

## Executive Branch Personnel PUBLIC FINANCIAL DISCLOSURE REPORT

U.S. Office of Government Ethics

Date of Appointment, Candidacy, Election  
or Nomination (Month, Day, Year)Reporting Status  
(Check  
appropriate boxes)Incumbent  
☐Calendar Year  
Covered by ReportNew Entrant, Nominee,  
or Candidate  
☒Termination  
Filer  
☐Termination Date (If Applicable)  
(Month, Day, Year)

## 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 Individual's Name

Last Name

CARTER

First Name and Middle Initial

Ashton B.

Position for Which Filing

Title of Position

Under Secretary of Defense for Acquisition, Technology &amp; Logistics

Department or Agency (If Applicable)

Department of Defense

Location of Present Office  
(or forwarding address)

Address (Number, Street, City, State, and ZIP Code)

Harvard University, Cambridge, MASS  
02138-3800

Telephone No. (Include Area Code)

617-495-1000

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

None

## 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.

Presidential Nominees Subject to  
Senate Confirmation

Name of Congressional Committee Considering Nomination

Senate Armed Services Committee

Do You Intend to Create a Qualified Diversified Trust?

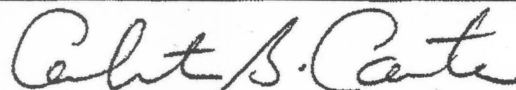
☐ Yes☒ No

**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.

## Certification

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.

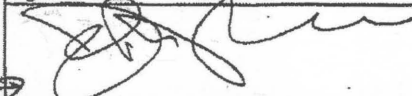
Signature of Reporting Individual



Date (Month, Day, Year)

MAR 18 2009

Signature of Other Reviewer



Date (Month, Day, Year)

3/19/09

Other Review  
(If desired by  
agency)

Agency Ethics Official's Opinion

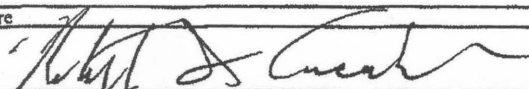
On the basis of information contained in this report, I conclude that the filer is in compliance with applicable laws and regulations (subject to any comments in the box below).

Signature of Designated Agency Ethics Official/Reviewing Official

Date (Month, Day, Year)

Office of Government Ethics  
Use Only

Signature



Date (Month, Day, Year)

3/29/09

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 \_\_\_\_\_) ☐

**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

(Check box if comments are continued on the reverse side) ☐

## SCHEDULE A

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																									
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 <input type="checkbox"/>		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	Type	Amount								Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.)  Only if Honoraria										
																	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						
Examples	Central Airlines Common			x													x						x														
	Doe Jones & Smith, Hometown, State																																				
	Kempstone Equity Fund																																				
	IRA: Heartland 500 Index Fund																								x												
1																																					
2																																					
3																																					
4																																					
5	Bank of America Checking Account			x																	x																
6																																					

\* 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

CARTER, Ashton B.

# SCHEDULE A continued

(Use only if needed)

Page Number

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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.										Date (Mo., Day, Yr.)  Only if Honoraria						
												BLOCK C																
None <input type="checkbox"/>												Type	Amount										Other Income (Specify Type & Actual Amount)					
												Dividends	Rent and Royalties	Interest	Capital Gains													
		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	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	
1	Harvard University Cambridge, MA 02138																										Salary	
																											\$238,235	
2	Global Technology Partners, LLC Boston, MA 02110 (consulting firm)			X																							Distribution	08
																											\$54,797	09
3	The MITRE Corporation 7515 Colshire Drive McLean, VA 22102-7508																										Trustee & Consulting fees	
																											\$65,500	
4	Goldman Sachs One New York Plaza, 40th floor New York, NY 10004																										Consulting fee	
																											\$20,000	
5	Massachusetts Institute of Technology Lincoln Laboratory - 244 Wood St. Lexington, MA 02420																										Advisory Board fee	Jun-11-08
																											\$1,000	
6																												
7	Brookings Institution Washington, DC 20036-2103 Managing Nuclear Operations																X						X					
8	Brookings Institution Washington, DC 20036-2103 Ballistic Missile Defense																X						X					
9	(values of books in Items 7 and 8 are not readily ascertainable)																											

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**SCHEDULE A continued**

(Use only if needed)

Page Number

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CARTER, Ashton B.

[illegible]

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**Prior Editions Cannot be Used.**



CARTER, Ashton B.

(Use only if needed)

4

[illegible]

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**Prior Editions Cannot be Used.**

(Use only if needed)

CARTER, Ashton B.

None ☐

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**Prior Editions Cannot be Used.**

# SCHEDULE A

Page Number

6

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																					
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																	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						
Examples	Central Airlines Common			x												x			x														
	Doe Jones & Smith, Hometown, State			x																													
	Kempstone Equity Fund				x																												
	IRA: Heartland 500 Index Fund					x																											
1	Bank of America Corp.		x													x		x															
2	BB&T Corp		x													x		x															
3	Franklin Resources Inc.		x													x		x															
4	Bank of New York Mellon Corp.		x													x		x															
5	Capital One Financial Corp.		x													x		x															
6	ConocoPhillips		x													x		x															

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Reporting Individual's Name

CARTER, Ashton B.

# SCHEDULE A continued

(Use only if needed)

Page Number

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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.										Date (Mo., Day, Yr.)  Only if Honoraria													
BLOCK A		BLOCK B										BLOCK C																							
		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	Type	Amount	Other Income (Specify Type & Actual Amount)																
																	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				
1	Cisco Systems, Inc.		x															x			x														
2	Chevron Corp.		x														x				x														
3	E.I. DuPont de Nemours & Co.		x														x				x														
4	Dell Inc.		x																		x														
5	Diageo PLC ADR		x														x				x														
6	Diamond Offshore Drilling		x																		x														
7	Dover Corp.		x														x				x														
8	Eaton Corp.		x																		x														
9	General Electric Co.		x														x				x														

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Reporting Individual's Name

CARTER, Ashton B.

# SCHEDULE A continued

(Use only if needed)

Page Number

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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.										Date (Mo., Day, Yr.)  Only if Honoraria							
BLOCK A		BLOCK B										BLOCK C																	
		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 *	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	Intel Corp.		X										X				X												
2	Illinois tool Works		X										X				X												
3	Johnson & Johnson		X										X					X											
4	Lincoln National Corp.		X										X				X												
5	3M Company		X										X					X											
6	Molex Inc.		X										X				X												
7	Merck & Co. Inc.		X										X					X											
8	Microsoft Corp.		X										X				X												
9	M&T Bank Corp.		X										X				X												

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CARTER, Ashton B.

## SCHEDULE A continued

(Use only if needed)

Page Number

9

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.										Date (Mo., Day, Yr.)  Only if Honoraria										
BLOCK A		BLOCK B										BLOCK C																				
		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	Type	Amount														
																	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	Nokia Corp.		X														X				X											
2	Procter & Gamble Co.		X														X				X											
3	Parametric Technology Corp.		X																		X											
4	Prudential Financial Inc.		X														X				X											
5	DWS Tax-Exempt Cash Institutional Shares		X											X					X		X											
6	Staples Inc.		X														X				X											
7	Seagate Technology		X														X				X											
8	Symantec Corp.		X																		X											
9	Talisman Energy Inc.		X														X				X											

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Reporting Individual's Name

CARTER, Ashton B.

# SCHEDULE A continued

(Use only if needed)

Page Number

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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.												Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.)  Only if Honoraria													
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																									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
1	Unilever NV		x														x				x															
2	Verizon Communications Inc.		x														x				x															
3	Walgreen Co.		x														x				x															
4	Waters Corp.		x																		x															
5	American Express Co.		x														x				x															
6	Apple, Inc.		x																		x															
7	Accenture Ltd.		x														x				x															
8	Allergan Inc.		x														x				x															
9	Ametek Inc.		x														x				x															

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**SCHEDULE A continued**

(Use only if needed)

None ☐

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## SCHEDULE A continued

CARTER, Ashton B.

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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																					
		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	Type	Amount								Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.)  Only if Honoraria						
																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	
1	Google Inc.		X																	X													
2	IDEXX Laboratories Inc.		X																	X													
3	Intuitive Surgical Inc.		X																	X													
4	Mastercard Inc.		X														X			X													
5	MICROS Systems Inc.		X																	X													
6	Medtronic Inc.		X														X			X													
7	Millipore Corp.		X																	X													
8	NetApp Inc.		X																	X													
9	PepsiCo. Inc.		X														X			X													

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Reporting Individual's Name

CARTER, Ashton B.

# SCHEDULE A continued

(Use only if needed)

Page Number

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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																				
		None (or less than \$1,000)	\$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	Type	Amount										Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.)  Only if Honoraria				
																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	
1	PetSmart Inc.		X														X				X												
2	Parametric Technology Corp.		X																		X												
3	Roper Industries Inc.		X																		X												
4	Charles Schwab Corp.		X														X				X												
5	Schlumberger Ltd.		X																		X												
6	Stryker Corp.		X														X				X												
7	Trimble Navigation Ltd.		X																		X												
8	Ultra Petroleum Corp.		X																		X												
9	Oppenheimer Developing Mkts Fund, A			X																	X												

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(Use only if needed)

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CARTER, Ashton B.

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CARTER, Ashton B.

# SCHEDULE A continued

(Use only if needed)

Page Number

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BLOCK A Assets and Income	BLOCK B Valuation of Assets at close of reporting period												BLOCK C Income: type and amount. If "None (or less than \$201)" is checked, no other entry is needed in Block C for that item.																			
													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	Excluded 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)	
None <input type="checkbox"/>																																
Capital Partners Management Co. Baltimore, MD (spouse)(financial analyst)																															salary	
T. Rowe Price Growth Stock			X										X								X											
T. Rowe Price Small-Cap Value			X										X								X											
T. Rowe Price Equity Income			X										X								X											
T. Rowe Price Spectrum Income				X									X								X											
Fidelity 403(B), Fidelity Small Cap Independent Fund				X									X								X											
Fidelity Low Price Stock Fund				X									X								X											
Fidelity Investment Grade Bond Fund				X									X								X											
Vanguard 403(B), Vanguard Int'l. Growth 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 categ

Reporting Individual's Name

CARTER, Ashton B.

**SCHEDULE A continued**

(Use only if needed)

Page Number

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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.										Date (Mo., Day, Yr.)  Only if Honoraria											
																						BLOCK C											
												Type	Amount										Other Income (Specify Type & Actual Amount)										
												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*									
		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 *	\$1,001,001 - \$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																	
1																																	
2	ABS Partners III, LLC:																																
s	Cyveillance, Inc.(Internet Intel)																																
	Familymeds Group, Inc.(on line drug)																																
	Workscape, Inc.(HR service)																																
3																																	
4																																	
5	Maryland ST 0% 1/1/33																																
s	(health, hospital, nursing home improvement)	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 category.

(Use only if needed)

Page Number

17A

\* 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 category.



CARTER, Ashton B.

# SCHEDULE A continued

(Use only if needed)

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18

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																			
		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	Type	Amount										Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.)  Only if Honoraria			
																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
1	Maryland ST 0% 7/1/29 (refunding bonds; health, hospital, nursing home improvement)			X														X				X										
2	DWS Core Plus Income Fund Class S			X									X							X												
3	Chevron Corp.			X															X		X											
4																																
5																																
6																																
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 category.

(Use only if needed)

19

\* 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 category.

CARTER, Ashton B.

(Use only if needed)

20

None ☐

\* 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 category.



CARTER, Ashton B.

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

**SCHEDULE B**

Page Number

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**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		Pur	Sale	Exch		\$1,0	\$15,	\$15,	\$50,	\$50,	\$100	\$100	\$250	\$250	\$500	\$500	\$1,0	Over	\$1,0	\$1,0	\$5,0	\$5,0	\$25,	\$25,	\$50,	Over	\$50,	Cert
	Example: Central Airlines Common	x			2/1/99					x																		
1																												
2																												
3																												
4																												
5																												

\* 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 \$260; and (2) travel-related cash reimbursements received from one source totaling more than \$260. 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 \$104 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)	\$300
1			
2			
3			
4			
5			

CARTER, Ashton B.

SCHEDULE C

Page Number

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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 ☐

Category of Amount or Value (x)

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			by automobiles, household furniture or appliances, and liabilities owed to certain relatives listed in instructions. See instructions for revolving charge accounts.			Date Incurred	Interest Rate	Term if applicable	\$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
Creditors (Name and Address)			Type of Liability																
Examples:	First District Bank, Washington, DC	Mortgage on rental property, Delaware	1991	8%	25 yrs.						x								
	John Jones, 123 J St., Washington, DC	Promissory note	1999	10 %	on demand							x							
1	President & Fellows of Harvard College Cambridge, MA	Educational loan for children's college	2006	0	10 yrs.							X							
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: continuing participation in an employee benefit plan (e.g. 401k, deferred compensation); (2) continuation 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	Upon my appointment, I plan to take a Leave of Absence from my position at Harvard University. The leave of absence term is for two years.	Harvard University, Cambridge, MA	09
2	Upon my appointment, I will resign my position from Global Technology Partners, and will receive my partnership share upon such resignation. I estimate such share to be less than \$50,000.	Global Technology Partners, Boston, MA	09
3	Upon my appointment, I will continue to participate in Harvard's 403b and 457 plans and its health insurance plan, but Harvard will no longer contribute to either of those plans.	Harvard University	1/1/90
4			
5	Consistent with Harvard's policy on providing interest-free loans to faculty members, whether on leave of absence or not, for their children up to a limit of \$298,116, upon my appointment I will continue to participate in this program. Upon termination of my leave of absence, if I do not return to my full time Harvard faculty position, I will repay the loan in its entirety.	Harvard University	2006
6			

Reporting Individual's Name CARTER, Ashton B.	<b>SCHEDULE D</b>	Page Number 23
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**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 Doe Jones & Smith, Hometown, State	Non-profit education Law firm	President Partner	6/92 7/85	Present 1/00
1	The MITRE Corporation 7515 Colshire Drive, McLean, VA 22102 [ & Bedford, MA]	Non-profit in technology (manages 3 FFRDCs)	Trustee	1/06	Present
2	Massachusetts Institute of Technology Lincoln Laboratory 244 Wood Street, Lexington, MA 02420-9185	Federally Funded Research & Development Center (FFRDC)	Member of Advisory Board	10/98	Present
3	Global Technology Partners, LLC Boston, MA	Consulting/Advisory Partnership	Senior Partner	1/98	Present
4	Charles Stark Draper Laboratory Corporation 555 Technology Square, Cambridge, MA 02139-3563	Research & Development Laboratory	Member of Corporation	3/00	Present
5	National Security Strategy & Policies Expert Working Group, Congressional Commission on Strategic Posture of US - DC	Advisory Group Congressionally mandated	Chair	7/08	Present
6	Goldman Sachs & Co. One New York Plaza, 40th floor, New York, NY 10004	Global Investment Banking & Securities Firm	Consultant	11/97	Present

**Part II: Compensation In Excess Of \$5,000 Paid by One Source**

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.

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

None ☐

	Source (Name and Address)	Brief Description of Duties
Examples:	Doe Jones & Smith, Hometown, State Metro University (client of Doe Jones & Smith), Moneytown, State	Legal services Legal services in connection with university construction
1	Harvard Univeristy Cambridge, MA 02138	Teaching, Administration & Research as senior faculty member
2	Global Technology Partners, LLC Boston, MA 02110	Consulting and Advising (clients include Textron, Inc., Providence, RI; Constellation Energy & Gas, Baltimore, MD; McKinsey & Co., Washington, DC)
3	The MITRE Corporation 7515 Colshire Drive, McLean, VA 522102-7508	Advising as trustee
4	Aurora Flight Science Corporation 9950 Wakeman Drive, Manassas, VA 20110-2702	Speaking and advising, Jun-13-07
5	Stanford University 3 Encina Hall, Stanford, CA 94305	Conference fee
6	Charles Stark Draper Laboratory Corporation 555 Technology Square, Cambridge, MA 02139-3563	Fee as member of Corporation



Reporting Individual's Name

CARTER, Ashton B.

## SCHEDULE D

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### 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:	Natl 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	Aspen Strategy Group (The Aspen Institute) One Dupont Circle, NW - Suite 700, Washington, DC 20036-1133	Bipartisan membership organization foreign policy	Member	8/97	Present
2	Council on Foreign Relations 58 East 68th Street, New York, NY 10021	indep. Nonpartisan membership organization, think tank & publisher	Member	11/89	Present
3	American Academy of Arts & Sciences 136 Irving Street, Cambridge, MA 02138	honorary society recognizing achievement in arts & sciences	Fellow	4/89	Present
4	American Physical Society One Physics Ellipse, College Park, MD 20740-3844	society advancing physics	Member	5/76	Present
5	International Institute for Strategic Studies(IISS) 13-15 Arundel Street, Temple Place, London, England WC2R 3DX	think tank focused on international security	Member	5/97	Present
6	National Committee on U.S.-China Relations 71 West 23rd Street, Suite 1901 - New York, NY 10010-4102	organization focused on U.S.-China relationship	Member	11/98	Present

### Part II: Compensation In Excess Of \$5,000 Paid by One Source

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.

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

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	Center for a New American Security 1301 Pennsylvania Ave. NW, suite 403, Washington, DC 20004	Report preparation
2		
3	Massachusetts Institute of Technology Lincoln Laboratory 244 Wood Street, Lexington, MA 02420-9185	Advising as member of advisory board
4	Goldman Sachs & Co. One New York Plaza, 40th floor, New York, NY 10004.	Advising
5	Caxton Associates, LLC 500 Park Avenue, 10th floor, New York, NY 10022	Advising
6	Raytheon Dallas, TX	Service: Critical Analysis on 10/20/08, invoiced on 11/3/08

Reporting Individual's Name CARTER, Ashton B.	<b>SCHEDULE D</b>	Page Number 25
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### 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	American Academy of Diplomacy 1726 M Street, NW Suite 202, Washington, DC	honorary priv. nonprofit, nonpartisan corp. of elected American foreign policy leaders	Member	12/08	Present
2	Review Panel on Future Directions for DTRA (Defense Threat Reduction Agency) Missions and Capabilities To Combat WMD - DC	Review Panel on combatting WMD make recs to DOD and US gov't	Co-Chair	8/07	7/2008
3	Center for Strategic & International Studies 1800 K Street, NW - suite 400, Washington, DC 20006	public policy research institution	Senior Associate, International Security Program	3/03	2/09
4	National Missile Defense White Team - Institute for Defense Analyses, 4850 Mark Center Drive, Alexandria, VA 22311-1882	Advisory Group to Missile Defense Agency	Member	5/98	Present
5	International Security Advisory Board to the Secretary of State DOS, 2201 C St. NW, ISN/SPO, Room 3209, Washington, DC 20520	Advisory Board on arms control matters & international security	Member	9/06	1/08
6	Mitretek Systems, Inc. (now Noblis) 3150 Fairview Park Drive South, Falls Church, VA 22042-4519	nonprofit science, technology and strategy organization	Trustee	5/97	5/07

### Part II: Compensation In Excess Of \$5,000 Paid by One Source

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.

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

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	Mitretek Systems, Inc. (now Noblis) 3150 Fairview Park Drive South, Falls Church, VA 22042-4519	Advising as trustee
2		
3		
4		
5		
6		

Reporting Individual's Name CARTER, Ashton B.	<b>SCHEDULE D</b>	Page Number 26
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### 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	Center for a New American Security, Wash, DC	think tank	Board of Advisors	4/07	3/09
2	Stanford University Palo Alto, CA	University	consultant, 1 day	5/07	5/07
3	Aurora Flight Science Corp. Manassas, VA Center for a New American Security, Wash, DC	Space Technology Company think tank	consultant, 1 day consultant, 1 day	6/07 5/08	6/07 5/08
4	MIT Lincoln Laboratory, Lexington, MA	Fed. Funded Research and Dev. Corp.	Chairman and Member of Advisory Board	5/98	present
5	Caxton Associates, LLC NY, NY	Hedge Fund	speaker	3/07	3/07
6	Raytheon, Dallas, TX Harvard University, Cambridge, MASS	Defense Contractor University	one day technical advice Senior Faculty Member	10/08 9/88	10/08 present

### Part II: Compensation In Excess Of \$5,000 Paid by One Source

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.

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

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		