

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

BROUILLETTE, DANNY R

Secretary, Department of Energy

Other Federal Government Positions Held During the Preceding 12 Months:

Deputy Secretary (8/2017 - Present)

Names of Congressional Committees Considering Nomination:

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

/s/ BROUILLETTE, DANNY R [electronically signed on 10/11/2019 by BROUILLETTE, DANNY R in Integrity.gov]

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

/s/ Beard, Susan F, Certifying Official [electronically signed on 11/07/2019 by Beard, Susan F in Integrity.gov]

Other review conducted by

/s/ Beard, Susan F, Ethics Official [electronically signed on 11/07/2019 by Beard, Susan F in Integrity.gov]

Comments of Reviewing Officials (public annotations):

PART	#	REFERENCE	COMMENT
N/A	N/A	General	(11/05/2019, Beard, Susan F): Per the filer: I inadvertently omitted a Supplemental Retirement Plan as a receivable and as an agreement with my former employer, USAA, on my initial nominee report in 2017. I subsequently reported the payment on the 2018 annual financial disclosure. During the relevant time frame I did not participate in any particular matters that had a direct and predictable effect on the ability and willingness of USAA to make the payment.

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	United Services Automobile Association (USAA)	San Antonio, Texas	Corporation	Senior Vice President	6/2006	8/2017

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	USAA, defined benefit pension plan	N/A	\$15,001 - \$50,000		None (or less than \$201)
2	USAA Defined Contribution Pension Plan	No			
2.1	USAA Target Retirement 2030 Fund (URTRX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.2	USAA Money Market Fund (USEXX)	Yes	\$5,000,001 - \$25,000,000		None (or less than \$201)
2.3	USAA Target Retirement 2020 Fund (URTNX)	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
2.4	Fidelity New Millennium (FMILX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.5	USAA International Fund (USIFX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.6	USAA Emerging Markets Fund (USEMX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.7	USAA Growth Fund (USAAX)	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.8	USAA Income Fund (USAIX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
2.9	USAA Managed Allocation Fund (UMAFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.10	USAA Income Stock Fund (USISX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.11	USAA Short Term Bond Fund (USIBX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.12	USAA Intermediate Term Bond Fund (USIBX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.13	USAA High Income Fund (USHYX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.14	USAA Small Cap Stock Fund (USCAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.15	USAA Tax Exempt Short Term Fund (USSTX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3	USAA Long-Term Bonus Plan	See Endnote	N/A	cash payment	\$1,274,917

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	USAA	San Antonio, Texas	This is a defined benefit plan, which was suspended in 2007 and replaced with a defined contribution plan. I am fully vested and will elect to rollover and defer retirement payments until age 62.	6/2006
2	USAA	San Antonio, Texas	I will continue to participate in this defined contribution plan. Neither I nor the plan sponsor will make further contributions.	7/2007

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	USAA	San Antonio, Texas	Salary and bonus received for services as a Senior Vice President.

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

None

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	US Banking Institution (cash account)	N/A	\$100,001 - \$250,000		None (or less than \$201)
2	US Banking Institution Money Market Cash Account	N/A	\$1,000,001 - \$5,000,000	Interest	\$5,001 - \$15,000
3	Certificate of Deposit with US Banking Institution	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
4	Undeveloped Real Estate, Croom, MD	N/A	\$5,000,001 - \$25,000,000		None (or less than \$201)
5	USAA Fixed Annuity	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
6	USAA Whole Life Insurance	N/A	\$1,001 - \$15,000		None (or less than \$201)
7	Benton County, WA School District Bond (083023PD7)	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8	Florida State Board of Education Public Education Bond (34153PG44)	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
9	Goose Creek, TX Cons Independent School Bond (382604B54)	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
10	Lakeland, TN GO CAP Outlay Bond (51186DAK6)	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
11	Massachusetts State School Bldg Authority Bond (576000MN0)	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
12	Northside TX Independent School District Bond (66702RFV9)	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
13	Texas A&M University Bond (8821356SO)	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
14	University Northern Colorado Greeley Institutional Bond (914733BR0)	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
15	Texas State General Obligation Bond (8827234P1)	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
16	VA State Public School Authority Bond (92817SJY5)	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
17	WA State General Obligation Bond (92974CUM0)	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
18	SPDR Nuveen Bloomberg Short Term Municipal Bond ETF (SHM)	Yes	\$1,001 - \$15,000		\$201 - \$1,000

7. Transactions

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

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	U.S. Bank	Mortgage on Personal Residence	\$250,001 - \$500,000	2013	3.8%	30 years
2	Wells Fargo	Mortgage on Personal Residence	\$250,001 - \$500,000	2017	3.8%	30 years

9. Gifts and Travel Reimbursements

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

Endnotes

PART	#	ENDNOTE
2.	3	<p>I improperly reported the details of this long-term bonus plan when I reported it on my initial nominee report in 2017 and subsequent annual reports. This asset was previously reported as a deferred compensation plan, because it meets the IRS definition for that type of plan, but is known as the Long-term Bonus Plan by USAA. In addition, I underreported the value of the asset, which should have been reported as \$500,001 - \$1,000,000. I also did not properly list this asset in my 2018 and 2019 annual reports. I also did not fully understand the full contours of the plan. The plan is based in part on an individual rating, and in part on the meeting of company goals. The individual rating for me was fixed before I left USAA. The achievement of the company's goals were set by the company board of directors, based on company performance, and was uniformly applied to all employees participating in this plan. As of February of 2019, I have received all payments owed to me under this plan. During the relevant time frame I did not participate in any particular matters involving USAA that had a direct and predicable effect on my financial interest.</p> <p>I am amending my prior reports to correct these mistakes and to ensure full transparency.</p>

Summary of Contents

1. Filer's Positions Held Outside United States Government

Part 1 discloses positions that the filer held at any time during the reporting period (excluding positions with the United States Government). Positions are reportable even if the filer did not receive compensation.

This section does not include the following: (1) positions with religious, social, fraternal, or political organizations; (2) positions solely of an honorary nature; (3) positions held as part of the filer's official duties with the United States Government; (4) mere membership in an organization; and (5) passive investment interests as a limited partner or non-managing member of a limited liability company.

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

Part 2 discloses the following:

- Sources of earned and other non-investment income of the filer totaling more than \$200 during the reporting period (e.g., salary, fees, partnership share, honoraria, scholarships, and prizes)
- Assets related to the filer's business, employment, or other income-generating activities (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in income was received during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

3. Filer's Employment Agreements and Arrangements

Part 3 discloses agreements or arrangements that the filer had during the reporting period with an employer or former employer (except the United States Government), such as the following:

- Future employment
- Leave of absence
- Continuing payments from an employer, including severance and payments not yet received for previous work (excluding ordinary salary from a current employer)
- Continuing participation in an employee welfare, retirement, or other benefit plan, such as pensions or a deferred compensation plan
- Retention or disposition of employer-awarded equity, sharing in profits or carried interests (e.g., vested and unvested stock options, restricted stock, future share of a company's profits, etc.)

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

Part 4 discloses sources (except the United States Government) that paid more than \$5,000 in a calendar year for the filer's services during any year of the reporting period.

The filer discloses payments both from employers and from any clients to whom the filer personally provided services. The filer discloses a source even if the source made its payment to the filer's employer and not to the filer. The filer does not disclose a client's payment to the filer's employer if the filer did not provide the services for which the client is paying.

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

Part 5 discloses the following:

- Sources of earned income (excluding honoraria) for the filer's spouse totaling more than \$1,000 during the reporting period (e.g., salary, consulting fees, and partnership share)
- Sources of honoraria for the filer's spouse greater than \$200 during the reporting period
- Assets related to the filer's spouse's employment, business activities, other income-generating activities (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in income was received during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's spouse's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF). Amounts of income are not required for a spouse's earned income (excluding honoraria).

6. Other Assets and Income

Part 6 discloses each asset, not already reported, (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in investment income was received during the reporting period. For purposes of the value and income thresholds, the filer aggregates the filer's interests with those of the filer's spouse and dependent children.

This section does not include the following types of assets: (1) a personal residence (unless it was rented out during the reporting period); (2) income or retirement benefits associated with United States Government employment (e.g., Thrift Savings Plan); and (3) cash accounts (e.g., checking, savings, money market accounts) at a single financial institution with a value of \$5,000 or less (unless more than \$200 in income was received). Additional exceptions apply. Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

7. Transactions

Part 7 discloses purchases, sales, or exchanges of real property or securities in excess of \$1,000 made on behalf of the filer, the filer's spouse or dependent child during reporting period.

This section does not include transactions that concern the following: (1) a personal residence, unless rented out; (2) cash accounts (e.g., checking, savings, CDs, money market accounts) and money market mutual funds; (3) Treasury bills, bonds, and notes; and (4) holdings within a federal Thrift Savings Plan account. Additional exceptions apply.

8. Liabilities

Part 8 discloses liabilities over \$10,000 that the filer, the filer's spouse or dependent child owed at any time during the reporting period.

This section does not include the following types of liabilities: (1) mortgages on a personal residence, unless rented out (limitations apply for PAS filers); (2) loans secured by a personal motor vehicle, household furniture, or appliances, unless the loan exceeds the item's purchase price; and (3) revolving charge accounts, such as credit card balances, if the outstanding liability did not exceed \$10,000 at the end of the reporting period. Additional exceptions apply.

9. Gifts and Travel Reimbursements

This section discloses:

- Gifts totaling more than \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.

For purposes of this section, the filer need not aggregate any gift or travel reimbursement with a value of \$156 or less. Regardless of the value, this section does not include the following items: (1) anything received from relatives; (2) anything received from the United States Government or from the District of Columbia, state, or local governments; (3) bequests and other forms of inheritance; (4) gifts and travel reimbursements given to the filer's agency in connection with the filer's official travel; (5) gifts of hospitality (food, lodging, entertainment) at the donor's residence or personal premises; and (6) anything received by the filer's spouse or dependent children totally independent of their relationship to the filer. Additional exceptions apply.

Privacy Act Statement

Title I of the Ethics in Government Act of 1978, as amended (the Act), 5 U.S.C. app. § 101 et seq., as amended by the Stop Trading on Congressional Knowledge Act of 2012 (Pub. L. 112-105) (STOCK Act), and 5 C.F.R. Part 2634 of the U. S. Office of Government Ethics regulations require the reporting of this information. The primary use of the information on this report is for review by Government officials to determine compliance with applicable Federal laws and regulations. This report may also be disclosed upon request to any requesting person in accordance with sections 105 and 402(b)(1) of the Act or as otherwise authorized by law. You may inspect applications for public access of your own form upon request. Additional disclosures of the information on this report may be made: (1) to any requesting person, subject to the limitation contained in section 208(d)(1) of title 18, any determination granting an exemption pursuant to sections 208(b)(1) and 208(b)(3) of title 18; (2) to a Federal, State, or local law enforcement agency if the disclosing agency becomes aware of violations or potential violations of law or regulation; (3) to another Federal agency, court or party in a court or Federal administrative proceeding when the Government is a party or in order to comply with a judge-issued subpoena; (4) to a source when necessary to obtain information relevant to a conflict of interest investigation or determination; (5) to the National Archives and Records Administration or the General Services Administration in records management inspections; (6) to the Office of Management and Budget during legislative coordination on private relief legislation; (7) to the Department of Justice or in certain legal proceedings when the disclosing agency, an employee of the disclosing agency, or the United States is a party to litigation or has an interest in the litigation and the use of such records is deemed relevant and necessary to the litigation; (8) to reviewing officials in a new office, department or agency when an employee transfers or is detailed from one covered position to another; (9) to a Member of Congress or a congressional office in response to an inquiry made on behalf of an individual who is the subject of the record; (10) to contractors and other non-Government employees working on a contract, service or assignment for the Federal Government when necessary to accomplish a function related to an OGE Government-wide system of records; and (11) on the OGE Website and to any person, department or agency, any written ethics agreement filed with OGE by an individual nominated by the President to a position requiring Senate confirmation. See also the OGE/GOVT-1 executive branch-wide Privacy Act system of records.

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