

# Executive Branch Personnel

## Public Financial Disclosure Report (OGE Form 278e)

### Filer's Information

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**Perry, James Richard**

Secretary, Department of Energy

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Other Federal Government Positions Held During the Preceding 12 Months:

None

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Names of Congressional Committees Considering Nomination:

- **Committee on Energy and Natural Resources**
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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/ Perry, James Richard [electronically signed on 01/03/2017 by Perry, James Richard in Integrity.gov]**

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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/ Beard, Susan F, Certifying Official [electronically signed on 01/10/2017 by Beard, Susan F in Integrity.gov]**

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Other review conducted by

**/s/ Hymer, Christina J, Ethics Official [electronically signed on 01/10/2017 by Hymer, Christina J in Integrity.gov]**

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U.S. Office of Government Ethics Certification

**/s/ Shaub, Walter M, Certifying Official [electronically signed on 01/10/2017 by Shaub, Walter M in Integrity.gov]**

## 1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	ARP Holdings	Austin, Texas	Corporation	Manager	2/2015	Present
2	Energy Transfer Partners	Dallas, Texas	Corporation	Board Member	2/2015	12/2016
3	Sunoco Logistics Partners LP	Philadelphia, Pennsylvania	Corporation	Board Member	3/2015	12/2016
4	Celltex Therapeutics Corp.	Houston, Texas	Corporation	Board Member	5/2016	12/2016
5	State of Texas	Austin, Texas	State	Governor	12/2000	1/2015
6	MCNA Insurance Company	Fort Lauderdale, Florida	Corporation	consultant	10/2015	4/2016
7	McKenna & Associates	Arlington, Virginia	Corporation	consultant	3/2016	10/2016
8	Holt Texas	San Antonio, Texas	Corporation	consultant	3/2015	12/2015
9	Grey Rock Energy Partners	Dallas, Texas	Corporation	Advisory Board Member	3/2015	12/2016
10	MCNA Insurance Company	Fort Lauderdale, Florida	Corporation	Board Member	4/2016	12/2016
11	Celltex Therapeutics Corp.	Houston, Texas	Corporation	consultant	5/2016	12/2016
12	J.R. Perry & Company	Haskell, Texas	Partnership	General Partner	1/2013	10/2015

## 2. Filer's Employment Assets & Income and Retirement Accounts

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Employees Retirement System of Texas - defined benefit plan (value not readily ascertainable)	N/A		gross monthly retirement payments	\$8,940

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2	"Fed Up! Our Fight to Save America From Washington," Little, Brown & Co./Hachette Book Group (value not readily ascertainable)	See Endnote	N/A		
3	"On My Honor: Why the American Values of the Boy Scouts are Worth Fighting For," Stroud & Hall (value not readily ascertainable)	See Endnote	N/A		
4	Energy Transfer Partners LP - unvested restricted stock	N/A	\$100,001 - \$250,000		None (or less than \$201)
5	Sunoco Logistics Partners, LP - unvested restricted stock	N/A	\$100,001 - \$250,000		None (or less than \$201)
6	Energy Transfer Partners LP	N/A		earned income - Director Fees	\$101,010
7	Sunoco Logistics Partners, LP	N/A		earned income - Director Fees	\$70,009
8	ARP Holdings				
8.1	MCNA Insurance Company	N/A		earned income - consultant	\$245,837
8.2	McKenna & Associates	N/A		earned income - consultant	\$177,402
8.3	Celltex Therapeutics	N/A		earned income - consultant	\$175,000
8.4	Omnitracs - 2/1/16	N/A		Honorarium	\$28,000
8.5	Bond Buyer - 2/3/16	N/A		Honorarium	\$15,000
8.6	American Association of Orthopaedic Surgeons - 3/2/16	N/A		Honorarium	\$10,000
8.7	Texas Public Policy Foundation - 5/3/16	N/A		Honorarium	\$2,500
8.8	Radius Financial Education - 6/20/16	N/A		Honorarium	\$32,000
8.9	State Policy Network - 10/3/16	N/A		Honorarium	\$20,000
8.10	Law Office of George Martin, Inc. - 10/8/16	N/A		Honorarium	\$32,000
8.11	Messianic Jewish Bible Institute - 11/10/16	N/A		Honorarium	\$28,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.12	Entertainment Partners Worldwide - August, September and December 2016	N/A		Appearance Fee	\$135,000
8.13	MCNA Insurance Company	N/A		Earned Income - Director Fees	\$75,000
8.14	Texas Public Policy Foundation - 7/27/2016	See Endnote	N/A	Honorarium	\$20,027
8.15	Texas Public Policy Foundation - 3/17/2016	N/A		Honorarium	\$20,000
8.16	Texas Public Policy Foundation - 3/17/2016	N/A		Honorarium	\$9,000

### 3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	State of Texas	Austin, Texas	I will continue to receive monthly payments from the Employees Retirement System of Texas, a defined benefit pension plan. I will also continue to receive health insurance as a result of my former employment with the State of Texas.	1/1985
2	Energy Transfer Partners	Dallas, Texas	Prior to my appointment as Secretary of Energy my unvested restricted stock will be vested on an expedited schedule.	3/2015
3	Sunoco Logistics Partners LP	Philadelphia, Pennsylvania	Prior to my appointment as Secretary of Energy my unvested restricted stock will be vested on an expedited schedule.	3/2015

### 4. Filer's Sources of Compensation Exceeding \$5,000 in a Year

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	MCNA Insurance Company	Fort Lauderdale, Florida	consultant and board member
2	McKenna & Associates	Arlington, Virginia	consultant
3	Energy Transfer Partners	Dallas, Texas	Board Member

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
4	Celltex Therapeutics	Houston, Texas	consultant
5	State of Texas	Austin, Texas	Governor
6	Microsoft	Seattle, Washington	speech
7	Asian American Hotel Owners Association	Atlanta, Georgia	speech
8	Ashland University	Ashland, Ohio	speech
9	Omnitracs	Dallas, Texas	speech
10	Bond Buyer	New York, New York	speech
11	American Association of Orthopaedic Surgeons	Washington, District of Columbia	speech
12	Radius Financial Education	Toronto, Ontario Canada	speech
13	State Policy Network	Arlington, Virginia	speech
14	Law Office of George Martin	Bakersfield, California	speech
15	Messianic Jewish Bible Institute	Eules, Texas	speech
16	Sunoco Logistics Partners LP	Philadelphia, Pennsylvania	Board Member
17	Entertainment Partners Worldwide	Burbank, California	appearance fee
18	Holt Texas	San Antonio, Texas	consultant
19	Texas Public Policy Foundation	Austin, Texas	speeches

## 5. Spouse's Employment Assets & Income and Retirement Accounts

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	SEP Plan				
1.1	AT&T Inc - common stock	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.2	Energy Transfer Equity LP - common stock	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.3	Federated Money Market	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.4	Enterprise Products Partners LP - common stock	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.5	Microsoft Corp - common stock	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.6	Splunk Inc. - common stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.7	Sunoco Logistics Partners LP - common stock	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.8	Tesla Motors, Inc. - common stock	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.9	Verizon Communications Inc - common stock	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
2	Texas Association Against Sexual Assault	N/A		salary	

## 6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	WPP Investments - underlying investments are oil and gas leases in North Dakota	No	\$1,001 - \$15,000	Rent or Royalties	\$1,001 - \$2,500
2	San Antonio, TX Residential Rental Property	N/A	\$100,001 - \$250,000	Rent or Royalties	\$5,001 - \$15,000
3	Lincoln Variable Universal Life				
3.1	LVIP T Rowe Price Growth Stock (income amount is not readily ascertainable)	Yes	\$50,001 - \$100,000		

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.2	Templeton Foreign VIP fund (income amount is not readily ascertainable)	Yes	\$50,001 - \$100,000		
3.3	LVIP Delaware Bond (income amount is not readily ascertainable)	Yes	\$50,001 - \$100,000		
3.4	LVIP MFS Value (income amount is not readily ascertainable)	Yes	\$50,001 - \$100,000		
3.5	LVIP Wellington Capital Grw SC (income amount is not readily ascertainable)	Yes	\$50,001 - \$100,000		
4	Checking account US financial institution	N/A	\$15,001 - \$50,000		None (or less than \$201)
5	Grey Rock Energy Fund I - oil and gas leases in North Dakota, Oklahoma and Texas	No	\$100,001 - \$250,000		None (or less than \$201)
6	Grey Rock Energy Fund II - oil and gas leases in Louisiana, North Dakota and Texas	No	\$1,001 - \$15,000		None (or less than \$201)
7	Adeptus Health - common stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
8	ARP Holdings				
8.1	Fairmount Santrol Holdings	N/A	\$50,001 - \$100,000		None (or less than \$201)
8.2	SPDR Gold Shares	N/A	\$50,001 - \$100,000	Capital Gains	\$2,501 - \$5,000
8.3	Glencore PLC	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
9	Cash account at US financial institution	N/A	\$100,001 - \$250,000		None (or less than \$201)

## 7. Transactions

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

## 8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	USAA	Personal Loan	\$50,001 - \$100,000	2015	2.65	5
2	Benchmark Mortgage	Mortgage (investment/rental property)	\$100,001 - \$250,000	2013	4.625	30
3	Vista Bank	Mortgage on Personal Residence	Over \$1,000,000	2015	3.75	30
4	Grey Rock Energy Fund, LP II	Capital Commitment	\$100,001 - \$250,000	2016	n/a	over next 3 years
5	ED Financial Services	Student Loan	\$50,001 - \$100,000	2002	3.875	20 years

## 9. Gifts and Travel Reimbursements

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

## Endnotes

PART	#	ENDNOTE
2.	2	Irrevocable donation of all royalties to charitable organization.
2.	3	Irrevocable donation of all royalties to charitable organization.
2.	8.14	Speech at the American Legislative Exchange Council



# 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.

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