

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

Filer's Information

Mills Jr., Richard M

Deputy Representative to the UN and Deputy Representative to the UN Security Council; Representative to the Sessions of UNGA, Department of State

Other Federal Government Positions Held During the Preceding 12 Months:

Ambassador to Armenia (2/2015 - 10/2018)

Deputy Chief of Mission, U.S. Embassy in Ottawa (11/2018 - Present)

Names of Congressional Committees Considering Nomination:

- **Committee on Foreign Relations**
-

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/ Mills Jr., Richard M [electronically signed on 09/22/2019 by Mills Jr., Richard M in Integrity.gov]

Agency Ethics Official's Opinion - On the basis of information contained in this report, I conclude that the filer is in compliance with applicable laws and regulations (subject to any comments below).

/s/ Huitema, David, Certifying Official [electronically signed on 01/13/2020 by Huitema, David in Integrity.gov]

Other review conducted by

U.S. Office of Government Ethics Certification

/s/ Apol, David, Certifying Official [electronically signed on 01/24/2020 by Apol, David in Integrity.gov]

1. Filer's Positions Held Outside United States Government

None

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Morgan Stanley IRA Account	No			
1.1	American Washington Mutual Investment Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.2	American Mutual Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)

3. Filer's Employment Agreements and Arrangements

None

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

None

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

None

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Automatic Data Processing Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
2	Biogen IDEC	N/A	\$1,001 - \$15,000		None (or less than \$201)
3	Broadcom Corp	N/A	\$1,001 - \$15,000		None (or less than \$201)
4	Chevron Corp	N/A	\$1,001 - \$15,000		None (or less than \$201)
5	Citrix Systems Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
6	Cree Research Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
7	Dolby CLA A COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
8	Du Pont El de Nemours	N/A	\$1,001 - \$15,000		None (or less than \$201)
9	Fluor Corp	N/A	\$1,001 - \$15,000		None (or less than \$201)
10	Freeport McMoran CP	N/A	\$1,001 - \$15,000		None (or less than \$201)
11	General Electric Co	N/A	\$1,001 - \$15,000		None (or less than \$201)
12	Home Depot Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
13	Immunogen Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
14	AMC networks Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
15	Anadarko Pete	N/A	\$1,001 - \$15,000		None (or less than \$201)
16	IONIS Pharmacetuticals	N/A	\$1,001 - \$15,000		None (or less than \$201)
17	Liberty Interactive Co Inter	N/A	\$1,001 - \$15,000		None (or less than \$201)
18	Liberty Media Co	N/A	\$1,001 - \$15,000		None (or less than \$201)
19	Metlife Incorp	N/A	\$1,001 - \$15,000		None (or less than \$201)
20	National Oilwell Varco	N/A	\$1,001 - \$15,000		None (or less than \$201)
21	Nextera Energy Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
22	Nucor Corp	N/A	\$1,001 - \$15,000		None (or less than \$201)
23	Pall Corp	N/A	\$1,001 - \$15,000		None (or less than \$201)
24	Pentair Ltd	N/A	\$1,001 - \$15,000		None (or less than \$201)
25	People's United Financial Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
26	PPG Industries Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
27	Proctor and Gamble	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
28	Qualcom	N/A	\$1,001 - \$15,000		None (or less than \$201)
29	Sandisk Corp	N/A	\$1,001 - \$15,000		None (or less than \$201)
30	Schlumberger Ltd	N/A	\$1,001 - \$15,000		None (or less than \$201)
31	Target Corp	N/A	\$1,001 - \$15,000		None (or less than \$201)
32	Texas Instruments	N/A	\$1,001 - \$15,000		None (or less than \$201)
33	The ADT Corp	N/A	\$1,001 - \$15,000		None (or less than \$201)
34	Time Warner Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
35	Travellers Companies	N/A	\$1,001 - \$15,000		None (or less than \$201)
36	Tyco International	N/A	\$1,001 - \$15,000		None (or less than \$201)
37	United Parcel Service Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
38	United Technologies Corp	N/A	\$1,001 - \$15,000		None (or less than \$201)
39	King County Wash Gen Oblig Ref, bonds	N/A	\$1,001 - \$15,000		None (or less than \$201)
40	Tooele Cnty Utah Sch Dist, bonds	N/A	\$1,001 - \$15,000		None (or less than \$201)
41	Ohio State Genl Oblig-bonds	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
42	Florida St TPK Auth, bonds	N/A	\$1,001 - \$15,000		None (or less than \$201)
43	Anderson Regl JT WTR Sys bonds	N/A	\$1,001 - \$15,000		None (or less than \$201)
44	California ST WAR PURP GENL OBLIG REF bonds	N/A	\$1,001 - \$15,000		None (or less than \$201)
45	Regional Transn Auth Ill Rev REF bonds	N/A	\$1,001 - \$15,000		None (or less than \$201)
46	Pennsylvania TPKE COMM MTR bonds	N/A	\$1,001 - \$15,000		None (or less than \$201)
47	Vertex Pharma	N/A	\$1,001 - \$15,000		None (or less than \$201)
48	Wal Mart Stores Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
49	Walt Disney Co HLDG	N/A	\$1,001 - \$15,000		None (or less than \$201)
50	Waste Mgt	N/A	\$1,001 - \$15,000		None (or less than \$201)
51	Weatherford Int Ltd	N/A	\$1,001 - \$15,000		None (or less than \$201)
52	Wisconsin Energy Co	N/A	\$1,001 - \$15,000		None (or less than \$201)
53	American Express	N/A	\$1,001 - \$15,000		None (or less than \$201)
54	American Tower REIT COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
55	Anheuser Busch InBev SA SPON ADR	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
56	Honda Motor Company LTD ADR	N/A	\$1,001 - \$15,000		None (or less than \$201)
57	Occidental Petroleum Corp	N/A	\$1,001 - \$15,000		None (or less than \$201)
58	STARZ Series A	N/A	\$1,001 - \$15,000		None (or less than \$201)
59	Union Pacific Corp	N/A	\$1,001 - \$15,000		None (or less than \$201)
60	Weyerhaeuser Corp	N/A	\$1,001 - \$15,000		None (or less than \$201)
61	Nuance Communications	N/A	\$1,001 - \$15,000		None (or less than \$201)
62	Bank of New York	N/A	\$1,001 - \$15,000		None (or less than \$201)
63	Allergan PLC SHS	N/A	\$1,001 - \$15,000		None (or less than \$201)
64	Covidien PLC	N/A	\$1,001 - \$15,000		None (or less than \$201)
65	Directv COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
66	Forest Laboratories	N/A	\$1,001 - \$15,000		None (or less than \$201)
67	General Mills Inc	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
68	Cablevision System Corp	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
69	Coca Cola Co.	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
70	Kansas St TPK Auth TPK REV bonds	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
71	Minnesota St Genl Oblig St Purp bonds	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
72	New York ST Urban DEV CORP bonds	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
73	University ILL UNIV REVS bonds	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
74	Merck & CO INC NEW COM	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
75	Granite Sch Dist Utah Salt Lake Cty bonds	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
76	U.S. bank account (cash) #1	N/A	\$1,001 - \$15,000		None (or less than \$201)
77	3M Company	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
78	Verizon Communications	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
79	Seagate Technology PLC	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
80	Spectra Energy Corp	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
81	Kimberly Clark Corp	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
82	AT&T	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
83	International Paper Co	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
84	Pfizer Inc	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
85	Exxon Mobil Corp	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
86	Nestle Spon ADR	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
87	Johnson & Johnson	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
88	Comcast Corp	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
89	Raytheon Co	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
90	Pepsico Inc NC	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
91	Unitedhealth GP Inc	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
92	AIP Dynamic Alternative Strategies Fund Class A (DASAX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
93	Apple Inc	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
94	U.S. bank account (cash) #2	N/A	\$15,001 - \$50,000		None (or less than \$201)
95	Autodesk Inc	N/A	\$15,001 - \$50,000		None (or less than \$201)
96	U.S. bank account (cash) #4	N/A	\$15,001 - \$50,000		None (or less than \$201)
97	Lincoln National Life Whole Life Insurance Policy	N/A	\$15,001 - \$50,000		None (or less than \$201)
98	TE connectivity Ltd	N/A	\$15,001 - \$50,000		None (or less than \$201)
99	L-3 Communications Holding Inc	N/A	\$15,001 - \$50,000		None (or less than \$201)
100	U.S. bank account (cash) #3	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	Citimortgage	Mortgage (investment/rental property)	\$250,001 - \$500,000	2007	4.625	15
2	MorganStanley	Mortgage on Personal Residence	\$500,001 - \$1,000,000	2019	3.8%	20 years

9. Gifts and Travel Reimbursements

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

Endnotes

Summary of Contents

1. Filer's Positions Held Outside United States Government

Part 1 discloses positions that the filer held at any time during the reporting period (excluding positions with the United States Government). Positions are reportable even if the filer did not receive compensation.

This section does not include the following: (1) positions with religious, social, fraternal, or political organizations; (2) positions solely of an honorary nature; (3) positions held as part of the filer's official duties with the United States Government; (4) mere membership in an organization; and (5) passive investment interests as a limited partner or non-managing member of a limited liability company.

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

Part 2 discloses the following:

- Sources of earned and other non-investment income of the filer totaling more than \$200 during the reporting period (e.g., salary, fees, partnership share, honoraria, scholarships, and prizes)
- Assets related to the filer's business, employment, or other income-generating activities (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in income was received 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 (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in income was received 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, (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in investment income was received 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 in income was received). 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 \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$390 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 \$156 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 ten hours per response, including time for reviewing the instructions, gathering the data needed, and completing the form. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Program Counsel, U.S. Office of Government Ethics (OGE), Suite 500, 1201 New York Avenue, NW., Washington, DC 20005-3917.

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