5 C.F.R at 2634.

Executive Branch Personnel PUBLIC FINANCIAL DISCLOSURE REPORT

OMB No. 3209-0001

| U.S. Office of Government Ethics | | | | | <u> </u> | |
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| Date of Appointment, Candidacy, Election or Nomination (Month, Day, Year) | Reporting Status (Check Incumbent | Calendar Year Covered by Report | New Entrant, Nominee, | Termination | Termination Date (If Applicable) (Month, Day, Year) | Fee for Late Filing Any individual who is required to |
| or 1 to 11 may or thrown, 249, 1441 | apprapriate boxes) | Covered by Report | X or Candidate | Filer | | file this report and does so more than |
| | | <u> </u> | (B) XI | <u> </u> | | 30 days after the date the report is |
| Reporting Individual's Name | Last Name | | First Name and Middle | Inmai | | required to be filed, or, if an extension is granted, more than 30 days after the |
| | CARTER | | Ashton B. | | | last day of the filing extension period |
| 75 6 77 77 | Title of Position | | Department or Agency | (If Applicable) | | shall be subject to a \$200 fee. |
| Position for Which Filing | Under Secretary of Defense for Ac | quisition, Technology | Department of Defe | ense | | Reporting Periods |
| SAME TO SAME T | Address (Number, Street, City, State, | and ZIP Code | | Telephone No. (Inc | clude Area Code) | Incumbents: The reporting period is |
| Location of Present Office | Harvard University | . Cambridge. 1 | MASS | | | the preceding calendar year except |
| (or forwarding address) | 1 | 02138- | 3800 | 617-495-1 | 000 | Part II of Schedule C and Part I of Schedule D where you must also |
| Position(s) Held with the Federal | Title of Position(s) and Date(s) Held | | | | | include the filing year up to the date |
| Government During the Preceding 12 Months (If Not Same as Above) | None | | | | | you file. Part II of Schedule D is not applicable. |
| 12 Mondis (It Not Same as Above) | TVOITE | | | | | аррисаоте. |
| | | | | O Period | C-17: 0 | Termination Filers: The renorting |
| Presidential Nominees Subject to Senate Confirmation | Name of Congressional Committee Co | onsidering Nomination | Do You Intend to Creat | [| | period begins at the end of the period |
| Senate Countination | Senate Armed Services Comm | nittee | Yes | X No | | covered by your previous filing and ends at the date of termination. Part II |
| | | | | | | of Schedule D is not applicable. |
| Certification CERTIFY that the statements I have | Signature of Reporting Individual | | | Date (Month, Day, | Year) | Nominees, New Entrants and |
| made on this form and all attached | | | | MAD = | m 6000 | Candidates for President and Vice |
| schedules are true, complete and correct to the best of my knowledge. | I love to | 1 6 | * | MAR 1 | 8 2009 | President: |
| to the best of my knowledge. | | | | <u> </u> | | Schedule A. The reporting period for |
| | Signature of Other Reviewer | , | | Date (Month, Day, | | income (BLOCK C) is the preceding calendar year and the current calendar |
| Other Review | NAX C | | | 3/19 | 109 | year up to the date of filing. Value |
| (If desired by agency) | | | | , , | L | assets as of any date you choose that is within 31 days of the date of filing. |
| Agency Ethics Official's Opinion | Signature of Designated Agency Ethic | - 045 - 140 1 04 | C1:1 | 5 (14) 5 | 77 | |
| On the basis of information contained | Signature of Designated Agency Ethic | s Omciai/Reviewing Or | irciai | Date (Month. Day. | Tear) | Schedule B-Not applicable |
| in this report, I conclude that the filer is | | | | | | Schedule C. Part I (Liabilities) |
| in compliance with applicable laws and regulations (subject to any comments | 1 | | | | | The reporting period is the preceding calendar year and the current calendar |
| in the box below). | | | | | | year up to any date you choose that is |
| Office of Government Ethics | Signature | | | Date (Month Day | Year \ | within 31 days of the date of filing. |
| Use Only | 1 1/KI | - Cuent | $\overline{}$ | 7/24/ | 09 | Schadule C Part II / Ameements or |
| Comments of Reviewing Officials (If addit | tional speed is required use the reverse | side of this shoul | | 1-1-4/ | <u> </u> | Arrangements)— Show any agreements or arrangements as of the date of |
| COMMENTS OF TOTAL STRUCTURES IN ANALYS | TOTAL SPUCE IN FEMALULES. HIS INE FEVER SE | | | | | filing. |
| | | (Check box | x if filing extension granted & | indicate number of a | days) | Schedule D-The reporting period is |
| | | | | | | the preceding two calendar years and |
| | | | | | | the current calendar year up to the date of filing. |
| | | | | | | Agency Use Unly |
| | | | | | | |
| | | | | | | OGE Use Only |
| | | | (Check box if commi | ents are continued on | the reverse side) | OGE OSE OMY |
| | | | | | | |

| U.S. Office of Government Ethics Reporting Individual's Name | | [Page Number |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------|
| CARTER, Ashton B. | SCHEDULE A | 1 |
| Assets and Income | Valuation of Assets at close of reporting period BLOCK B Income: type and amount. If "None (or less than \$201)" other entry is needed in Block C for that item. | is checked, no |
| 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). | Name for Res than \$1,4001 | Other Income (Mo., Day, Yr.) Type & Actual Amount) Honoraria |
| Examples Central Airlines Common Doe Jones & Smith, Hometown, State Kempstone Equity Fund IRA: Heartland 500 Index Fund 1 | | Law Pertocakip Income \$110,000 |
| Bank of America Checking Account 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 | he spouse or dependent children. |

Prior Editions Cannot be Used.

| 1 | CFR | Buck | 7621 |
|----|--------|-------|------|
| 40 | 14. 20 | 7,417 | 4404 |

U.S. Office of Government Ethics Reporting Individual's Name Page Number **SCHEDULE A continued** 2 CARTER, Ashton B. (Use only if needed) Assets and Income Valuation of Assets Income: type and amount. If "None (or less than \$201)" is checked, no at close of other entry is needed in Block C for that item. reporting period BLOCK A BLOCK B BLOCK C Type Amount Other Date Excepted lavestment frand Income \$25,000,001 - \$50,000,000 (Mo., Day. \$5,000,001 - \$25,000,000 \$1,000,001 - \$ 5,000,000 None (or less than \$201) (Specify Yr.\$250,001 - \$500,000 \$500,001 - \$1,000,000 \$1,000,001 - \$5,000,000 8100,001 - 51,006,000 Type & \$100,001 - \$250,000 Rent and Royatties \$50,001 - \$100,000 Over \$1,000.000 * Actual Only if Over \$50,000,000 \$50,001 - \$100,000 \$15,001 - \$50,000 Over \$1,000,000* \$1,001 - \$15,000 Ougliffed Trust Amount) **Excepted Trust** 55,001 - \$15,000 Over \$5,000,000 Honoraria \$2,501-\$5,000 \$1,001 - \$2,500 Capital Cain \$201-\$1,600 Dividends None Harvard University Salary Cambridge, MA 02138 \$238,235 2 Global Technology Partners, LLC Distribution Boston, MA 02110 \$54,797 80 (consulting firm) \$47,000 09 3 The MITRE Corporation Trustee & 7515 Colshire Drive Consulting fees McLean, VA 22102-7508 \$65,500 4 Goldman Sachs Consulting fee One New York Plaza, 40th floor New York, NY 10004 \$20,000 5 Massachusetts Institute of Technology Advisory Board Lincoln Laboratory - 244 Wood St. Jun-11-08 fee Lexington, MA 02420 \$1,000 7 Brookings Institution Washington, DC 20036-2103 Managing Nuclear Operations 8 Brookings Institution Washington, DC 20036-2103 Ballistic Missile Defense 9 (values of books in items 7 and 8 are not readily ascertainable) 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

| eporting Individual's Name | | | | | | | | SI | ~H | TET |)[] | ILE | Δ | COL | ıti: | 1114 | d | | | | | | | | | P | Page Number | |
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| CARTER, Ashton B. | | | | | | | | | | | | only | | | | | | | | | | | | | | | 3 | |
| Assets and Income | | | Valu | at cl | ose (| of | | - | · | | | | | | | | and a | | | | | | | | \$201 |) ^a is | s checked, no | |
| BLOCK A | | | re | porti BLC | ng pe XXX E | | 1 | | | | | | | | | | | | | BI | LOCE | c.c | | | | | | |
| None | None (or less than \$1,001) | \$1,001 - \$15,000 VM ON SERVIN | \$50,001 - \$100,000 | \$250.001 - \$500.000 | \$500,401-\$1,000,000 | Over \$1,000.000 * | \$4,000,004 - \$.5,000,000 | 55,000,001 - \$25,000,000 | \$25,000,001 \$50,000,000 | Over \$50,000,000 | Excepted Investment Frad | Excepted Trust Outlifted Trust | Dividondo | Coyalties | Interest | Capital Gains | None (or less than \$201) | \$1,001 - \$2,500 | 52,501-38,090 | \$5,001 - \$15,000 | 0 | \$50,001 - \$100,000 | Sidicant Standard | Over \$1,000,000* | \$1,000,001 - \$5.000,000 | Over \$5,000,000 | Other Income (Specify Type & Actual Amount) | Date (Mo., D Yr.) Only Honora |
| | | | | | | | | | | | | | | | | | | | | | | | | | | | | - |
| 2 Center for a New American Security, Inc. 1301 Pennsylvania Ave. NW, suite 403 Washington, DC 20004 | | | | | | | | | | | | | | | | | | | | | | | | | | | Essay fee \$10,000 | Jun-30 |
| 3 | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 4 | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Aspen Strategy Group (Aspen Institute) Washington, DC first installment on paper for Aug-08 mtg | | | | | | | | | | | | | | | | | | | | | | | | | | | Essay fee \$500 | Aug-08 |
| 6 | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Center for Strategic & Budgetary Assess Washington, DC SecDef fellows Jul-09-08 presentation | | | | | | | | | | | | | | | | | | | | | | | | | | | Honorarium \$600 | Jul-18 |
| 8 The Analysis Group - 300 North Washington St., suite 101 - Falls Church VA 22046 Jan 31-08 USAF CP conf. | | | | | | | | | | | | | | | | | | | | | | | | | | | Speaking Fee \$2,000 | Jul-21 |

* 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.

Jul-21-08

| 5 T.F.R Part 2634 U.S. Office of Government Ethics Reporting Individual's Name | - | | | | | | S | CH | ED | TII | LE. | A c | onf | inn | ed | | ****** | | ^ | | | | | | Ţ | Page Number | |
|--------------------------------------------------------------------------------|---------------------------------------------------|---------------------|----------------------|-----------------------|---------------------------------------------|----------------------------------|----------------------------|-----------------------------|-------------------|---------------------|-----------------|------|--------------------|---------------------------|---------------------------|---------------|-------------------|----------------|--------------|------|----------------------|---------------------|-------------------|---------------------------|------------------|------------------------------------------------------------|---------------------------------------------------|
| CARTER, Ashton B. | | | | | | | | | | Use only if needed) | | | | | | | | | | | | | 4 | | | | |
| Assets and Income | | , | | at clos | of A | | s | | | | | Inco | me r ent | type | and need | amo | ount n Ble | . If | "No C fo | ne (| or le | se t | han S | \$20 | 1)" | is checked, no | |
| BLOCK A | | | | BLOC | | | | | | | | | | | | | | | BLO | | | | | | | | |
| None | None (or less than \$1.003) ser one - \$15.000 | \$15,011 - \$50,000 | \$59,001 - \$100,000 | \$250,001 - \$500,000 | \$500,901~\$1.080,000 Over \$1.000.000 * | SI, fich, total & Station of the | \$5,000,001 - \$25,000,000 | \$25,000,001 - \$50,000,000 | Over \$50,000,000 | Evented Trues | Cuabilied Trast | | Rent and Royaldies | Anterest Capital Gains | None (or less than \$201) | \$201_\$1,000 | \$1,001 - \$2,500 | \$2,501 35,000 | | | \$50,001 - \$100,000 | Sampana - Saannaham | 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 |
| Raytheon Dallas, TX Oct-20-08 Service: Critical Analysis | | | | | | | | | | | | | | | | | | | | | | | | | | \$10,000 Meeting Fee | |
| | | | | | | | | | | | | | | | | | | | | | | | | | | and Memoranda | |
| 3 | | | | | | | | | | | | | | | | | 6//6/00/00 | | | | | | | | | | |
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| 8 | | | | | | | | | | | | | | | П | | | | | | | | | | | | |

* 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

| U.S. Office of Government Ethics | | |
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| Reporting Individual's Name | SCHEDULE A continued | Page Number |
| CARTER, Ashton B. | (Use only if needed) | 5 |
| Assets and Income | Valuation of Assets at close of reporting period Income: type and amount. If "None (or less than \$201)" other entry is needed in Block C for that item. | is checked, no |
| BLOCK A | BLOCK B BLOCK C | |
| None | None for less than \$1,001) \$15,001 - \$15,000 \$15,001 - \$15,000 \$250,001 - \$100,000 \$250,001 - \$500,000 \$250,001 - \$500,000 \$25,000,001 - \$25,000,000 \$25,000,001 - \$25,000,000 \$25,000,001 - \$25,000,000 \$25,000,001 - \$25,000,000 \$25,000,001 - \$25,000,000 \$25,000,001 - \$25,000 \$25,001 - \$1,000 \$25,001 - \$15,000 \$25,001 - \$15,000 \$25,001 - \$15,000 \$25,001 - \$100,000 \$25,001 - \$100,000 \$25,001 - \$100,000 \$25,001 - \$100,000 \$25,001 - \$100,000 \$25,001 - \$100,000 \$25,001 - \$100,000 \$25,001 - \$100,000 | Other Income (Mo., Day, Yr.) Type & Actual Amount) Other Income (Mo., Day, Yr.) Yr.) Type & Only if Honoraria |
| 1 The Boeing Company (50 shares, owned by child 1) | x x x | |
| 2 The Boeing Company (50 shares, owned by child 2) | x x x | |
| 3 | | |
| 4 | | |
| 5 | | |
| 6 | | |
| 7 | | |
| 8 | | |
| 9 | | |
| * This category applies only if the asset/incomark the other higher categories of value, as a | me 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 appropriate. | the spouse or dependent children. |

| Reporting individuals Name | SCHEDULE A | ge Number 6 . |
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| Assets and Income | Valuation of Assets at close of reporting period Income: type and amount. If "None (or less than \$201)" is a other entry is needed in Block C for that item. | checked, no |
| BLOCK A | BLOCK B BLOCK C | |
| 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. | Type Amount (102) (102) (103) (104) (104) (105) (104) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (105) (10 | Other Date Income (Mo., Day, (Specify Yr.) |
| 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). | \$1,001 - \$15,000 \$15,001 - \$15,000 \$15,001 - \$10,000 \$250,001 - \$250,000 \$250,001 - \$550,000 \$250,001 - \$550,000 \$250,001 - \$550,000 \$250,001 - \$550,000 \$250,001 - \$25,000,000 \$25,000,001 - \$25,000,000 \$25,000,001 - \$25,000,000 \$25,000,001 - \$25,000,000 \$25,001,001 - \$25,000 \$25,001 - \$25,000 \$25,001 - \$25,000 \$25,001 - \$25,000 \$25,001 - \$25,000 \$25,001 - \$25,000 \$25,001 - \$25,000 \$25,001 - \$25,000 \$25,001 - \$25,000 \$25,001 - \$25,000 \$25,001 - \$25,000 \$25,001 - \$25,000 \$25,001 - \$25,000 \$25,001 - \$25,000 \$25,001 - \$25,000 \$25,001 - \$25,000 \$25,001 - \$25,000 \$25,001 - \$25,000 \$25,001 - \$25,000 \$25,001 - \$25,000 \$25,001 - \$25,000 \$25,001 - \$25,000 \$25,001 - \$25,000 \$25,001 - \$25,000 \$25,001 - \$25,000 \$25,001 - \$25,000 \$25,000 - \$25,000 \$25,000 - \$25,000 \$25,000 - \$25,000 \$25,000 - \$25,000 \$25,000 - \$25,000 \$25,000 - \$25,000 \$25,000 - \$25,000 \$25,000 - \$25,000 \$25,000 - \$25,000 \$25,000 - \$25,000 \$25,000 - \$25,000 \$25,000 - \$25,000 \$25,000 - \$25,000 \$25,000 - \$25,000 \$25,000 - \$25,000 \$25,000 - \$25,000 \$25,000 - \$25,000 \$25,000 - \$25,000 \$25,000 - \$25,000 \$25,000 - \$25,000 \$25,000 - \$25,000 \$25,000 - \$25,000 \$25,000 - \$25,000 \$25,000 - \$25,000 \$25,000 - \$25,000 \$25,000 - \$25,000 \$25,000 - \$25,000 \$25,000 - \$25,000 \$25,000 - \$25,000 \$25,000 - \$25,000 \$25,000 - \$25,000 \$25,000 - \$25,000 \$25,000 - \$25,000 \$25,000 - \$25,000 \$25,000 - \$25,000 \$25,000 - \$25,000 \$25,000 - \$25,000 \$25,000 - \$25,000 \$25,000 - \$25,000 \$25,000 - \$25,000 \$25,000 - \$25,000 \$25,000 - \$25,000 \$25,000 - \$25,000 \$25,000 - \$25,000 \$25,000 - \$25,000 \$25,000 - \$25,000 \$25,000 - \$25,000 \$25,000 - \$25,000 \$25,000 - \$25,000 \$25,000 - \$25,000 \$25,000 - \$25,000 \$25,000 - \$25,000 \$25,000 - \$25,000 \$25,000 - \$25,000 \$25,000 - \$25,000 \$25,000 - \$25,000 \$25,000 - \$25,000 \$25,000 - \$25,000 \$25,000 - \$25,000 \$25,000 - \$25,000 \$25,000 - \$25,000 \$25,000 - \$25,000 \$25,000 - \$25,000 \$25,000 - \$25,000 \$25,000 - \$25,000 \$25,000 - \$25,000 \$25,000 - \$25,000 \$25,000 - \$25,000 \$25,000 - \$25,000 | Actual Only if Honoraria |
| Examples Central Airlines Common Doe Jones & Smith, Hometown, State Kempstone Equity Fund IRA: Heartland 500 Index Fund | | Partnership income \$130,000 |
| Bank of America Corp. | | |
| 2 BB&T Corp | | |
| 3 Franklin Resources inc. | | |
| 4 Bank of New York Mellon Corp. | | |
| 5 Capital One Financial Corp. | | |
| 6 ConocoPhillips | | |
| * This category applies only if the asset/income is mark the other higher categ | 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 s | pouse or dependent children, |

| 5 | ~ | F | P | Dant | 2634 |
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U.S. Office of Government Ethics Reporting Individual's Name Page Number SCHEDULE A continued 7 CARTER, Ashton B. (Use only if needed) Assets and Income Valuation of Assets Income: type and amount. If "None (or less than \$201)" is checked, no at close of other entry is needed in Block C for that item. reporting period BLOCK A BLOCK B BLOCK C Amount Type Other Date kacepted Insestment Firm Income (Mo., Day, \$25,000,001 - \$50,000,000 \$5,000,001 - \$25,000,000 \$1,000,001 - \$ 5,000,000 None (or less than \$201) Yr.) (Specify \$500,001 \$1,000,000 Type & \$250,001 - \$500,000 Rent and Royalties \$50,001 - \$100,000 Over \$1,000.000 * \$50,001 - \$100,000 Actual Only if Over \$50,000,000 \$15,001 - \$50,000 \$15,001 - \$50,000 Over \$1,000,000* \$1,001 - \$15,000 Over \$5,000,000 Ourliffed Trust Amount) Honoraria **Excepted Trust** \$5,001 - \$15,000 \$1,001 - \$2,500 Dividends Interest None Cisco Systems, Inc. X 2 Chevron Corp. х 3 E.I. DuPont de Nemours & Co. х 4 Dell Inc. х 5 Diageo PLC ADR 6 Diamond Offshore Drilling х 7 Dover Corp. 8 Eaton Corp. Х Х 9 General Electric Co. 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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| U.S. Office of Government Ethics | | |
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| Reporting Individual's Name | SCHEDULE A continued | Page Number |
| CARTER, Ashton B. | SCHEDULE A continued | 8 |
| CARTER, ASHIOT B. | (Use only if needed) | |
| | | |
| A seed to see | Y Y Y CA - CA - A CA - | I for all and a second |
| Assets and Income | Valuation of Assets Income: type and amount. If "None (or less than \$201)" at close of other entry is needed in Block C for that item. | is checked, no |
| | at close of other entry is needed in Block C for that item. | |
| BLOCK A | | |
| BLOCKA | | |
| | Noine for less than \$1,403 S1,001 - S15,000 S15,001 - S100,000 S19,001 - S100,000 S10,001 - S100,000 S10,001 - S20,000,000 S10,001 - S25,000,000 S25,000,001 - S25,000 S25,000,000 S25,001 - S15,000 S26,001 - S15,000 S26,001 - S100,000 S26,001 - S100,000 S100,001 - S1,000,000 S100,001 - S1,000,000 S11,000,000 S | Other Income (Mo., Day, (Specify Yr.) Type & Actual Only if Honoraria |
| None | | |
| 1 Intel Corp. | X X X | |
| 2 Minois tool Works | X X X | |
| 3 Johnson & Johnson | X X X X X X X X X X X X X X X X X X X | |
| 4 Lincoln National Corp. | X X X | |
| 5 3M Company | X X X | |
| 6 Molex Inc. | X X X | |
| 7 Merck & Co. Inc. | X X X | |
| 8 Microsoft Corp. | X X X | |
| 9 M&T Bank Corp. | X X X | |
| * This category applies only if the asset/incommark the other higher categ | te 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, |

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| Reporting Individual's Name CARTER, Ashton B. | SCHEDULE A continued • (Use only if needed) | iber 9 |
| | (Ose only II 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 check other entry is needed in Block C for that item. BLOCK C | ed, no |
| | Type Amount | |
| | | ther Date (Mo., Day, ecify Yr.) |
| No. | | tual Only if ount) Honoraria |
| None | | |
| 1 Nokia Corp. | X X X | • |
| 2 Procter & Gamble Co. | | |
| 3 Parametric Technology Corp. | | |
| 4 Prudential Financial Inc. | X X X X | |
| DWS Tax-Exempt Cash Institutional Shares | X X X | |
| 6 Staples Inc. | | |
| 7 Seagate Technology | | |
| 8 Symantec Corp. | X X | |
| 9 Talisman Energy Inc. | | |
| This category applies only if the asset/income mark the other higher categ | e 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 spous | e or dependent children, |

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| Reporting Individual's Name CARTER, Ashton B. | SCHEDULE A continued | Page Number |
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| DANTER, ASTRON B. | (Use only if needed) | · · · · · · · · · · · · · · · · · · · |
| Assets and Income | Valuation of Assets at close of other entry is needed in Block C for that item. Income: type and amount. If "None (or less than \$201)" is other entry is needed in Block C for that item. | s checked, no |
| BLOCK A | BLOCK B BLOCK C Type Amount | |
| None | Notice for less than \$1,001 | Other Income (Mo., Day, Specify Yr.) Type & Actual Amount) Only if Honoraria |
| 1 Unilever NV | X X X | |
| 2 Verizon Communications Inc. | X X X | |
| 3 Walgreen Co. | X X X | |
| 4 Waters Corp. | X X | |
| 5 American Express Co. | X X X | |
| 6 Apple, Inc. | X X X X X X X X X X X X X X X X X X X | |
| 7 Accenture Ltd. | X X X | |
| 8 Allergan Inc. | X X X | |
| 9 Ametek Inc. | | |
| * This category applies only if the asset/income mark the other higher categ | 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 | ne spouse or dependent children, |

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U.S. Office of Government Ethics

| Rep | porting Individual's Name | | | | | | | | 5 | C | HE | DI | ULE | A | cor | tin | ne | ď | | | | | | | | | 1 | Page Number | 4 | |
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| CA | RTER, Ashton B. | | | | | | | | ~ | , 0, | | | only | | | | *** | *** | | | | | | | | | | 1 | 1 | |
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| - | Assets and Income | | - | V | а | at clo | of A | ' | ts | | | | | Inc | com | e: ty | pe a | and eede | amou d in l | nt. I | f"N k C f | one or tl | (or l | ess t em. | han \$ | 5201 | l)" i | is checked, no | | |
| | BLOCK A | | 288 | 2000 | | BLO | | | 281 | E20000 | | 220055 | 98888 | | ~~~ | | | | | | | OCK | | | | | | | | |
| | None | None (or less than \$1,001) | \$1,001 - \$15,000 | \$15,001 - \$50,000 \$50,001 - \$100,000 | \$300,001 - \$250,000 | \$250,001 - \$500,000 | 160 000 500 10 100 1052 S | Cree 31,000,000 " | \$5,000,001 - \$25,000,000 | \$25,000,001 \$50,000,000 | Over \$58,008,000 | Excepted Investment franc | Excepted Trust Outlifted Trust | Dividends | Rent and Royalties | | Capital Gains | None (or less than \$201) | \$201 - \$1,000 | \$5,501 - \$5,000 | (| | \$50,001 - \$100,000 | 900 | Over \$1,000,000* | \$1,00 0 ,041 - \$3,000,000 | Over \$5,000,000 | Other Income (Specify Type & Actual Amount) | | Date (Mo., Day, Yr.) Only if Honoraria |
| | Comcast Corp. Special CL A | | × | | | | | | | | | | - | × | | - | | × | | | | | | | | | | | | |
| | Coach Inc. | | X | | | | | | | | | | | digital production | | | | × | | | | | | | | | | | | |
| | Cognizant Technology Solutions CL A | | X | | | | | | | | | | | | | | | х | | | | | | | | | | | | |
| 4 | Citrix Systems Inc. | | X | | | | | | | | | | | Constant Constant | | | | х | | | | | 000000000000000000000000000000000000000 | | | | | _ | | |
| 5 | Danaher Corp. | | х | | | | | | | | 0.00 | | | x | | | | X | | | | | | | | | | | | |
| 6 | Genentech Inc. | | x | | | | | | | | | | | | | | | X | | | | | | | | | | | | |
| 7 | DaVita Inc. | | x | | | | | | | | | | | - andreaded | | | | X | | | | | | | | | | | | |
| 8 | Electronic Arts Inc. | | X | | | | | | | | | | | O. O | | | | X | | | | | | | | | | ` | | |
| 9 | FMC Technologies Inc. | | х | | | | | | | | | | | | | | | X | | | | | | | | | | | | |
| | This category applies only if the asset/income | is solely | that | of th | e file | r's sp | ouse o | r deş | pende | ent cl | nildre | en. I | f the as | set/ir | icom | e is e | ithe | r tha | t of th | e file | r or j | ointly | y held | i by t | the fil | er w | ith t | the spouse or dep | ende | nt children, |

| Reporting Individual's Name | SCHE | DULE A continued | Page Number 12 |
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| CARTER, Ashton B. | η | Jse only if needed) | |
| Assets and Income | Valuation of Assets at close of reporting period BLOCK B | Income: type and amount. If "None (or less than \$201)" other entry is needed in Block C for that item. BLOCK C | is checked, no |
| None | Note for less than \$1,891) \$1,001 - \$15,000 \$15,001 - \$15,000 \$180,001 - \$100,000 \$250,001 - \$500,000 \$500,001 - \$500,000 \$500,001 - \$500,000 \$5,000,001 - \$25,000,000 \$5,000,001 - \$25,000,000 \$25,000,001 - \$25,000,000 \$25,000,001 - \$25,000,000 | Excepted Trust Cualified Trust Original Trust Dividends Rem and Revalues Laterest Capital Galax None (or less than \$201) \$2.01 - \$1.500 \$2.501 - \$1.500 \$2.501 - \$1.000,000 \$3.501 - \$1.000,000 \$3.501 - \$1.000,000 \$3.501 - \$1.000,000 \$3.501 - \$1.000,000 \$3.501 - \$1.000,000 \$3.501 - \$1.000,000 \$3.501 - \$1.000,000 \$3.501 - \$1.000,000 | Other Income (Mo., Day, Yr.) Type & Actual Amount) Honoraria |
| 1 Google Inc. 2 IDEXX Laboratories Inc. | X | l x | |
| 2 IDEAN Laboratories Inc. | X | | |
| 3 Intuitive Surgical Inc. | x | X I I I I I I I I I I I I I I I I I I I | |
| 4 Mastercard Inc. | x | X X | |
| 5 MICROS Systems Inc. | x | x | |
| 6 Medtronic Inc. | x | X X | |
| 7 Millipore Corp. | × | .x | |
| 8 NetApp Inc. | . x | X I I I I I I I I I I I I I I I I I I I | |
| 9 PepsiCo. Inc. | × | x | |

| 5 C.F.R Part 2634 U.S. Office of Government Ethics | | | | |
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| Reporting Individual's Name | SCH | EDIII E | A continued | Page Number |
| CARTER, Ashton B. | | | | 13 |
| | | Use only i | r needed) | - Link Million |
| Assets and Income | Valuation of Assets at close of reporting period BLOCK B | | Income: type and amount. If "None (or less than \$201)" other entry is needed in Block C for that item. BLOCK C | is checked, no |
| BLOCKA | BLOCK B | | Type Amount | |
| None | Sone for less than \$1,001) \$1,001 - \$15,000 \$15,001 - \$100,000 \$50,001 - \$100,000 \$250,001 - \$500,000 \$250,001 - \$500,000 \$550,001 - \$500,000 \$550,001 - \$500,000 \$550,000,001 - \$25,000,000 \$25,000,001 - \$25,000,000 \$25,000,001 - \$25,000,000 | Excepted Investment Fund Excepted Trust Onalified Frust | 110.52.01) 110.52.01) 110.600 | Other Income (Mo., Dav. Yr.) Type & Actual Amount) Only if Honoraria |
| 1 PetSmart Inc. | × | | X X | |
| 2 Parametric Technology Corp. | × | | X | |
| 3 Roper Industries Inc. | X | | | |
| 4 Charles Schwab Corp. | × | | X X | |
| 5 Schlumberger Ltd. | x | | X | |
| 6 Stryker Corp. | × | | x | |
| 7 Trimble Navigation Ltd. | x | | X | |
| в Ultra Petroleum Corp. | × | | X | |
| Oppenheimer Developing Mkts Fund, A | | * | X | |
| * This category applies only if the asset/income is mark the other higher categ | solely that of the filer's spouse or dependent child | ren. If the ass | set/income is either that of the filer or jointly held by the filer with | the spouse or dependent children |

5 C.F.R. Part 2634

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| ASIRON B. | | | | | | | | | | | (Us | e oi | ıly i | if no | eede | ed) | | | | | | | Name - | | | | | | ······································ |
| Assets and Income | | | , | | at o | close ing p | of perio | | | | | | | | | | | | | | ock (| C for | that | | | n \$2 | 01)" | is checked, no | |
| | None (or less than \$1,00) | \$1,001 - \$15,000 | \$15,001 - \$50,000 | \$50,001 - \$100,000 | | | | \$1,000,001 - \$15,000,000 | \$5,000,001 - \$25,000,000 | \$25, her mil - 85t, tag and 525 | Over 350,000,000 Exerned Investment Fund | Errenfed Trust | Ougliffed Trust | Dividends | | | Capital Gains | None (or less than \$201) | 5201 - \$1,000 | \$1,001 - \$2,500 | | Ar | nour | 0 | Over \$1,000,000* | \$1,800,001 - \$5,000,000 | Over \$5,000,000 | Other Income (Specify Type & Actual Amount) | Date (Mo., Day, Yr.) Only if Honoraria |
| shire Hathaway CL B | | х | | | | | | | | | | | | | | | | х | | | | | | | | | | | |
| RES FTSE/XINHUA CH25 | | × | | | | | | | | | × | | | | | | | X | | | | | | | | | | | |
| RES MSCI EAFE INDEX | | × | | | | | | | | | | | | | | | | X | | | | | | | | | | | |
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| olme Fund | | | X | | | | | | | | ľ | | | × | | | × | | | | | | | | | | | | |
| n Adv Maryland Bond Fund (BIAMX) | | | | | X | | | | | | × | | | × | | | X | | | | > | ζ | | | | | | | · |
| | · | Assets and Income BLOCK A BL | Assets and Income BLOCK A ITEM 15 unit of 100 15 | Assets and Income BLOCK A IIII I I I I I I I I I I I I I I I I | Assets and Income BLOCK A BL | Assets and Income BLOCK A BL | Assets and Income BLOCK A BL | Assets and Income BLOCK A BLOCK A BLOCK B BL | Assets and Income BLOCK A BLOCK A BLOCK B * 000 0015 - 100 055 - 100 055 - 100 055 - 100 055 - 100 055 - 100 055 - 100 055 - 100 055 - 100 055 - 100 055 - 100 055 - 100 055 - 100 055 - 100 055 - 100 055 - 100 055 - 100 055 - 100 055 - 100 055 - 100 055 - 100 055 - 100 055 - 100 055 - 100 055 - 100 055 - 100 055 - 100 055 - 100 055 - 100 055 - 100 055 - 100 055 - 100 055 - 100 055 - 100 055 - 100 055 - 100 055 - 100 055 - 100 055 - 100 055 - 100 055 - 100 055 - 100 055 - 100 055 - 100 055 - 100 055 - 100 055 - 100 055 - 100 055 - 100 055 - 100 055 - 100 055 - 100 055 - 100 055 - 100 055 - 100 055 - 100 055 - 100 055 - 100 055 - 100 055 - 100 055 - 100 055 - 100 055 - 100 055 - 100 055 - 100 055 - 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| U.S. Office of Government Ethics Reporting Individual's Name | | | Page Number |
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| CARTER, Ashton B. | | EDULE A continued | 15 |
| | | Use only if needed) | |
| Assets and Income | Valuation of Assets at close of reporting period | Income: type and amount. If "None (or less than \$201) other entry is needed in Block C for that item. | is checked, no |
| BLOCK A | BLOCK B | BLOCK C | |
| None | None (or less than \$1,801) \$1,001 - \$15,000 \$15,001 - \$15,000 \$15,001 - \$100,000 \$150,001 - \$100,000 \$50,001 - \$500,000 \$50,001 - \$500,000 \$50,001 - \$500,000 \$500,001 - \$500,000 \$25,000,001 - \$25,000,000 \$25,000,001 - \$25,000,000 \$25,000,001 - \$25,000,000 | Excepted livestment Fund Excepted Trust Qualified Trust Dividends Rent and Royalites Rent and Royalites Interest (aptic less than \$201) \$2.50 | Other Income (Mo., Day (Specify Yr.) Type & Actual Amount) Only if Honoraria |
| Fundamental Invs Inc-F (American Funds) | | | |
| 2 AMR FD SR1 TX EX FD MD (American Funds) | | x x x | |
| 3 Bond Fund of America-A (American Funds) | × | X X X | |
| 4 Money Market Fund (American Funds) | * | X | |
| 5 Anne Arundel 5% 3/1/2017 (refunding bonds) | | X X | |
| 6 Baltimore CN 5% 9/1/2014 (water utilities improvement; sewer improvement; refunding notes) | * | × × | |
| 7 Maryland ST 5.25% 3/1/2018 (public improvement) | × | × | |
| 8 Maryland ST 5.25% 12/15/2014 (transit improvement) | X | × × | |
| 9 Oppenheimer Global Fund Class A | | | |
| * This category applies only if the asset/income mark the other higher categ | is solely that of the filer's spouse or dependent child | iren. If the asset/income is either that of the filer or jointly held by the filer wi | h the spouse or dependent children |

| porting Individual's Name | | | | | | | | | SC | CH | ED | U | LE | A | con | ıtiı | nue | ed | | | | | | | | | | | Page Number | 3 |
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| ARTER, Ashton B. | | | | | | | | | | | (Us | e c | only i | fr | neede | ed) | | | | | | | | | | | | | | |
| Assets and Income | | | V | 4 | at cl | ose o | f | | | - | | | | | i com her e | | | | | | | | | | | | n \$2 | 01)" | is checked, no | |
| BLOCK A | | | ooda " | | | CK B | | | ······································ | 22.53 | | 200 | 100000 | L | | | | | | | | | OC. | | | | | | | |
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| Capital Partners Management Co. Baltimore, MD (spouse)(financial analyst) | | | | | | | | | | | | | | | | | | | | | | | | | | | | | salary | |
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| T. Rowe Price Small-Cap Value | | | × | | | | | | | | | | | | | | | Х | | | | | | | | | | | | |
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| T. Rowe Price Spectrum Income | | | | × | | | | | | | 3 | | | | | | | Х | | | | | | | | | | | | |
| Fidelity 403(B), Fidelity Small Cap Independent Fund | | | 2 | < | | | | | | | | | | | | | | X | | | | | | | | | | | | |
| Fidelity Low Price Stock Fund | | | 7 | ĸ | | | | | | | | | | | | | | х | | | | | | | | | | | | |

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Fidelity Investment Grade Bond Fund

Vanguard 403(B), Vanguard Int'l. Growth Fund

^{*} 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

| Reporting Individual's Name | COLLEGE TO A | Page Number |
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| CARTER, Asinton B. | SCHEDULE A continued | 17 |
| | (Use only if needed) | |
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| Assets and Income | | amount. If "None (or less than \$201)" is checked, no ed in Block C for that item. |
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* 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

| Reporting Individual's Name | SCHEDULE A continued | r |
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| CARTER, Ashton B. | (Use only if needed) | |
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| CARTER, ASRON B. | | | | | | | | | α | Jse . | onl | v if | nee | edec | 1) | | | | | | | | | | | | |
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| teport any purchase, sale, or exc ir dependent children during the | | report a transaction involving property used solely as your personal residence, or a transaction solely between you, | 1 | ansacti Type (x | | | | | | Aı | mount (| of Tran | saction | (x) | | | | |
| property, stocks, bonds, commod ecurities when the amount of the \$1,000. Include transactions that | transaction exceeded | your spouse, or dependent child. Check the "Certificate of divestiture" block to indicate sales made pursuant to a certificate of divestiture from OGE. | Purchase | le | Exchange | Date (Mo., Day, Yr.) | \$1,001 - \$15,000 | , 100, | \$50,001 - | 30,000 30,000 | 50,001 - | 000,000 | er 000,000* | 000,001 - | \$5,000,001 - \$25,000,000 | - 1000,000; | Over \$50,000,000 | Certificate of |
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| y the filer or jointly held by the Part II: Gifts, Reim | filer with the spouse or depend bursements, and T | | | ther he | eld | ······································ | | - | | | | | | | | | <u></u> | |
| For you, your spouse and der ion, and the value of: (1) gift food, or entertainment) receiv 2) travel-related cash reimbut han \$260. For conflicts analyss personal friend, agency ap authority, etc. For travel-relat lates, and the nature of expensions. | ts (such as tangible items, tr ved from one source totaling ursements received from one yeis, it is helpful to indicate proval under 5 U.S.C. § 41 ted gifts and reimbursement | ransportation, lodging, g more than \$260; and e source totaling more a basis for receipt, such 11 or other statutory is, include trayel itinerary. | rece inde the c total | ived f pende lonor' value | from ent of 's res e from | rnment; gir relatives; if their relatidence. Al m one sour sions. | eceived ionship so, for | to y | your s ou; or | pouse prov f agg | e or de ided a regati | epend as per ng gii | ent ch sonal its to | nild to hospi detern | otally itality mine the structi | at he | | J |
| Source (Nam | ne and Address) | | Br | ief Des | criptic | on | | | | | | - | | | | | Value | |
| Examples: Nat'l Assn. of Rock Frank Jones, San Fr | | Airline ticket, hotel room & meals incident to national conference 6/ Leather briefcase (personal friend) | /15/99 (p | ersona | l activ | ity unrelated | to duty) | | | | | | | | | | \$500 \$300 | |
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| eporting | Individual's Name | | | | | | | | | | | | Page | Number | | | - |
| CARTE | R, Ashton B. | | SCHEDUI | LE C | | | | | | | | | | 22 | | | |
| Part I: | Liabilities | | | | | | | | | | | | | | | | _ |
| Report lis | abilities over \$10,000 owed to an | y one creditor at | personal residence unless it is rented out; loans secured | | No | one | | | | Cata | gory of | 4-1 | | less (sa) | | | |
| my time | during the reporting period by y | ou, your spouse, | by automobiles, household furniture or appliances; and | | | است | | | | Cale | gory or A | Amoun | or va | iue (x) | | | |
| ir depend | lent children. Check the highest | amount owed | liabilities owed to certain relatives listed in instructions. | | | | | $\neg \vdash$ | | | | | | 1. | , , | - 0 | |
| luring th | e reporting period. Exclude a m | ortgage on your | See instructions for revolving charge accounts. | Date Incurred | Interest Rate | Term appli- cable | . 100,001 | \$15,000 | \$50,000 | 0000 | 100.00 | \$500,001 - | Over \$1,000,000 | \$1,000,001 | \$5,000,001 | \$25,000,001 | 200 |
| | Creditors (Name and | Address) | Type of Liability | - | | Cable | 10, | 515 | 50, | | | 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 | 9. cver | 0.00 | 5,00 | 152 | 15 Kg |
| Chample | First District Dank Washington | | Mortgage on rental property, Delaware | 1991 | 8% | 25 yrs | | 47 47 | X | | 7 97 07 | 97 67 | 0 69 | 100 | W V3 | 03 03 | 100 |
| Examples | John Jones, 123 J St., Washingto | on, DC | Promissory note | 1999 | 10% | on dem | nd | | | | x | | 1 | | | | 1 |
| | ident & Fellows of Harvard Co | ollege | Educational loan for children's college | 2006 | 0 | 10 yr | 3. | | | | X | | 1 | | | | |
| | bridge, MA | | | | <u> </u> | | _ | - | | - | | | — | | <u> </u> | ļ | |
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| | | | er's spouse or dependent children. If the liability is that of the | filer or a | oint liabili | ity of the | iler | | | | | | | | | | |
| - | spouse or dependent children, m | | legories, as appropriate. | | | | | _ | | | | | - | | | | - |
| Part ! | II: Agreements or A | rrangements | | | | | | | | | | | | | | | |
| Report y | our agreements or arrangeme | ents for: continuing | participation in an | of absen | ce; and (| 4) future | emplo | ymen | it. See | instru | ctions | regar | ding | the re | portin | g | |
| employe | e benefit plan (e.g. 401k, dei | ferred compensation | (2) continuation | of negot | iations fo | or any of | these a | arrang | gemen | ts or b | enefits | 3 | | | | • | |
| paymen | by a former employer (inclu | ding severance payr | nents); (3) leaves | | | | | | | | | | | | | | |
| | | | | | | - | | | | | | | None | | 1 | | |
| | | | Agreement or Arrangement | | | | | | | Parti | | | | | | | ate |
| Exampl | calculated on service performe | ed through 1/00. | am payment of capital account & partnership share | | | | Doe Jone | es & Sr | nith, Ho | metow | n, State | | | | | 7 | /85 |
| | | ke a Leave of Abser | nce from my position at Harvard University. The leave of | f absence | term is | 1 | Harvar | | , | | | | | | | (| 09 |
| | vo years. | | | | | | Cambr | | | | | | | | | | |
| | | | lobal Technology Partners, and will receive my partners | ship share t | noqu | | Global | | nology | Partn | ers | | | | | 1 | 09 |
| | resignation. I estimate such | | ก จอบ,000. Harvard's 403b and 457 plans and its health insurance | alon but U | | | Boston | | corcity | | | | | | | 110 | 1/90 |
| | no longer contribute to either | | halvards 400b and 407 plans and its fleatiff insurance | pian, but m | aivaid wi | ווו ווט וטוו | Tai vaii | u Onn | ver sity | | | | | | | 17 | 1/90 |
| 4 | to longer containance to entitler to | or those plans. | | | | | | | | | | | | | | ┼ | |
| | | | | | | [| | | | | | | | | | 1 | |
| 5 Con | sistent with Harvard's policy o | n providing interest- | free loans to faculty | | | | Harvar | d Univ | /ersity | | | | | | | 20 | 006 |
| men | bers, whether on leave of ab | sence or not, for the | r children up to a limit of \$298,116, upon my appointme | nt I will con | tinue | | | | | | | | | | | | |
| | | on termination of my | leave of absence, if I do not return to my full time Harvi | ard faculty p | osition, | | | | | | | | | | | | |
| will | repay the loan in its entirety. | | | | | | | | | | | | | | | | |

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| Reporting Individual's Name | | | | Page Number | | | | |
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| CARTER, Ashton B. | | SCHEDULE D | | 2 | 3 | | | |
| Part I: Positions Held Outsi Report any positions held during the ar compensated or not. Positions include director, trustee, general partner, propr | pplicable reporting period, whether but are not limited to those of an officer, | consultant of any corporation, firm, par non-profit organization or educational social, fraternal, or political entities and | rtnership, or other business enterprise or institution. Exclude positions with religi if those solely of an honorary nature. | any ous, None | | | | |
| Organi | zation (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 | ı, State | Law firm | Partner | 7/85 | 1/00 | | | |
| 1 The MITRE Corporation 7515 Colshire Drive, McLean, V | | Non-profit in technology (manages 3 FFRDCs) | Trustee | 1/06 | Present | | | |
| 2 Massachusetts Institute of Tech 244 Wood Street, Lexington, M | A 02420-9185 | Federally Funded Research & Development Center (FFRDC) | Member of Advisory Board | 10/98 | Present | | | |
| 3 Global Technology Partners, LL Boston, MA | .c | Consulting/Advisory Partnership | Senior Partner | 1/98 | Present | | | |
| 4 Charles Stark Draper Laborator 555 Technology Square, Camb | ridge, MA 02139-3563 | Research & Development Laboratory | Member of Corporation | 3/00 | Present | | | |
| 5 National Security Strategy & Po Congressional Commission on | | Advisory Group Congressionally mandated | Chair | 7/08 | Present | | | |
| Goldman Sachs & Co. One New York Plaza, 40th floor | , New York, NY 10004 | Global Investment Banking & Securities Firm | Consultant | 11/97 | Present | | | |
| Report sources of more than \$5,000 co | ed directly by you during any one year of | corporation, firm, partnership, or other | business enterprise, or any other non-product the services generating a fee or payme port the U.S. Government as a source. | ofit if you are a nt Termination Vice Presid | ential tial Candidate | | | |
| Source (Name and Address) | | | Brief Description of Duties | 210110 | | | | |
| Example: Doe Jones & Smith, Hometown | n, State e Jones & Smith), Moneytown, State | Legal services Legal services in connection with univers | ity construction | | | | | |
| Harvard University Cambridge, MA 02138 | | Teaching, Administration & Research | - | | | | | |
| 2 Global Technology Partners, LL Boston, MA 02110 | .c | Consulting and Advising (clients inc Baltimore, MD; McKinsey & Co., Wa | clude Textron, Inc., Providence, RI; C ashington, DC) | Constellation Energy | y & Gas, | | | |
| 3 The MITRE Corporation 7515 Colshire Drive, McLean, \ | /A 522102-7508 | Advising as trustee | | | | | | |
| 4 Aurora Flight Science Corporat 9950 Wakeman Drive, Manass | | Speaking and advising, Jun-13-07 | | | | | | |
| 5 Stanford University 3 Encina Hall, Stanford, CA 94 | | Conference fee | | | | | | |
| 6 Charles Stark Draper Laborator | arles Stark Draper Laboratory Corporation Fee as member of Corporation 5 Technology Square, Cambridge, MA 02139-3563 | | | | | | | |

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| Reporting Individual's Name | | | | Page Number | |
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| CARTER, Ashton B. | | SCHEDULE D | | 2 | 4 |
| Part I: Positions Held Outsi Report any positions held during the ar- compensated or not. Positions include director, trustee, general partner, propri | oplicable reporting period, whether but are not limited to those of an officer, | consultant of any corporation, firm, partne non-profit organization or educational inst social, fraternal, or political entities and th | titution, Exclude positions with religious | y s. None | |
| Organi | zation (Name and Address) | Type of Organization | Position Held | From (Mo., Yr.) | To (Mo., Yr.) |
| Examples: Nat'l Assn. of Rock Collectors, Doe Jones & Smith, Hometown | NY, NY n, State | Non-profit education Law firm | President Partner | 6/92 7/85 | Present 1/00 |
| | pen Institute) 700, Washington, DC 20036-1133 | Bipartisan membership organization foreign policy | Member | 8/97 | Present |
| Council on Foreign Relations 58 East 68th Street, New York, | | indep. Nonpartisan membership organization, think tank & publisher | Member | 11/89 | Present |
| American Academy of Arts & State 136 Irving Street, Cambridge, N | | honorary society recognizing achievement in arts & sciences | Fellow | 4/89 | Present |
| American Physical Society One Physics Ellipse, College P | Park, MD 20740-3844 | society advancing physics | Member | 5/76 | Present |
| 5 International Institute for Strate 13-15 Arundel Street, Temple F | gic Studies(IISS) Place, London, England WC2R 3DX | think tank focused on international security | Member | 5/97 | Present |
| 6 National Committee on U.SCh 71 West 23rd Street, Suite 190 | | organization focused on U.SChina relationship | Member | 11/98 | Present |
| Report sources of more than \$5,000 co business affiliation for services provide | excess Of \$5,000 Paid by One Sompensation received by you or your ed directly by you during any one year of mames of clients and customers of any | corporation, firm, partnership, or other bu organization when you directly provided to of more than \$5,000. You need not report | the services generating a fee or payment | if you are ar Termination Vice Preside | ential tial Candidate |
| Source (Name and Address) | | | Brief Description of Duties | | |
| Examples: Doe Jones & Smith, Hometown Metro University (client of Doe 1 Center for a New American Sec | e Jones & Smith), Moneytown, State | Legal services Legal services in connection with university Report preparation | construction | | |
| | suite 403, Washington, DC 20004 | Topon proparation | | | |
| Massachusetts Institute of Tech 244 Wood Street, Lexington, M | | Advising as member of advisory board | d | | |
| Goldman Sachs & Co. One New York Plaza, 40th floor | r, New York, NY 10004 | Advising | | | |
| 5 Caxton Associates, LLC 500 Park Avenue, 10th floor, N | ew York, NY 10022 | Advising | | | |
| 6 Raytheon Dallas, TX | | Service: Critical Analysis on 10/20/08 | 3, invoiced on 11/3/08 | | |
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| Reporting Individual's Name | | | | Page Number | |
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| CARTER, Ashton B. | | SCHEDULE D | | 2 | 5 |
| Part I: Positions Held Outs Report any positions held during the ar compensated or not. Positions include director, trustee, general partner, propr | pplicable reporting period, whether but are not limited to those of an officer, | consultant of any corporation, firm, partn non-profit organization or educational ins social, fraternal, or political entities and t | stitution. Exclude positions with religiou | y ss. None | |
| Organi | ization (Name and Address) | Type of Organization | Position Held | From (Mo., Yr.) | To (Mo., Yr.) |
| Examples: Nat'l Assn. of Rock Collectors, Doe Jones & Smith, Hometow | NY, NY | Non-profit education Law firm | President Partner | 6/92 7/85 | Present |
| American Academy of Diploma 1726 M Street, NW Suite 202, N | cy Washington, DC | honorary priv. nonprofit, nonpartisan corp. of elected American foreign poli | Member icy leaders | 12/08 | Present |
| | nd Capabilities To Combat WMD - DC | Review Panel on combatting WMD make reccs to DOD and US gov't | Co-Chair | 8/07 | 7/2008 |
| 3 Center for Strategic & Internation 1800 K Street, NW - suite 400, | Washington, DC 20006 | public policy research institution | Senior Associate, International Security Program | 3/03 | 2/09 |
| 4 National Missile Defense White Analyses, 4850 Mark Center De | Team - Institute for Defense rive, Alexandria, VA 22311-1882 | Advisory Group to Missile Defense Agency | Member | 5/98 | Present |
| 5 International Security Advisory DOS, 2201 C St. NW, ISN/SPC | Board to the Secretary of State), Room 3209, Washington, DC 20520 | Advisory Board on arms control matters & international security | Member | 9/06 | 1/08 |
| 6 Mitretek Systems, Inc. (now No 3150 Fairview Park Drive South | blis) n, Falls Church, VA 22042-4519 | nonprofit science, technology and strategy organization | Trustee | 5/97 | 5/07 |
| Report sources of more than \$5,000 co business affiliation for services provide | Excess Of \$5,000 Paid by One Sompensation received by you or your ed directly by you during any one year of anames of clients and customers of any | urce corporation, firm, partnership, or other by organization when you directly provided of more than \$5,000. You need not report | the services generating a fee or payment | t if you are an Termination Vice Preside | Filer, or |
| Source (Name and Address) | | | Brief Description of Duties | | |
| 1 Mitretek Systems, Inc. (now No | e Jones & Smith), Moneytown, State | Legal services Legal services in connection with university Advising as trustee | y construction | the state of the state of the state of | |
| 2 | , I also order with the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of the control of t | | | | |
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| Reporting Individual's Name CARTER, Ashton B. | | SCHEDULE D | Page Number 26 | | | | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------|----------------------------------------|--|--|
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| Part I: Positions Held Out Report any positions held during the compensated or not. Positions inclu- director, trustee, general partner, pro | applicable reporting period, whether de but are not limited to those of an officer, | | thership, or other business enterprise or any nstitution. Exclude positions with religious those solely of an honorary nature. | | | | |
| Orga | anization (Name and Address) | Type of Organization | Position Held | From (Mo., Yr.) | To (Mo., Yr.) | | |
| Examples: Nat'l Assn. of Rock Collector Doe Jones & Smith, Hometor | own, State | Non-profit education Law firm | President Partner | 6/92 7/85 | Present 1/00 | | |
| 1 Center for a New American S | ecurity, Wash, DC | think tank | Board of Advisors | 4/07 | 3/09 | | |
| 2 Stanford University Palo Alto, CA | | University | consultant, 1 day | 5/07 | 5/07 | | |
| 3 Aurora Flight Science Corp. M Center for a New American S | ecurity, Wash, DC | Space Technology Company think tank | consultant, 1 day consultant, 1 day | 6/07 5/08 | 6/07 5/08 | | |
| 4 MIT Lincoln Laboratory, Lexin | ngton, MA | Fed. Funded Research and Dev. Corp. | Chairman and Member of Advisory Board | 5/98 | present | | |
| 5 Caxton Associates, LLC NY, NY | | Hedge Fund | speaker | 3/07 | 3/07 | | |
| 6 Raytheon, Dallas, TX Harvard University, Cambridge | ie. MASS | Defense Contractor University | one day technical advice Senior Faculty Member | 10/08 9/88 | 10/08 present | | |
| Report sources of more than \$5,000 business affiliation for services provided | Excess Of \$5,000 Paid by One Second compensation received by you or your ided directly by you during any one year of the names of clients and customers of any | corporation, firm, partnership, or other l | business enterprise, or any other non-profit d the services generating a fee or payment ort the U.S. Government as a source. | if you are at Termination Vice Presid | ential tial Candidate | | |
| Source (Name and Address) | | | Brief Description of Duties | | | | |
| Examples: Doe Jones & Smith, Hometo Metro University (client of I | own, State Doe Jones & Smith), Moneytown, State | Legal services Legal services in connection with universi | ity construction | | | | |
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