

| CERTIFICATION OF ETHICS AGREEMENT COMPLIANCE Senate Confirmed Presidential Appointee | | |
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| 1. Appointee's Information | a. Appointee's Name: | to be completed by OGE Wilbur L. Ross |
| | b. Position Title: | to be completed by OGE Secretary |
| | c. Agency: | to be completed by OGE Department of Commerce |
| | d. Date Ethics Agreement Signed: | to be completed by OGE January 15, 2017 |
| | e. Date Confirmed: | to be completed by OGE February 27, 2017 |
| | f. Due Date for Certification of Ethics Agreement Compliance: | to be completed by OGE November 1, 2017 |
| 2. Resignations | <i>I completed all of the resignations indicated in my ethics agreement before I assumed the duties of my current government position.</i> | <input checked="" type="radio"/> Yes <input type="radio"/> No <input type="radio"/> N/A |
| 3. Divestitures | a. <i>I have completed all of the divestitures indicated in my ethics agreement. I also understand that I may not repurchase these assets during my appointment without OGE's prior approval.</i> | <input checked="" type="radio"/> Yes <input type="radio"/> No <input type="radio"/> N/A |
| | b. <i>I have filed a period transaction report, or periodic transaction reports, (OGE Form 278-T) to disclose the completion of these agreed upon divestitures.</i> | <input type="radio"/> Yes <input type="radio"/> No <input checked="" type="radio"/> N/A Filing Date(s) of OGE Form 278-T Report(s): |
| 4. Managed Accounts | <i>If I have a managed account or use the services of an investment professional, I have notified the manager or professional of the limitations indicated in my ethics agreement. In addition, I am continuing to monitor purchases.</i> | <input checked="" type="radio"/> Yes <input type="radio"/> No <input type="radio"/> N/A |
| 5. Interim Recusals | <i>I complied with my interim recusal obligations pending the divestitures required by my ethics agreement.</i> | <input checked="" type="radio"/> Yes <input type="radio"/> No <input type="radio"/> N/A |

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| <p>6. Recusals</p> <p><i>(Note: These factual statements describe the appointee's current status. They are not intended to modify ethics agreement commitments or create new recusal obligations.)</i></p> | <p>a. I am recusing from particular matters in which I know I have a <u>personal</u> or <u>imputed</u> financial interest directly and predictably affected by the matter, unless I have received a waiver or qualify for a regulatory exemption.</p> | <p><input checked="" type="radio"/> Yes <input type="radio"/> No</p> |
| | <p>b. I am recusing from particular matters in which any former employer or client I served in the past year is a party or represents a party, unless I have been authorized under 5 C.F.R. § 2635.502(d).</p> | <p><input checked="" type="radio"/> Yes <input type="radio"/> No <input type="radio"/> N/A</p> |
| | <p>c. I am recusing from particular matters in which any former employer or client I served in the two years prior to my appointment is a party or represents a party, unless I have received a waiver under Exec. Order 13770.</p> | <p><input checked="" type="radio"/> Yes <input type="radio"/> No <input type="radio"/> N/A</p> |
| <p>7. Waivers and Authorizations</p> | <p>a. I received a waiver pursuant to 18 U.S.C. § 208.</p> <p>If yes, indicate the date of the waiver and indicate the financial interest covered by the waiver.</p> | <p><input type="radio"/> Yes <input checked="" type="radio"/> No</p> <p>Date:</p> <p>Financial interest:</p> |
| | <p>b. I received a waiver pursuant to Executive Order 13770.</p> <p>If yes, indicate the date of the waiver and the subject of the waiver (i.e., applicable paragraph of the ethics pledge, parties, particular matters, specific issue areas, as applicable).</p> | <p><input type="radio"/> Yes <input checked="" type="radio"/> No</p> <p>Date:</p> <p>Subject:</p> |
| | <p>c. I received an authorization pursuant to 5 C.F.R. § 2635.502(d).</p> <p>If yes, indicate date of authorization and identify the covered person(s) as to whom you have been authorized (e.g., former employer, former client, spouse's employer, spouse's current client, etc.).</p> | <p><input type="radio"/> Yes <input checked="" type="radio"/> No</p> <p>Date:</p> <p>Covered person(s):</p> |
| | <p>d. I received a waiver pursuant to 5 C.F.R. § 2635.503(c).</p> <p>If yes, indicate the date of the waiver and identify the former employer or payer.</p> | <p><input type="radio"/> Yes <input checked="" type="radio"/> No</p> <p>Date:</p> <p>Former employer or payer:</p> |

Wilbur L. Ross

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| <p>8. Payments, Accelerations, or Divestitures Required to be Completed Prior to Entering Government Service</p> | <p>Mark this box if not applicable: <input checked="" type="checkbox"/></p> | <p>a. <i>If I committed that I would forfeit a financial interest or payment, unless it was received or accelerated prior to my assumption of the duties of the government position:</i></p> | <p><input type="radio"/> <i>I received it (or it was accelerated) prior to my assumption of the duties of the position.</i> <input type="radio"/> <i>I received it (or it was accelerated) after my assumption of the duties of the position.</i> <input type="radio"/> <i>I forfeited it.</i></p> |
| <p>9. Requirements for Regular Appointees</p> | <p><i>I have completed my initial ethics briefing, pursuant to 5 C.F.R. § 2638.305.</i> If you are a Special Government Employee (SGE) or career Foreign Service Officer (FSO), select N/A.</p> | <p><input checked="" type="radio"/> Yes <input type="radio"/> No <input type="radio"/> N/A</p> | |
| | <p><i>I have signed the ethics pledge pursuant to Executive Order 13770.</i> If you are a SGE or career FSO or previously signed the pledge, select N/A.</p> | <p><input checked="" type="radio"/> Yes <input type="radio"/> No <input type="radio"/> N/A</p> | |
| <p>10. Additional Ethics Agreement Requirements</p> | <p>to be completed by OGE</p> | <p>to be completed by appointee <i>I am complying with these requirements as described in the adjacent box.</i> <input type="radio"/> Yes <input type="radio"/> No <input checked="" type="radio"/> N/A</p> | |
| <p>11. Comments of Appointee</p> | <p>This form supplements the Certification of Ethics Agreement Compliance forms dated June 5, 2017 (signed June 2, 2017) and September 5, 2017 (signed September 5, 2017).</p> | | |
| <p>Any intentionally false or misleading statement or response provided in this certification is a violation of law punishable by a fine or imprisonment, or both, under 18 U.S.C. § 1001.</p> | | | |
| <p><i>I certify that the information I have provided is complete and accurate.</i></p> | <p>Appointee's Signature: <i>Wilbur L. Ross</i></p> | | <p>Date: <i>11/1/17</i></p> |

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| | b. Position Title: | to be completed by OGE Secretary |
| | c. Agency: | to be completed by OGE Department of Commerce |
| | d. Date Ethics Agreement Signed: | to be completed by OGE January 15, 2017 |
| | e. Date Confirmed: | to be completed by OGE February 27, 2017 |
| | f. Due Date for Certification of Ethics Agreement Compliance: | to be completed by OGE September 5, 2017 |
| 2. Resignations | <i>I completed all of the resignations indicated in my ethics agreement before I assumed the duties of my current government position.</i> | <input checked="" type="radio"/> Yes <input type="radio"/> No <input type="radio"/> N/A |
| 3. Divestitures | a. <i>I have completed all of the divestitures indicated in my ethics agreement. I also understand that I may not repurchase these assets during my appointment without OGE's prior approval.</i> | <input type="radio"/> Yes <input checked="" type="radio"/> No <input type="radio"/> N/A |
| | b. <i>I have filed a period transaction report, or periodic transaction reports, (OGE Form 278-T) to disclose the completion of these agreed upon divestitures.</i> | <input type="radio"/> Yes <input type="radio"/> No <input checked="" type="radio"/> N/A Filing Date(s) of OGE Form 278-T Report(s): See Comment in # 11. |
| 4. Managed Accounts | <i>If I have a managed account or use the services of an investment professional, I have notified the manager or professional of the limitations indicated in my ethics agreement. In addition, I am continuing to monitor purchases.</i> | <input checked="" type="radio"/> Yes <input type="radio"/> No <input type="radio"/> N/A |
| 5. Interim Recusals | <i>I complied with my interim recusal obligations pending the divestitures required by my ethics agreement.</i> | <input checked="" type="radio"/> Yes <input type="radio"/> No <input type="radio"/> N/A |

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| 6. Recusals | a. I am recusing from particular matters in which I know I have a <u>personal</u> or <u>imputed</u> financial interest directly and predictably affected by the matter, unless I have received a waiver or qualify for a regulatory exemption. | <input checked="" type="radio"/> Yes <input type="radio"/> No |
| | b. I am recusing from particular matters in which any former employer or client I served in the past year is a party or represents a party, unless I have been authorized under 5 C.F.R. § 2635.502(d). | <input checked="" type="radio"/> Yes <input type="radio"/> No <input type="radio"/> N/A |
| | c. I am recusing from particular matters in which any former employer or client I served in the two years prior to my appointment is a party or represents a party, unless I have received a waiver under Exec. Order 13770. | <input checked="" type="radio"/> Yes <input type="radio"/> No <input type="radio"/> N/A |
| 7. Waivers and Authorizations | a. I received a waiver pursuant to 18 U.S.C. § 208. | <input type="radio"/> Yes <input checked="" type="radio"/> No |
| | If yes, indicate the date of the waiver and indicate the financial interest covered by the waiver. | Date: Financial interest: |
| | b. I received a waiver pursuant to Executive Order 13770. | <input type="radio"/> Yes <input checked="" type="radio"/> No |
| | If yes, indicate the date of the waiver and the subject of the waiver (i.e., applicable paragraph of the ethics pledge, parties, particular matters, specific issue areas, as applicable). | Date: Subject: |
| | c. I received an authorization pursuant to 5 C.F.R. § 2635.502(d). | <input type="radio"/> Yes <input checked="" type="radio"/> No |
| | If yes, indicate date of authorization and identify the covered person(s) as to whom you have been authorized (e.g., former employer, former client, spouse's employer, spouse's current client, etc.). | Date: Covered person(s): |
| | d. I received a waiver pursuant to 5 C.F.R. § 2635.503(c). | <input type="radio"/> Yes <input checked="" type="radio"/> No |
| | If yes, indicate the date of the waiver and identify the former employer or payer. | Date: Former employer or payer: |

Wilbur L. Ross

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| <p>8. Payments, Accelerations, or Divestitures Required to be Completed Prior to Entering Government Service</p> | <p>Mark this box if not applicable:</p> <input type="checkbox"/> | <p>a. If I committed that I would forfeit a financial interest or payment, unless it was received or accelerated prior to my assumption of the duties of the government position:</p> | <p><input checked="" type="radio"/> I received it (or it was accelerated) <u>prior to</u> my assumption of the duties of the position.</p> <p><input type="radio"/> I received it (or it was accelerated) <u>after</u> my assumption of the duties of the position.</p> <p><input type="radio"/> I forfeited it.</p> |
| | | <p>b. Financial interest or payment at issue:</p> | <p>All Invesco shares were distributed to me, which I then sold back to Invesco prior to my assumption of duties. The cash proceeds are currently in an escrow account, which will be distributed to me after certain transactions are completed. [See also prior certification.]</p> |
| <p>9. Requirements for Regular Appointees</p> | <p>I have completed my initial ethics briefing pursuant to 5 C.F.R. § 2638.305.</p> <p>If you are a Special Government Employee (SGE) or career Foreign Service Officer (FSO), select N/A.</p> | | <p><input checked="" type="radio"/> Yes <input type="radio"/> No <input type="radio"/> N/A</p> |
| | <p>I have signed the ethics pledge pursuant to Executive Order 13770.</p> <p>If you are a SGE or career FSO or previously signed the pledge, select N/A.</p> | | <p><input checked="" type="radio"/> Yes <input type="radio"/> No <input type="radio"/> N/A</p> |
| <p>10. Additional Ethics Agreement Requirements</p> | <p>to be completed by OGE</p> <p>I have divested my right to income from the Rothschild & Co. Profit Sharing Plan by irrevocably assigning the right to a charity. [Addressed in prior certification.]</p> | <p>to be completed by appointee</p> <p>I am complying with these requirements as described in the adjacent box.</p> <p><input type="radio"/> Yes <input type="radio"/> No <input checked="" type="radio"/> N/A</p> | |
| <p>11. Comments of Appointee</p> | <p>3. Consistent with the terms of my ethics agreement, I have received a 60-day extension from the Alternate Designated Agency Ethics Official of the Department of Commerce to complete the divestiture of those holdings identified in my ethics agreement for divestiture within 180 days of my confirmation based on his determination that I have made substantial progress regarding the divestiture of these identified holdings. During the process of divesting I was informed that due to the outsourcing of the accounting function of the firm that handles some partnerships in which I have interests, documents needed for the sale of some holdings cannot be collected within the 180-day period set for the divestiture of these holdings. I will take all actions within my control to divest these holdings as soon as possible and will continue to comply with disqualification requirements regarding these holdings until they are divested.</p> | | |
| <p>Any intentionally false or misleading statement or response provided in this certification is a violation of law punishable by a fine or imprisonment, or both, under 18 U.S.C. § 1001.</p> | | | |
| <p>I certify that the information I have provided is complete and accurate.</p> | <p>Appointee's Signature:</p> <p>Wilbur L. Ross</p> | | <p>Date:</p> <p>9/5/17</p> |

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| 1. Appointee's Information | a. Appointee's Name: | to be completed by OGE Wilbur L. Ross |
| | b. Position Title: | to be completed by OGE Secretary of the Department of Commerce |
| | c. Agency: | to be completed by OGE Department of Commerce |
| | d. Date Ethics Agreement Signed: | to be completed by OGE January 15, 2017 |
| | e. Date Confirmed: | to be completed by OGE February 27, 2017 |
| | f. Due Date for Certification of Ethics Agreement Compliance: | to be completed by OGE June 5, 2017 |
| 2. Resignations | <i>I completed all of the resignations indicated in my ethics agreement before I assumed the duties of my current government position.</i> | <input checked="" type="radio"/> Yes <input type="radio"/> No <input type="radio"/> N/A |
| 3. Divestitures | a. <i>I have completed all of the divestitures indicated in my ethics agreement. I also understand that I may not repurchase these assets during my appointment without OGE's prior approval.</i> | <input type="radio"/> Yes <input type="radio"/> No <input checked="" type="radio"/> N/A |
| | b. <i>I have filed a period transaction report, or periodic transaction reports, (OGE Form 278-T) to disclose the completion of these agreed upon divestitures.</i> | <input type="radio"/> Yes <input type="radio"/> No <input checked="" type="radio"/> N/A |
| | | Filing Date(s) of OGE Form 278-T Report(s): 4/20, 4/24, 5/12, 5/16, 5/17, 5/18, 5/22, 5/23, 5/24, 6/11, 6/2/17 |
| 4. Managed Accounts | <i>If I have a managed account or use the services of an investment professional, I have notified the manager or professional of the limitations indicated in my ethics agreement. In addition, I am continuing to monitor purchases.</i> | <input checked="" type="radio"/> Yes <input type="radio"/> No <input type="radio"/> N/A |
| 5. Interim Recusals | <i>I complied with my interim recusal obligations pending the divestitures required by my ethics agreement.</i> | <input checked="" type="radio"/> Yes <input type="radio"/> No <input type="radio"/> N/A |

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| 6. Recusals | a. <i>I am recusing from particular matters in which I know I have a <u>personal</u> or <u>imputed</u> financial interest directly and predictably affected by the matter, unless I have received a waiver or qualify for a regulatory exemption.</i> | <input checked="" type="radio"/> Yes <input type="radio"/> No |
| | b. <i>I am recusing from particular matters in which any former employer or client I served in the past year is a party or represents a party, unless I have been authorized under 5 C.F.R. § 2635.502(d).</i> | <input checked="" type="radio"/> Yes <input type="radio"/> No <input type="radio"/> N/A |
| | c. <i>I am recusing from particular matters in which any former employer or client I served in the two years prior to my appointment is a party or represents a party, unless I have received a waiver under Exec. Order 13770.</i> | <input checked="" type="radio"/> Yes <input type="radio"/> No <input type="radio"/> N/A |
| 7. Waivers and Authorizations | a. <i>I received a waiver pursuant to 18 U.S.C. § 208.</i> | <input type="radio"/> Yes <input checked="" type="radio"/> No |
| | If yes, indicate the date of the waiver and indicate the financial interest covered by the waiver. | Date: Financial interest: |
| | b. <i>I received a waiver pursuant to Executive Order 13770.</i> | <input type="radio"/> Yes <input checked="" type="radio"/> No |
| | If yes, indicate the date of the waiver and the subject of the waiver (i.e., applicable paragraph of the ethics pledge, parties, particular matters, specific issue areas, as applicable). | Date: Subject: |
| c. <i>I received an authorization pursuant to 5 C.F.R. § 2635.502(d).</i> | <input type="radio"/> Yes <input checked="" type="radio"/> No | |
| If yes, indicate date of authorization and identify the covered person(s) as to whom you have been authorized (e.g., former employer, former client, spouse's employer, spouse's current client, etc.). | Date: Covered person(s): | |
| d. <i>I received a waiver pursuant to 5 C.F.R. § 2635.503(c).</i> | <input type="radio"/> Yes <input checked="" type="radio"/> No | |
| If yes, indicate the date of the waiver and identify the former employer or payer. | Date: Former employer or payer: | |

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| 8. Payments, Accelerations, or Divestitures Required to be Completed Prior to Entering Government Service | Mark this box if not applicable: <input type="checkbox"/> | a. <i>If I committed that I would forfeit a financial interest or payment, unless it was received or accelerated prior to my assumption of the duties of the government position:</i> | <input type="radio"/> I received it (or it was accelerated) <u>prior to</u> my assumption of the duties of the position. <input type="radio"/> I received it (or it was accelerated) <u>after</u> my assumption of the duties of the position. <input checked="" type="radio"/> I forfeited it. |
| | | b. Financial interest or payment at issue: | Exco Resources unvested stock: forfeited Invesco 2016 bonus payment: received prior to assumption of duties (not forfeited) |
| 9. Requirements for Regular Appointees | I have completed my initial ethics briefing, pursuant to 5 C.F.R. § 2638.305. | | <input checked="" type="radio"/> Yes <input type="radio"/> No <input type="radio"/> N/A |
| | If you are a Special Government Employee (SGE) or career Foreign Service Officer (FSO), select N/A. | | |
| | I have signed the ethics pledge pursuant to <i>Executive Order 13770.</i> | | <input checked="" type="radio"/> Yes <input type="radio"/> No <input type="radio"/> N/A |
| | If you are a SGE or career FSO or previously signed the pledge, select N/A. | | |
| 10. Additional Ethics Agreement Requirements | to be completed by OGE I have divested my right to income from the Rothschild & Co. Profit Sharing Plan by irrevocably assigning the right to a charity. | to be completed by appointee I am complying with these requirements as described in the adjacent box. | <input type="radio"/> Yes <input type="radio"/> No <input checked="" type="radio"/> N/A |
| 11. Comments of Appointee | 3. Note that some holdings in my ethics agreement need not be sold within 90 days. I have divested all holdings required in my ethics agreement to be sold within 90 days except that there was an unanticipated delay with regard to the divestitures of my holdings in Air Lease Corp., Bank of Cyprus, and BankUnited but these have also now been divested; with regard to the Bank of Cyprus, I also hold shares through the WL Ross Group LP which is required to be sold within 180 days. 10. My interests in the underlying securities of the Rothschild & Co. Profit Sharing Plan have been liquidated (with transfer of cash proceeds to my IRA); we were not able to figure out an effective way to transfer irrevocably my right to income from the retirement fund to charity; the net effect is divestiture of the underlying holdings. | | |
| Any intentionally false or misleading statement or response provided in this certification is a violation of law punishable by a fine or imprisonment, or both, under 18 U.S.C. § 1001. | | | |
| I certify that the information I have provided is complete and accurate. | | Appointee's Signature: | Date: |
| | | Wilbur L. Ross Jr. | 6/2/17 |