



The Deputy Secretary of Energy
Washington, DC 20585

NOV 05 2019

Susan Beard
Designated Agency Ethics Official
U.S. Department of Energy
1000 Independence Ave., S.W.
Washington, D.C. 20585

Re: Amendment to Financial Disclosure Report of Danny Ray Brouillette

Dear Ms. Beard:

The purpose of this document is to amend my financial disclosure report signed on April 21, 2017, by correcting entries in parts 2 and 3 relating to a Long-Term Bonus Plan (previously reported as a Deferred Compensation Plan), and adding entries to parts 2 and 3 related to a Supplemental Retirement Plan. The initial entries on the Long-Term Bonus Plan underreported the value of the receivable, and did not fully describe the contours of the plan. The Supplemental Retirement Plan was inadvertently omitted as a receivable from this report, though the payment was properly reported on the following year’s annual report. During the relevant time frame I did not participate in any particular matters involving USAA that had a direct and predictable effect on my financial interest. These corrections are noted below.

Correction to Part 2 – Filer’s Employment Assets & Income and Retirement Accounts

#	Description	EIF	Value	Income Type	Income Amount
3	USAA Long-Term Bonus Plan, anticipated bonus	N/A	500,000-1,000,000		None (or less than \$201)
6	USAA Supplemental Retirement Plan, cash receivable	N/A	500,000-1,000,000		None (or less than \$201)

Correction to Part 3 – Filer’s Employment Agreements and Arrangements

#	Employer or Party	City/State	Status and Terms
3	USAA	San Antonio, Texas	Pursuant to company policy, I will receive two payments (in February 2018 and February 2019) from a Long-Term Bonus Plan. The plan is based in part on an individual rating, and in part on company goals. The individual rating for me was fixed before I left USAA. The company goals are and will be set by the company board of directors, based on company



			performance, and are uniformly applied to all employees participating in this plan.
5	USAA	San Antonio, Texas	Pursuant to company policy, I will receive a payment 60 days after I leave USAA from a Supplemental Retirement Plan. This plan is designed to replace tax savings and benefits that cannot be provided under the USAA Retirement Savings Plan because of qualified limits placed on contributions by the Internal Revenue Code. The company contributions are based on a percentage of non-performance and performance-based compensation earned each year during employment.

I understand that this amendment will be attached to my financial disclosure report and released upon request with that report.

Sincerely,



Danny Ray Brouillette

Executive Branch Personnel Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Brouillette, Danny Ray

Deputy Secretary, Department of Energy

Other Federal Government Positions Held During the Preceding 12 Months:

None

Names of Congressional Committees Considering Nomination:

- **Committee on Energy and Natural Resources**
-

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 Ray [electronically signed on 04/21/2017 by Brouillette, Danny Ray 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/ Hymer, Christina J, Certifying Official [electronically signed on 05/18/2017 by Hymer, Christina J in Integrity.gov]

Other review conducted by

/s/ Hymer, Christina J, Ethics Official [electronically signed on 05/18/2017 by Hymer, Christina J in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Apol, David, Certifying Official [electronically signed on 05/18/2017 by Apol, David in Integrity.gov]

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	Present
2	Louisiana State Mineral and Energy Board	Baton Rouge, Louisiana	State Government	Member	3/2013	1/2016

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 Salary and Bonus	N/A		USAA 2016 & 2017 Salary and 2016 Bonus	\$1,643,794
3	USAA. Deferred Compensation - cash receiveable	N/A	\$50,001 - \$100,000		None (or less than \$201)
4	USAA Defined Contribution Pension Plan				
4.1	USAA Target Retirement 2030 Fund (URTRX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
4.2	USAA Money Market Fund (USEXX)	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
4.3	USAA Target Retirement 2020 Fund (URTNX)	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
4.4	Fidelity New Millennium (FMILX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
4.5	USAA International Fund (USIFX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
4.6	USAA Emerging Markets Fund (USEMX)	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.7	USAA Growth Fund (USAAX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
4.8	USAA Income Fund (USAIX)	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
4.9	USAA Managed Allocation Fund (UMAFX)	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
4.10	USAA Income Stock Fund (USISX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
4.11	USAA Short Term Bond Fund (USIBX)	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
4.12	USAA Intermediate Term Bond Fund (USIBX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
4.13	USAA High Income Fund (USHYX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
4.14	USAA Small Cap Stock Fund (USCAX)	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
4.15	USAA Tax Exempt Short Term Fund (USSTX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
5	USAA Severance Payment - anticipated	N/A	\$100,001 - \$250,000		None (or less than \$201)

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; however, the plan sponsor will not make further contributions after my separation.	7/2007

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
3	USAA	San Antonio, Texas	I will receive two fixed payments (in February 2018 and February 2019) of deferred compensation for salary withheld in years 2015 and 2016. The amount of the each payment has already been determined and fixed by objective method, in accordance with company policy.	2/2015
4	USAA	San Antonio, Texas	Pursuant to company policy, I will receive a fixed severance payment upon departure from my current employer. The payment is fixed upon determination of actual separation date and calculated using an objective method. Payment will be made within 30 days from the date of separation.	6/2006

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		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4	Undeveloped Real Estate, Croom, MD	N/A	\$1,000,001 - \$5,000,000		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	Austin, TX Electric Utility System Bond (052414MN6)	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
8	Benton County, WA School District Bond (083023PD7)	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
9	Florida State Board of Education Public Education Bond (34153PG44)	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
10	Goose Creek, TX Cons Independent School Bond (382604B54)	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
11	JEA Florida Electric System REV Bond (46613C5M3)	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
12	Lakeland, TN GO CAP Outlay Bond (51186DAK6)	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
13	Massachusetts State School Bldg Authority Bond (576000MN0)	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
14	Northside TX Independent School District Bond (66702RFV9)	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
15	Omaha, NE Public Power District Bond	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
16	Salt River Project AZ Agric Bond (79575DXC9)	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
17	Texas A&M University Bond (8821356SO)	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
18	University Northern Colorado Greeley Institutional Bond (914733BR0)	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
19	Texas State General Obligation Bond (8827234P1)	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
20	VA State Public School Authority Bond (92817SJY5)	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
21	WA State General Obligation Bond (92974CUM0)	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
22	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

9. Gifts and Travel Reimbursements

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

Endnotes

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 that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in income 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 that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in income 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, that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in investment income 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 of income was produced). 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 \$375 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$375 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 \$150 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.

Public Burden Information

This collection of information is estimated to take an average of three hours per response, including time for reviewing the instructions, gathering the data needed, and completing the form. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Program Counsel, U.S. Office of Government Ethics (OGE), Suite 500, 1201 New York Avenue, NW., Washington, DC 20005-3917.

Pursuant to the Paperwork Reduction Act, as amended, an agency may not conduct or sponsor, and no person is required to respond to, a collection of information unless it displays a currently valid OMB control number (that number, 3209-0001, is displayed here and at the top of the first page of this OGE Form 278e).
