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

Executive Branch Personnel PUBLIC FINANCIAL DISCLOSURE REPORT

Form Approved:
OMB No. 3209 - 0001

Date of Appointment, Candidacy, Election or Nomination (Month, Day, Year)	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)
		☒	2012	☐	☐	

	Last Name	First Name and Middle Initial
Reporting Individual's Name	Carter	Ashton B
Position for Which Filing	Title of Position	Department or Agency (If Applicable)
	Deputy Secretary of Defense	U.S. Department of Defense
Location of Present Office (or forwarding address)	Address (Number, Street, City, State, and ZIP Code)	Telephone No. (Include Area Code)
	1010 Defense Pentagon, Room 3E944, Washington, D.C. 20301	703-692-7150
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?
	Not Applicable	☐ Yes ☒ No

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
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]	AUG 20, 2013
Other Review (If desired by agency)	Signature of Other Reviewer	Date (Month, Day, Year)
Agency Ethics Official's Opinion	Signature of Designated Agency Ethics Official/Reviewing Official	Date (Month, Day, Year)
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]	Sept 20, 2013
Office of Government Ethics Use Only	Signature	Date (Month, Day, Year)
	[signature]	10/25/13

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

OGE Use Only

SEP 20 2013

Supersedes Prior Editions

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

Reporting Individual's Name	SCHEDULE A	Page Number
Carter, Ashton B		2 of

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													
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 ☐	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									
Examples: Doc Jones & Smith, Hometown, State			x																											Law Partnership Income $130,000	
Examples: Kempstone Equity Fund					x								x										x								
Examples: IRA: Heartland 500 Index Fund							x						x											x							
1 S ABS Partners III, LLC	X																			X											
2 S 1. Familymeds Group, Inc.	X																			X											
3 S ABS Capital Partners IV Trust								X																						Trust Income $51,581	
4 S 1. Cobalt Holding Co. (PC Tester)																														Received final escrow in Sept 2012	
5 S 2. PaySpan, Inc. (outsourse health) NOTE: Formerly Payformance Corp.																														See above entry for ABS Partners IV	
6 S 3. Rosetta Stone, Inc. (Foreign Language)																														See above entry for ABS Partners IV	

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

Reporting Individual's Name	SCHEDULE A continued (Use only if needed)	Page Number
Carter, Ashton B		3 of

Assets and Income	Valuation of Assets at close of reporting period															Income: type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item.																
BLOCK A	BLOCK B															BLOCK C																
																Type				Amount												
	None (or less than $1,001)	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Dividends	Rent and Royalties	Interest	Capital Gains	None (or less than $201)	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	Over $5,000,000	Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria
1 S — 4. Vibrant Media, Inc. (advertising)																															See above entry for ABS Partners IV	
2 S — ABS Partners V, LP / ABS Partners V, LLC									X																						PI/LLC Income $445,124	
3 S — 1. Alarm.com Holdings, Inc. (Security co.)			X													X			X							X					Partial sale of shs; still hold company in V	
4 S — 2. Avalere Health, Inc. (health advisory)																															See above entry for ABS Partners V	
5 S — 3. Brown Advisory Management, LLc (asset management)																															See above entry for ABS Partners V	
6 S — 4. eFashion Solutions, LLC (online retail)																															See above entry for ABS Partners V	
7 S — 5. Ignite Media Solutions, LLC (marketing solution)																															See above entry for ABS Partners V	
8 S — 6. InVision Holdings, Inc. (software)																															See above entry for ABS Partners V	
9 S — 7. ISO Group, Inc. (spare parts for defense industry)																															See above entry for ABS Partners V	

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Reporting Individual's Name	SCHEDULE A continued (Use only if needed)	Page Number
Carter, Ashton B		4 of

Assets and Income		Valuation of Assets at close of reporting period															Income: type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item.															
BLOCK A		BLOCK B															BLOCK C															
																	Type				Amount											
		None (or less than $1,001)	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Dividends	Rent and Royalties	Interest	Capital Gains	None (or less than $201)	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	Over $5,000,000	Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria
1 S	8. Renew Data Corp. (electronic storage)																														See above entry for ABS Partners V	
2 S	9. Source Medical Solutions, Inc. (health care - outpatient services)	X																		X								X			Sold company Oct 2012, still in escrow	
3 S	10.Superior Vision Services, Inc (health care - vision mgmt)	X															X			X						X					Sold company March 2012, Still in escrow	
4 S	ABS Partners VI, LLC						X																								LLC income $0	
5 S	1. Folio Dynamics, Inc. (product solutions for wealth advisory firms)																														See above entry for ABS Partners VI	
6 S	2. INTTRA, Inc. (e-commerce solutions)																														See above entry for ABS Partners VI	
7 S	3. Pathology Holdings, Inc. (health care - diagnostics)																														See above entry for ABS Partners VI	
8 S	4. Quofore, Inc. (software)	X																			X										Sold co in Oct 2012 for capital loss	
9 S	5. RedZone Robotics, Inc. (infrastructure asset management)																														See above entry for ABS Partners VI	

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Reporting Individual's Name	SCHEDULE A continued (Use only if needed)	Page Number
Carter, Ashton B		5 of

Assets and Income		Valuation of Assets at close of reporting period														Income: type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item.															
BLOCK A		BLOCK B														BLOCK C															
																Type				Amount											
		None (or less than $1,001)	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Dividends	Rent and Royalties	Interest	Capital Gains	None (or less than $201)	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	Over $5,000,000	Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria
1 S	6. Skinit, Inc. (technology/products to customize personal electronic devices on demand)																														See above entry for ABS Partners VI	
2 S	7. Syncapse Corp. (social media)																														See above entry for ABS Partners VI	
3 S	8. Tarpon Towers, LLC (wireless comm. towers)																														See above entry for ABS Partners VI	
4 S	9. Teachscape, Inc. (technology for education)																														See above entry for ABS Partners VI	
5 S	10. TechMediaNetwork, Inc. (media)																														See above entry for ABS Partners VI	
6 S	11. Whitney International University System, Ltd. (postsecondary education in Latin America)																														See above entry for ABS Partners VI	
7 S	12. Zoom Media Group, Inc. (media)																														See above entry for ABS Partners VI	
8 S	13. American Public Education, Inc. (online higher education)																														See above entry for ABS Partners VI	
9 S	ABS Partners VII, LLC				X																X										No income to date	

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

Reporting Individual's Name	SCHEDULE A continued (Use only if needed)	Page Number
,		6 of

Assets and Income	Valuation of Assets at close of reporting period														Income: type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item.														
BLOCK A	BLOCK B														BLOCK C														
															Type				Amount										
	None (or less than $1,001)	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Dividends	Rent and Royalties	Interest	Capital Gains	None (or less than $201)	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	Over $5,000,000	Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria
1 S 1. Accurate Group Holdings, Inc (Technology to mortgage lenders)																														See above entry for ABS Partners VII	
2 S 2. Athletes' Performance, Inc. (health care programs for athletes, military and corporations)																														See above entry for ABS Partners VII	
3 S 3. Alloy Digital Investments, LLC (online media company)																														See above entry for ABS Partners VII	
4 S 4. ConnectYourCare, Inc. (health care account administrator)																														See above entry for ABS Partners VII	
5																															
6 Bank of America - Checking Account			X															X		X										
7 Bank of America - Savings Account	X																	X		X										
8 Brookings Institution, Washington, DC 20036 Managing Nuclear Operations																	X			X										Value not readily Ascertainable	
9 Brookings Institute, Washington, DC 20036 Ballistic Missile Defense *																	X			X										Value not readily Ascertainable	

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* = filer

Reporting Individual's Name	SCHEDULE A continued (Use only if needed)	Page Number 7 of

Assets and Income		Valuation of Assets at close of reporting period													Income: type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that Item.														
BLOCK A		BLOCK B													BLOCK C														
															Type				Amount										
		None (or less than $1,001)	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Dividends	Rent and Royalties	Interest	Capital Gains	None (or less than $201)	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	Over $5,000,000	Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only If Honoraria
1 S	ABS Capital Partners, Baltimore, MD (Spouse) (Marketing & Communication Partner)																														Salary	
2 S	T. Rowe Price Growth Stock				X									X							X											
3 S	T. Rowe Price Small-Cap Value				X									X							X											
4 S	T. Rowe Price Equity Income				X									X							X											
5 S	T. Rowe Price Spectrum Income						X							X							X											
6 S	Oppenheimer Developing Markets Fund A	X												X							X										Traded 2012	
7 S	Oppenheimer Global Fund Class A	X												X							X										Traded 2012	
8 S	Oppenheimer Developing Markets Y				X									X							X											
9 S	Oppenheimer Global Y				X									X							X											

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Reporting Individual's Name	SCHEDULE A continued (Use only if needed)	Page Number
,		08 of

Assets and Income		Valuation of Assets at close of reporting period													Income: type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item.															
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		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	Berkshire Hathaway Inc. Series B New			X										X							X											
2 S	E-TRACS UBS Bloomberg CMI ETN (UCI)			X										X							X											
3 S	iShares S&P Latin America 40 (ILF)		X											X								X										
4 S	Brown Advisory Growth Equity Fund (BIAGX)			X										X							X											
5 S	Brown Advisory Equity Income Fund (BIADX)			X										X								X										
6 S	Van Eck Global Hard Assets Fund Class Y (GHAYX)			X										X								X										
7 S	Wasatch Emerging Markets Small Cap (WAEMX)			X										X							X											
8 S	Baltimore CN 5% 9/1/2014 (water utilities improvement, sewer improvement refunding)			X															X				X									
9 S	Maryland ST 5.25% 12/15/2014 (transit improvement)		X																X				X									

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Reporting Individual's Name	SCHEDULE A continued (Use only if needed)	Page Number
,		9 of

Assets and Income	Valuation of Assets at close of reporting period														Income: type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item.															
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															Type				Amount											Date (Mo., Day, Yr.) Only if Honoraria
	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)	
1 S Anne Arundel 5%3/1/2017 (refunding bonds)				X														X				X										
2 S Maryland ST 5.25% 3/1/2018 (public improvement)			X															X				X										
3 S Professionally Managed Brown Advisory Intermediate Income Institutional Fund			X										X								X										
4 S PIMCO Total Return Instl (PTTRX)			X										X									X										
5 S T.Rowe Price MD Tax-Free Bond (MDXBX)			X										X									X										
6 S Vanguard Inflation Protected Securities Fund (VIPSX)				X									X									X										
7 Doubleline FDS Emergind Markets Income Fund (DBLEX)			X										X									X										
8 Fairholme Fund (FAIRX)			X										X							X												
9 Brown Advisory Growth Equity Fund (BIAGX)				X									X							X												

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Reporting Individual's Name	SCHEDULE A continued (Use only if needed)	Page Number
,		10 of

Assets and Income	Valuation of Assets at close of reporting period															Income: type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item.																
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1 Professionally Managed Brown Advisory Intermediate Income Institutional Fund (BIAIX)					X								X										X								
2 Professionally Managed Brown Advisory Equity Income Institutional Fund (BIADX)					X								X										X								
3 Brown Advisory Small Cap Fundamenal Value Fund (BIAUX)			X										X								X										
4 Fundamental Investment Inc-F (AFIFX)				X									X									X									
5 Highland Equity Oppurtunities Fund - Long/Short Equity Fund Class Z (HEOZX)				X									X							X											
6 PIMCO Total Return Instl (PTTRX)				X									X									X									
7 T.Rowe Rice New Horizons Fund (PRNHX)				X									X							X											
8 FPA Crescent Portfolio Fund (FPACX)			X										X								X										
9 Wasatch Emerging Markets Small Cap (WARMX)				X									X								X										

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Reporting Individual's Name	SCHEDULE A continued (Use only if needed)	Page Number
,		11 of

Assets and Income	Valuation of Assets at close of reporting period														Income: type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item.															
BLOCK A	BLOCK B														BLOCK C															
															Type				Amount											
	None (or less than $1,001)	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Dividends	Rent and Royalties	Interest	Capital Gains	None (or less than $201)	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	Over $5,000,000	Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only If Honoraria
1 Brown Advisory Growth Equity Fund (BIAGX)					X								X							X											
2 E-TRACS UBS Bloomberg CMI ETF (UCI)			X										X							X											
3 Van Eck Global Hard Assets Fund (GHAAX)			X										X							X											
4 S Brown Advisory Value Equity Fund (BIAVX)				X									X							X											
5 Harvard University Life Insurance Policy - (Fixed)									X											X											
6 Northwestern Mutual Life Insurance Policy - (Fixed)					X															X											
7 Van Eck Global Hard Assets Fund A			X										X								X										
8 Highland Equity Oppurtunities Fund- Long/Short Equity Fund Class A (HEOAX)				X									X							X										Exchanged for Class Z	
9 Fidelity 403 (b) Harvard Faculty Plan Spartan International Index Fund			X										X								X										

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

Reporting Individual's Name	SCHEDULE A continued (Use only if needed)	Page Number 12 of

Assets and Income		Valuation of Assets at close of reporting period														Income: type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item.																
BLOCK A		BLOCK B														BLOCK C																
																Type				Amount												
		None (or less than $1,001)	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Dividends	Rent and Royalties	Interest	Capital Gains	None (or less than $201)	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	Over $5,000,000	Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only If Honoraria
1	Fidelity 403(b) Harvard Faculty Plan Spartan Total Market Index Fund				X									X								X										
2	Fidelity 403(b) Harvard Faculty Plan Spartan US Bond Index Fund - Investor	X												X							X											
3	Fidelity 403(b) Harvard Faculty Plan Spartan US Bond Index Fund - Insitutional			X										X								X										
4	Fidelity 403(b) Harvard TDA Plan Spartan International Index Fund			X										X									X									
5	Fidelity 403(b) Harvard TDA Plan Spartan Total Market Index Fund				X									X									X									
6	Fidelity 403(b) Harvard TDA plan Spartan US bond Index Fund - Institutional			X										X								X										
7																																
8																																
9																																

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

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

Reporting Individual's Name	SCHEDULE B	Page Number 13 of

Part I: Transactions

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.

None ☐

	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	Accurate Group Holdings, Inc.	X			12/11/12			X									
2	Alarm.com Holdings, Inc.		X		7/12/12					X							
3	Alloy Digital Investments, LLC	X			8/20/12		X										
4	American Public Education, Inc.	X			6/4/12	X											
5	Athletes' Performance, Inc	X			7/2/12		X										

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

Part II: Gifts, Reimbursements, and Travel Expenses

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

None ☒

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

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

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

Reporting Individual's Name	SCHEDULE B continued (Use only if needed)	Page Number 14 of

Part I: Transactions

	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
1	Cobalt Holding Co.		X		9/25/12			X									
2	ConnectYourCare, Inc.	X			9/14/12			X									
3	ISO Group, Inc	X			7/23/12	X											
4	Quofore, Inc.		X		10/23/12	X											
5	Renew Data Corp.	X			5/25/12	X											
6	Renew Data Corp.	X			7/16/12	X											
7	Skinit, Inc.	X			2/29/12	X											
8	Skinit, Inc.	X			3/9/12	X											
9	Skinit, Inc.	X			6/8/12	X											
10	Source Medical Solutions, Inc.		X		10/15/12			X									
11	Superior Vision Services, Inc.		X		3/30/12		X										
12	Syncapse Corp.	X			5/18/12	X											
13	Syncapse Corp.	X			10/23/12	X											
14	Syncapse Corp.	X			11/15/12	X											
15	Quofore, Inc.	X			8/29/12	X											
16	Tarpon Towers, LLC	X			8/20/12	X											

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

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

Reporting Individual's Name	SCHEDULE B continued (Use only if needed)	Page Number 15 of

Part I: Transactions

	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
1	Zoom Media Group, Inc.	X			1/9/12	X											
2	Zoom Media Group, Inc.	X			4/11/12	X											
3	Zoom Media Group, Inc.	X			12/21/12	X											
4	Oppenheimer Developing Markets Fund A			X	11/28/12			X									
5	Oppenheimer Global Fund Class A			X	11/28/12			X									
6	Oppenheimer Developing Markets Y			X	11/28/12			X									
7	Oppenheimer Global Y			X	11/28/12			X									
8	Brown Advisory Growth Equity Fund (BIAGX)	X			11/28/12		X										
9	Brown Advisory Equity Income Fund (BIADX)	X			11/28/12		X										
10	Fairholme Fund (FAIRX)	X			11/28/12	X											
11	Doubleline FDS Emerging Markets Income (DBLEX)	X			11/28/12		X										
12	Brown Advisory Growth Equity Fund (BIAGX)	X			11/28/12	X											
13	Professionally Managed Brown Advisory Intermediate Income Insitutional Fund (BIAIX)	X			4/5/12		X										
14	Professionally Managed Brown Advisory Equity Income Institutional Fund (BIADX)	X			4/5/12		X										
15	Professionally Managed Brown Advisory Equity Income Institutional Fund (BIADX)	X			8/13/12		X										
16	Professionally Managed Brown Advisory Equity Income Institutional Fund (BIADX)	X			11/28/12		X										

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

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

Reporting Individual's Name	SCHEDULE B continued (Use only if needed)	Page Number 16 of

Part I: Transactions

	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
1	Brown Advisory Small Cap Fundamenal Value Fund (BIAUX)	X			4/5/12		X										
2	Fundamental Investment Inc-F (AFIFX)	X			4/5/12		X										
3	Highland Equity Oppurtunities Fund - Long/Short Equity Fund Class Z (HEOZX)	X			4/5/12		X										
4	Highland Equity Oppurtunities Fund - Long/Short Equity Fund Class Z (HEOZX)	X			8/13/12	X											
5	PIMCO Total Return Instl (PTTRX)	X			8/13/12		X										
6	PIMCO Total Return Instl (PTTRX)	X			11/28/12		X										
7	T.Rowe Rice New Horizons Fund (PRNHX)	X			8/13/12		X										
8	T.Rowe Rice New Horizons Fund (PRNHX)	X			11/28/12		X										
9	FPA Crescent Portfolio Fund (FPACX)	X			4/5/12		X										
10	FPA Crescent Portfolio Fund (FPACX)	X			8/13/12	X											
11	Wasatch Emerging Markets Small Cap (WARMX)	X			4/5/12		X										
12	Wasatch Emerging Markets Small Cap (WARMX)	X			8/14/12	X											
13	Professionally Managed Brown Advisory Equity Income Institutional Fund (BIADX)	X			11/28/12			X									
14	Doubleline FDS Emerging Markets Income Fund (DBLEX)	X			11/28/12	X											
15	Brown Advisory Value Equity Fund (BIAVX)		X		11/28/12			X									
16	Brown Advisory Value Equity Fund (BIAVX)		X		1/4/12		X										

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

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

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

Reporting Individual's Name	SCHEDULE B continued (Use only if needed)	Page Number
		17 of

Part I: Transactions

	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
1	Van Eck Global Hard Assets Fund Y			X	4/18/2012		X										
2	Van Eck Global Hard Assets Fund A			X	4/18/2012		X										
3	Professionally Managed Brown Advisory Intermediate Income Institutional Fund		X		6/28/2012	X											
4	Highland Equity Oppurtunities Fund - Long/Short Equity Fund Class A (HEOZX)			X	4/5/2012		X										
5																	
6																	
7																	
8																	
9																	
10																	
11																	
12																	
13																	
14																	
15																	
16																	

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

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

Reporting Individual's Name	SCHEDULE C	Page Number
,		18 of

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, Washington, DC	Promissory note	1999	10%	on demand					x						
1																
2																
3																
4																
5																

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

Part II: Agreements or Arrangements

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

None ☒

	Status and Terms of any Agreement or Arrangement	Parties	Date
Example	Pursuant to partnership agreement, will receive lump sum payment of capital account & partnership share calculated on service performed through 1/00.	Doe Jones & Smith, Hometown, State	7/85
1			
2			
3			
4			
5			
6			

Reporting Individual's Name	SCHEDULE D	Page Number
,		19 of

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					
2					
3					
4					
5					
6					

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

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

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.

None ☐

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