

CERTIFICATION OF ETHICS AGREEMENT COMPLIANCE Senate Confirmed Presidential Appointee		
1. Appointee's Information	a. Appointee's Name:	to be completed by OGE: Ellen McCausland Lord
	b. Position Title:	to be completed by OGE: Under Secretary of Defense for Acquisition, Technology and Logistics
	c. Agency:	to be completed by OGE: U.S. Department of Defense
	d. Date Ethics Agreement Signed:	to be completed by OGE: June 30, 2017
	e. Date Confirmed:	to be completed by OGE: August 1, 2017
	f. Due Date for Certification of Ethics Agreement Compliance:	to be completed by OGE: November 6, 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 checked="" type="radio"/> Yes <input type="radio"/> No <input type="radio"/> N/A Filing Date(s) of OGE Form 278-T Report(s): October 19, 2017
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

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 <input type="radio"/> N/A
	Note:	
	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:	

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>I received it (or it was accelerated) <u>prior to</u> my assumption of the duties of the position.</i> <input checked="" type="radio"/> <i>I received it (or it was accelerated) <u>after</u> my assumption of the duties of the position.</i> <input type="radio"/> <i>I forfeited it.</i>
		b. Financial interest or payment at issue:	Separation related payments were determined on or before the date of separation from employment and paid out by the company and plan administrators before the end of September 2017.
9. Requirements for Regular Appointees	<i>I have completed my initial ethics briefing, pursuant to 5 C.F.R. § 2638.305.</i>		<input checked="" type="radio"/> Yes <input type="radio"/> No <input type="radio"/> N/A
	<i>If you are a Special Government Employee (SGE) or career Foreign Service Officer (FSO), select N/A.</i>		
	<i>I have signed the ethics pledge pursuant to Executive Order 13770.</i>		<input checked="" type="radio"/> Yes <input type="radio"/> No <input type="radio"/> N/A
	<i>If you are a SGE or career FSO or previously signed the pledge, select N/A.</i>		
10. Additional Ethics Agreement Requirements	to be completed by OGE	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
11. Comments of Appointee			
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>I certify that the information I have provided is complete and accurate.</i>	Appointee's Signature:		Date:
	<i>Ellen McCausland Lord</i>		<i>11.6.17</i>