABLISHED IN PRE-EXISTING EMPLOYMENT CONTRACT | HARVARD UNIVERSITY, CAMBRIDGE, MA | 2001 |
| 5 | WILL CONTINUE PARTICIPATION IN HARVARD'S STUDENT LOAN PROGRAM ON TERMS ESTABLISHED IN PRE-EXISTING EMPLOYMENT CONTRACT | HARVARD UNIVERSITY, CAMBRIDGE, MA | 2001 |
| 6 | | | |

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## 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 | OBAMA-BIDEN TRANSITION<br>WASHINGTON, DC | GOVERNMENT | SENIOR ECONOMIC ADVISOR | 11/08 | 01/09 |
| 2 | HARVARD UNIVERSITY<br>79 JFK ST, CAMBRIDGE, MA | UNIVERSITY | CHARLES W. ELIOT UNIVERSITY PROFESSOR | 2001 | 01/09 |
| 3 | D.E. SHAW & CO., LP<br>120 W. 45TH ST, NEW YORK, NY 10036 | ALTERNATIVE INVESTMENT FUND | MANAGING DIRECTOR | 10/06 | 12/08 |
| 4 | D.E. SHAW & CO., LLC<br>120 W. 45TH ST, NEW YORK, NY 10036 | ALTERNATIVE INVESTMENT FUND | MANAGING DIRECTOR | 10/06 | 12/08 |
| 5 | FINANCIAL TIMES<br>LONDON, UK | NEWSPAPER | COLUMNIST | 2006 | 12/08 |
| 6 | BROOKINGS PAPERS ON ECONOMIC ACTIVITY<br>WASHINGTON, DC | ACADEMIC JOURNAL | EDITOR | 03/08 | 12/08 |

## 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 | HARVARD UNIVERSITY<br>79 JFK ST, CAMBRIDGE, MA | CHARLES W. ELIOT UNIVERSITY PROFESSOR |
| 2 | D.E. SHAW & CO., LP<br>120 W. 45TH ST, NEW YORK, NY 10036 | MANAGING DIRECTOR |
| 3 | D.E. SHAW & CO., LLC<br>120 W. 45TH ST, NEW YORK, NY 10036 | MANAGING DIRECTOR |
| 4 | OBAMA-BIDEN TRANSITION<br>WASHINGTON, DC | SENIOR ECONOMIC ADVISOR |
| 5 | AMERICAN CHAMBER OF COMMERCE IN ARGENTINA<br>BUENOS AIRES, ARGENTINA | SPEAKING ENGAGEMENT |
| 6 | AMERICAN EXPRESS<br>NEW YORK, NY | SPEAKING ENGAGEMENT |

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## 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 | WYLIE AGENCY (UK) LIMITED<br>LONDON, ENGLAND | LITERARY AGENCY | COLUMNIST | 12/07 | 12/08 |
| 2 | ROUBINI GLOBAL ECONOMICS<br>NEW YORK, NY | ECONOMIC ANALYSTS | PAID ADVISORY BOARD MEMBER | 01/06 | 12/08 |
| 3 | SEE ATTACHED STATEMENT | SEE ATTACHED STATEMENT | SEE ATTACHED STATEMENT | SEE | ATTACHED |
| 4 | | | | | |
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## 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 | ASIAN DEVELOPMENT BANK<br>MANILA, PHILIPPINES | SPEAKING ENGAGEMENT |
| 2 | ASOCIACION DE BANCOS DE MEXICO<br>ACAPULCO, MEXICO | SPEAKING ENGAGEMENT |
| 3 | BCBS OF MASSACHUSETTS<br>401 PARK DRIVE, BOSTON, MA 02215 | ADVISORY COUNCIL |
| 4 | BEACON CAPITAL PARTNERS, LLC<br>BOSTON, MA | SPEAKING ENGAGEMENT |
| 5 | THE BROOKINGS INSTITUTION<br>WASHINGTON, DC | JOURNAL EDITOR |
| 6 | CENTRO DE LIDERAZGO Y GESTION<br>BOGOTA, COLUMBIA | SPEAKING ENGAGEMENT |

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## 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 |
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## 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 | CEO 100<br>NEW YORK, NY | SPEAKING ENGAGEMENT |
| 2 | CHARLES RIVER VENTURES LLC<br>CAMBRIDGE, MA | SPEAKING ENGAGEMENT |
| 3 | CITIGROUP<br>NEW YORK, NY | SPEAKING ENGAGEMENT |
| 4 | COMMONFUND<br>ORLANDO, FL | SPEAKING ENGAGEMENT |
| 5 | DEUTSCHE BANK - AG<br>WASHINGTON, DC | SPEAKING ENGAGEMENT |
| 6 | EFG EUROBANK ERGASIAS SA 7, SANTAROZA STR.<br>THESSALONIKI/ ATHENS, GREECE | SPEAKING ENGAGEMENT |

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## 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 |
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## 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 | FARRAR STRAUSS GIROUX<br>18 WEST 18TH STREET, NEW YORK, NY 10011 | BOOK ADVANCE |
| 2 | FINANCIAL TIMES<br>LONDON, UK | FINANCIAL COLUMNIST & SPEAKING ENGAGEMENT |
| 3 | GLOBAL INSIGHT<br>CHICAGO, IL | SPEAKING ENGAGEMENT |
| 4 | GOLDMAN SACHS<br>NEW YORK, NY | SPEAKING ENGAGEMENT |
| 5 | HUDSON INSTITUTE<br>NEW YORK, NY | SPEAKING ENGAGEMENT |
| 6 | IESE BUSINESS SCHOOL<br>MADRID, SPAIN | SPEAKING ENGAGEMENT |

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## 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 |
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## 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 | INSTITUTE FOR INTERNATIONAL ECONOMICS<br>WASHINGTON, DC | ADVISORY COMMITTEE |
| 2 | INSTITUTIONAL LIMITED PARTNERS ASSOCIATION<br>NEW YORK, NY | SPEAKING ENGAGEMENT |
| 3 | INVESTEC BANK<br>MAURITIUS, REPUBLIC OF MAURITIUS | SPEAKING ENGAGEMENT |
| 4 | ITINERA INSTITUTE<br>BRUSSELS, BELGIUM | SPEAKING ENGAGEMENT |
| 5 | JP MORGAN<br>MIAMI, FL | SPEAKING ENGAGEMENT |
| 6 | LEADERS AND COMPANY LTD. (THISDAY NEWSPAPER GROUP)<br>NEW YORK, NY | SPEAKING ENGAGEMENT |

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## 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 |
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## Part II: Compensation In Excess Of $5,000 Paid by One Source

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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 | LEHMAN BROTHERS<br>BOSTON, MA | SPEAKING ENGAGEMENT |
| 2 | McKINSEY AND COMPANY - NEW YORK<br>FLORENCE ITALY | SPEAKING ENGAGEMENT |
| 3 | MERRILL LYNCH<br>LISBON, PORTUGAL | SPEAKING ENGAGEMENT |
| 4 | NAPLES - FT. MYERS TOWN HALL INC.<br>NAPLES, FL | SPEAKING ENGAGEMENT |
| 5 | NEXUS INSTITUTE<br>AMSTERDAM, NETHERLANDS | SPEAKING ENGAGEMENT |
| 6 | NORTH CAROLINA STATE UNIVERSITY<br>RALEIGH, NC | SPEAKING ENGAGEMENT |

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## 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 |
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## 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 | PENSION REAL ESTATE ASSOCIATION<br>BOSTON, MA | SPEAKING ENGAGEMENT |
| 2 | PhRMA<br>WASHINGTON, DC | SPEAKING ENGAGEMENT |
| 3 | PIMCO<br>NEWPORT BEACH, CA | SPEAKING ENGAGEMENT |
| 4 | POMONA CAPITAL<br>NEW YORK, NY | SPEAKING ENGAGEMENT |
| 5 | PRICEWATERHOUSE COOPERS LLP<br>WASHINGTON, DC | SPEAKING ENGAGEMENT |
| 6 | REGENTS OF UNIVERSITY OF CALIFORNIA<br>LOS ANGELES, CA | SPEAKING ENGAGEMENT |

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| Reporting Individual's Name | | Page Number |
|---|---|---|
| SUMMERS, LAWRENCE H. | **SCHEDULE D** | 28 |

## 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 |
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| 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 | RELIANCE, MAKERS CHAMBERS - IV<br>NARIMAN POINT, MUMBAI 400 021, INDIA | MEMBER OF THE INTERNATIONAL ADVISORY BOARD |
| 2 | REVOLUTION MONEY<br>200 CENTRAL AVE, 11TH FL, ST PETERSBURG, FL 33701 | BOARD MEMBER |
| 3 | ROUBINI GLOBAL ECONOMICS<br>NEW YORK, NY | BOARD MEMBER |
| 4 | SACRAMENTO CHAMBER OF COMMERCE<br>SACRAMENTO, CA | SPEAKING ENGAGEMENT |
| 5 | SAMSUNG SECURITIES CO., LTD.<br>SEOUL, SOUTH KOREA | SPEAKING ENGAGEMENT |
| 6 | SECURITIES INDUSTRY & FINANCIAL MARKETS ASSOCIATION<br>(SIFMA) NEW YORK, NY | SPEAKING ENGAGEMENT |

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| Reporting Individual's Name | | Page Number |
|---|---|---|
| SUMMERS, LAWRENCE H. | **SCHEDULE D** | 29 |

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

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| | Metro University (client of Doe Jones & Smith), Moneytown, State | Legal services in connection with university construction |
| 1 | SIGULER GUFF & COMPANY<br>NEW YORK, NY | SPEAKING ENGAGEMENT |
| 2 | SKAGEN FUNDS<br>STOCKHOLM, SWEDEN | SPEAKING ENGAGEMENT |
| 3 | SOURCE MEDIA<br>NEW YORK, NY | SPEAKING ENGAGEMENT |
| 4 | STATE STREET CORPORATION - GLOBAL MARKETS<br>CAMBRIDGE, MA | SPEAKING ENGAGEMENT |
| 5 | TA ASSOCIATES<br>BOSTON, MA | SPEAKING ENGAGEMENT |
| 6 | TATA CONSULTANCY SERVICES<br>HENDERSON, NV | SPEAKING ENGAGEMENT |

| Reporting Individual's Name | | Page Number |
|---|---|---|
| SUMMERS, LAWRENCE H. | **SCHEDULE D** | 30 |

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

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| 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 | TAX COUNCIL POLICY INSTITUTE<br>WASHINGTON, DC | SPEAKING ENGAGEMENT |
| 2 | TUFTS UNIVERSITY<br>BOSTON, MA | SPEAKING ENGAGEMENT |
| 3 | UCSD ECONOMIC ROUNDTABLE<br>SAN DIEGO, CA | SPEAKING ENGAGEMENT |
| 4 | UNIVERSIDAD AUTONOMA DEL ESTADO DE BAJA CALIFORNIA<br>TIJUANA, MEXICO | SPEAKING ENGAGEMENT |
| 5 | WYLIE AGENCY (UK) LIMITED<br>LONDON, ENGLAND | COLUMNIST |
| 6 | YALE UNIVERSITY<br>NEW HAVEN, CT | SPEAKING ENGAGEMENT |

Attachment to: FORM SF278, SCHEDULE A, PART I

SUMMERS, LAWRENCE H.

| Block A | Block B | Block C - Type | Block C - Amount |
|---|---|---|---|
| ***Bank of America - Columbia Mutual Funds*** | | | |
| Columbia Acorn Fund | $1,001 - $15,000 | Excepted Investment Fund | $201 - $1,000 |
| Columbia Marsico Growth Fund | $1,001 - $15,000 | Excepted Investment Fund | $201 - $1,000 |
| Columbia Marsico International Opportunity Fund | $1,001 - $15,000 | Excepted Investment Fund | $201 - $1,000 |
| Columbia Dividend Income Fund | $1,001 - $15,000 | Excepted Investment Fund | $201 - $1,000 |
| | | | |
| ***Sterling Trust Defined Benefit Plan (Keogh Plan)*** | | | |
| SPDRs (SPY) | $15,000 - $50,000 | Excepted Investment Fund | $201 - $1,000 |
| iShares Russell 2000 Index (IWM) | $15,000 - $50,000 | Excepted Investment Fund | $201 - $1,000 |
| iShares MSCI EAFE Index (EFA) | $15,000 - $50,000 | Excepted Investment Fund | $201 - $1,000 |
| | | | |

Note 1 – Equity Resource Mercury Fund - Privately held limited partnership investment in real estate assets located in Asia

Note 2 – Massachusetts Institute of Technology - Future royalties, value is de minimis and not readily ascertainable

Attachment to: FORM SF278, SCHEDULE D, PART I

SUMMERS, LAWRENCE H.

| **Organization** | **Type of Business** | **Title** | **Address/Telephone** | **Dates** |
|---|---|---|---|---|
| BCBS of Massachusetts | Company | Advisory Council | 401 Park Drive,<br>Boston, MA 02215-3326<br>800-262-2583 | 4/2007 -<br>12/31/08 |
| Broad Foundation | Foundation | Board of Governors | 10900 Wilshire Blvd, 12 fl<br>Los Angeles, California 90024<br>310.954.5000 | 2005 –<br>12/31/08 |
| Brookings | Think Tank | Board of Trustees<br>Journal Editor | 1775 Massachusetts Ave, NW,<br>Washington, DC 20036<br>202.797.6000 | 2002 –<br>12/31/08 |
| Center for Global Development | Think Tank | Board of Directors | 1776 Massachusetts Ave. NW<br>Third Floor<br>Washington DC 20036<br>(202) 416-0700 | 2005 –<br>12/31/08 |
| Bill & Melinda Gates Foundation | Foundation | Advisory Member for Global Development Program | PO Box 23350<br>Seattle, WA 98102<br>(206) 709-3100 | 2007 –<br>12/31/08 |
| International Center for Research on Women | Think Tank | Advisory Board Member | 1120 20th St. N.W.<br>Suite 500 North<br>Washington, D.C. 20036<br>(202) 797-0007 | 3/2008 –<br>12/31/08 |
| Institute for International Economics | Think Tank | Chair of Advisory Board; Board of Trustees | 1750 Mass Avenue, NW.<br>Washington, DC 20036. Tel: 202-328-9000 | 2002 –<br>12/31/08 |
| Mt Sinai Hospital | Hospital | Board of Trustees | 5 East 98th Street<br>New York, NY 10029<br>866 674-3721 | 7/2008 –<br>12/31/08 |
| National Academy of Sciences – Board on | Public Policy Forum | Chairman | 500 Fifth St., N.W.<br>Washington, D.C. 20001 | 01/01/08 –<br>12/31/08 |

|  |  |  |  |  |
|---|---|---|---|---|
| Science Technology and Economic Policy (STEP) |  |  | 202-334-2000 |  |
| Partnership for Public Service | Public Policy Forum | Advisory Board of Governors | 1100 New York Avenue NW,<br>Suite 1090 East,<br>Washington, DC 20005<br>(202) 775-9111 | 2002 – 12/31/08 |
| Reliance | Company | Member of the International Advisory Board | Makers Chambers - IV,<br>Nariman Point,<br>Mumbai 400 021, India.<br>91-22-2278 5000 | 2007 - 12/31/08 |
| Revolution Money | Company | Board Member | 200 Central Ave, 11th fl<br>St Petersburg, FL 33701<br>727-374-2105 | 2006 - 12/31/08 |
| RGE Monitor | Company | Advisor to the Board | 131 Varick Street, Suite 1005<br>New York, New York 10013<br>212.645.0010 | 2006 – 12/31/08 |
| Teach for America | Non Profit | Board of Directors | 315 West 36th Street, 7th Floor<br>New York, NY 10018<br>212-279-2080 | 2006 – 12/31/08 |
| American Corporate Partners (Veterans Mentoring Organization) | Non Profit | Advisory Council | 6 E 43rd Street<br>New York, NY 10017 | 2008 - 12/31/08 |