

# Executive Branch Personnel

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

### Filer's Information

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Moultrie, Ronald

Under Secretary for Intelligence and Security, Department of Defense

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Other Federal Government Positions Held During the Preceding 12 Months:

Chairman, Department of the Navy, CIO Advisory Group (1/2020 - 2/2021)

National Intelligence University, Board of Visitors (3/2020 - 1/2021)

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Names of Congressional Committees Considering Nomination:

- Committee on Armed Services
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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/ Moultrie, Ronald [electronically signed on 03/07/2021 by Moultrie, Ronald 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/ Thompson, Scott F, Certifying Official [electronically signed on 04/13/2021 by Thompson, Scott F in Integrity.gov]

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Other review conducted by

/s/ Thompson, Scott F, Ethics Official [electronically signed on 04/13/2021 by Thompson, Scott F in Integrity.gov]

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U.S. Office of Government Ethics Certification

/s/ Apol, David, Certifying Official [electronically signed on 04/15/2021 by Apol, David in Integrity.gov]

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

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Oceanus Security Strategies, LLC	Riva, Maryland	LLC	President/CEO	11/2015	Present
2	The Better Angels Society	Washington, District of Columbia	Non-Profit	Board Member	7/2016	Present
3	Altamira Technologies Corporation	McLean, Virginia	Corporation	Board Member	5/2020	Present
4	G2K Labs	Chantilly, Virginia	Corporation	Board Member	9/2017	Present
5	Icapital Network, Inc.	New York, New York	Corporation	Board Member	5/2020	Present
6	Sequoia Inc.	Reston, Virginia	Corporation	Board Member	12/2019	Present
7	Yahya Technologies (Y-Tech)	Annapolis Junction, Maryland	Corporation	Advisory Board Member	1/2019	Present
8	Auburn Seminary	New York, New York	Non-Profit	Board Member	6/2019	Present
9	Ronald and Darlene Moultrie Family Trust	Riva, Maryland	Trust	Trustee	4/2019	Present
10	Vibrant Emotional Health	New York, New York	Non-Profit	Board Member	6/2019	Present
11	Naval Postgraduate School Foundation	Monterey, California	Non-Profit	Advisory Council	6/2020	Present
12	Pallas Advisors	Washington, District of Columbia	Corporation	Advisory Board Member	3/2019	Present
13	MITRE	McLean, Virginia	Corporation	Advisory Board Member	7/2019	Present
14	Nira Inc.	McLean, Virginia	Corporation	Consultant	4/2020	7/2020

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
15	BlueVoyant		New York, New York	Corporation	Advisory Board Member	7/2020	Present
16	Resolute Public Affairs		Chicago, Illinois	Corporation	Advisor	4/2018	Present
17	Resolute Strategic Services		Chicago, Illinois	Corporation	Advisory Board Member	7/2020	Present
18	RIWI		Toronto, Outside U.S.	Corporation	Consultant	1/2017	2/2019
19	Prime Movers Lab, LLC	See Endnote	Santa Clara, California	Corporation	Advisor	1/2021	Present
20	Deep Water Point, LLC		Annapolis, Maryland	Corporation	Consultant	11/2018	12/2020

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Oceanus Security Strategies, LLC (consulting)	No	\$100,001 - \$250,000		
1.1	Altamira Technologies Corporation (Provides engineering and analytic services to the defense, intelligence, and homeland security communities), cash fees received and receivable	N/A	\$1,001 - \$15,000	Director Fees received	\$30,495
1.2	G2K Labs (IT and telecommunications security solutions)	N/A		Advisory Board Fees received	\$53,500
1.3	Yahya Technologies (Y-Tech) (Communications services and consulting)	N/A		Advisory Board Fees received	\$22,500
1.4	Pallas Advisors (Consults with private sector companies that are exploring U.S. Government opportunities)	N/A		Consulting Fees received	\$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.5	Nira Inc. (Consulting on Financial Management and System Engineering)	N/A		Consulting Fees received	\$124,950
1.6	MITRE (Manages Federally Funded Research Development Centers)	N/A		Advisory Board Fees received	\$750
1.7	BlueVoyant (Cybersecurity consulting and managed security services), cash fees received and receivable	N/A	\$1,001 - \$15,000	Advisory Board Fees received	\$13,508
1.8	Sequoia Inc. (technology consulting and services), cash fees received and receivable,	N/A	\$1,001 - \$15,000	Director Fees received	\$50,000
1.9	Resolute Public Affairs (Public affairs and strategic advice), cash fees received and receivable	N/A	\$1,001 - \$15,000	Consulting Fees received	\$162,500
1.10	Resolute Strategic Services (subsidiary of Resolute Public Affairs) (Digital transformation and operational risk)	N/A		Advisory Board Fees received	\$187,500
1.11	Icapital Network, Inc. (financial sector technology), cash fees received and receivable	N/A	\$1,001 - \$15,000	Advisory Board Fees received	\$14,583
1.12	RIWI (Market research)	N/A		Consulting Fees received	\$84,181
2	Self-funded defined benefit plan, Vanguard - Oceanus Security Strategies, LLC	No			
2.1	Vanguard LifeStrategy Conservative Growth Fund Investor Shares) (VSCGX)	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
3	401k - Oceanus Security Strategies, LLC	No			
3.1	Vanguard LifeStrategy Conservative Growth Fund Investor Shares (VSCGX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
4	SEP IRA - Oceanus Security Strategies, LLC	No			
4.1	Vanguard LifeStrategy Conservative Growth Fund Investor Shares (VSCGX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5	Altamira Technologies Corporation, unvested restricted stock units	See Endnote	N/A	\$50,001 - \$100,000		None (or less than \$201)
6	Altamira Technologies Corporation, unvested performance shares (value not readily ascertainable)	See Endnote	N/A			None (or less than \$201)
7	BlueVoyant, vested restricted stock units		N/A	\$1,001 - \$15,000		None (or less than \$201)
8	BlueVoyant, unvested restricted stock units	See Endnote	N/A	\$15,001 - \$50,000		None (or less than \$201)
9	Icapital Network, Inc., vested restricted stock units		N/A	\$15,001 - \$50,000		None (or less than \$201)
10	Icapital Network, Inc., unvested restricted stock units	See Endnote	N/A	\$1,001 - \$15,000		None (or less than \$201)
11	Icapital Network, Inc., preferred stock		N/A	\$15,001 - \$50,000		None (or less than \$201)
12	Resolute Strategic Services (subsidiary of Resolute Public Affairs), vested restricted stock units (value not readily ascertainable)	See Endnote	N/A			None (or less than \$201)
13	Sequoia Inc., vested stock options (value not readily ascertainable)	See Endnote	N/A			None (or less than \$201)

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

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Sequoia Inc.	Reston, Virginia	I will forfeit all stock options upon separation. Any pro rata, cash director fee receivable will be fixed at separation.	1/2020

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
2	Altamira Technologies Corporation	McLean, Virginia	I will forfeit my unvested restricted stock units and unvested performance shares upon separation. I will receive a cash payment for my vested restricted stock units. Any pro rata, cash director fee receivable will be fixed at separation.	5/2020
3	Resolute Strategic Services (subsidiary of Resolute Consulting)	Chicago, Illinois	I will forfeit my restricted stock units upon separation.	7/2020
4	BlueVoyant	New York, New York	I will forfeit my unvested restricted stock units upon separation. I will receive a cash payment for my vested restricted stock units. Any pro rata, cash advisory board fee receivable will be fixed at separation.	7/2020
5	Icapital Network, Inc.	New York, New York	I will forfeit my unrestricted stock units upon separation. I will receive a cash payment for my vested restricted stock units and preferred stock. Any pro rata, cash director fee receivable will be fixed at separation.	5/2020
6	Oceanus Security Strategies, LLC	Riva, Maryland	My business will be inactive during my appointment. All outstanding client fees will be fixed before I enter government service. I will continue to participate in the retirement plans and SEP IRA associated with this LLC but contributions will cease.	5/2017
7	Prime Movers Lab, LLC	Santa Clara, California	I signed an agreement to receive cash compensation and carried interest if I remain until 2/2022. If confirmed, I will resign my position with the firm and forfeit any right to this carried interest.	2/2021

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	Altamira Technologies Corporation, paid through Oceanus Security Strategies LLC	McLean, Virginia	Board member.
2	G2K Labs, paid through Oceanus Security Strategies LLC	Chantilly, Virginia	Board member.

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
3	Yahya Technologies (Y-Tech), paid through Oceanus Security Strategies LLC	Annapolis Junction, Maryland	Consultant.
4	Nira Inc., paid through Oceanus Security Strategies LLC	McLean, Virginia	Consultant.
5	BlueVoyant, paid through Oceanus Security Strategies LLC	New York, New York	Consultant.
6	Sequoia Inc., paid through Oceanus Security Strategies LLC	Reston, Virginia	Board member.
7	Resolute Public Affairs, paid through Oceanus Security Strategies LLC	Chicago, Illinois	Consultant.
8	Resolute Strategic Services (subsidiary of Resolute Consulting), paid through Oceanus Security Strategies LLC	Chicago, Illinois	Advisory Board member.
9	Icapital Network, Inc., paid through Oceanus Security Strategies LLC	New York, New York	Board member.
10	Riwi Corp, paid through Oceanus Security Strategies LLC	Toronto, Outside U.S.	Consultant.
11	Oceanus Security Strategies LLC	Riva, Maryland	Consulting.
12	Deep Water Point, LLC, paid through Oceanus Security Strategies LLC	Annapolis, Maryland	Consultant.
13	Quadrint	Falls Church, Virginia	Consulting (through Deep Water Point, LLC).
14	Microsoft	Seattle, Washington	Consulting (through Deep Water Point, LLC).
15	Afiniti	Hamilton, Bermuda, Outside U.S.	Consulting (through Resolute Strategic Services).



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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Wells Fargo	N/A		salary, bonus	
2	IRA: Vanguard LifeStrategy Conservative Growth Fund Investor Shares (VSCGX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
3	Wells Fargo 401K	No			
3.1	State Street Bond Index Fund (Class M)	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
3.2	State Street Con Tgt Ret Inc NL SF&CL P	Yes	\$100,001 - \$250,000		None (or less than \$201)
3.3	State Street S&P 500 Index Fund	Yes	\$50,001 - \$100,000		None (or less than \$201)
3.4	Wells Fargo's Employee (ESOP) Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
4	Wells Fargo Cash Balance Plan	N/A	\$15,001 - \$50,000		None (or less than \$201)

## 6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	U.S. credit union (cash accounts)	N/A	\$100,001 - \$250,000		None (or less than \$201)

## 7. Transactions

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

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## 8. Liabilities

None

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## 9. Gifts and Travel Reimbursements

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

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## Endnotes

PART	#	ENDNOTE
1.	19	Contract signed / no services to date.
2.	5	338,315.95 RSUs that vest in 1/4 increments annually, beginning May 1st 2021 and continuing through May 1st each year until 2024
2.	6	169,157.98 time-based shares calculated when and with reference to the price of the company when sold
2.	8	75,000 RSUs that vest annually in 25,000-share increments annually at year-end through December 31, 2023
2.	10	7,622 RSUs vesting on April 30, 2021
2.	12	250 vested RSUs with an agreement to receive an additional 250 vested RSUs on July 1 of 2021, 2022, and 2023 (if still with the firm)
2.	13	4,380 units. Exercise price of \$34.25. If participants want to exercise this option, they must remit to Company the exercise price in cash.

# 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 the 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 \$415 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$415 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 \$166 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. Failure to provide the requested information may result in separation, disciplinary action, or civil action. 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 a source when necessary to obtain information relevant to a conflict of interest investigation or determination; (4) to the National Archives and Records Administration or the General Services Administration in records management inspections; (5) to the Office of Management and Budget during legislative coordination on private relief legislation; (6) when the disclosing agency determines that the records are arguably relevant to a proceeding before a court, grand jury, or administrative or adjudicative body, or in a proceeding before an administrative or adjudicative body when the adjudicator determines the records to be relevant to the proceeding; (7) to reviewing officials in a new office, department or agency when an employee transfers or is detailed from one covered position to another, a public financial disclosure report and any accompanying documents, including statements notifying an employee's supervising ethics office of the commencement of negotiations for future employment or compensation or of an agreement for future employment or compensation; (8) to a Member of Congress or a congressional office in response to an inquiry made on behalf of and at the request of an individual who is the subject of the record; (9) 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 this system of records; (10) on the OGE Website and to any person, department or agency, any written ethics agreement, including certifications of ethics agreement compliance, filed with OGE by an individual nominated by the President to a position requiring Senate confirmation; (11) on the OGE Website and to any person, department or agency, any certificate of divestiture issued by OGE; (12) on the OGE Website and to any person, department or agency, any waiver of the restrictions contained in Executive Order 13770 or any superseding executive order; (13) to appropriate agencies, entities and persons when there has been a suspected or confirmed breach of the system of records, the agency maintaining the records has determined that there is a risk of harm to individuals, the agency, the Federal Government, or national security, and the disclosure is reasonably necessary to assist in connection with the agency's efforts to respond to the suspected or confirmed breach or to prevent, minimize, or remedy such harm; and (14) to another Federal agency or Federal entity, when the agency maintaining the record determines that information from this system of records is reasonably necessary to assist the recipient agency or entity in responding to a suspected or confirmed breach or in preventing, minimizing, or remedying the risk of harm to individuals, the recipient agency or entity, the Federal Government, or national security. 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, N.W., 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).

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