

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

Filer's Information

Brooker, Bradley A

DAEO, Office of the Director of National Intelligence

Report Year: 2019

Other Federal Government Positions Held During the Preceding 12 Months:

None

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/ Brooker, Bradley A [electronically signed on 05/10/2019 by Brooker, Bradley A 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/ Cox, Kerri A, Certifying Official [electronically signed on 05/22/2019 by Cox, Kerri A in Integrity.gov]

Other review conducted by

/s/ Cobb, Alicia, Ethics Official [electronically signed on 05/16/2019 by Cobb, Alicia in Integrity.gov]

U.S. Office of Government Ethics Certification

Data Revised 05/16/2019

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	Blackrock Global, MCLOX	Yes	\$1,001 - \$15,000		None (or less than \$201)
2	Blackrock Global, MDLOX	Yes	\$1,001 - \$15,000		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

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

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Gibson, Dunn & Crutcher LLP (Law Firm Partnership)	N/A		partnership share	

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2	Blackrock Global, MCLOX	Yes	\$15,001 - \$50,000		None (or less than \$201)
3	Gibson Dunn & Crutcher Retirement Plan	No			
3.1	Vanguard Federal Money Market (VMFXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.2	Loomis Sayles Core Bond (NERNX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.3	Vanguard Short Term Bond Index (VBSSX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.4	Vanguard TotalBond Market (VBTSX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.5	Vanguard Windsor II Admiral Shares (VWNAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.6	Vanguard S&P 500 Institutional Index Fund (VINIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.7	T Roe Price Blue Chip Grown Fund (TRBCX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.8	EuroPacific Growth Class R-6 Fund (RERGX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.9	Vanguard S&P Mid Cap 400 Fund (VSPMX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.10	Neuberger Berman Genesis R6 Fund (NRGSX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.11	VOYA Target Retirement 2040 (VTRJX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4	Gibson, Dunn & Crutcher LLP	N/A		Bonus	
5	Gibson, Dunn & Crutcher LLP, capital account	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6	Gibson Dunn & Crutcher Cash Balance Plan (Deferred Comp): cash receivable	N/A	\$100,001 - \$250,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Merrill Lynch CMA #1 (cash accounts)	N/A	\$100,001 - \$250,000	Interest	None (or less than \$201)
2	Merrill Lynch CMA #2 (cash accounts)	N/A	\$500,001 - \$1,000,000	Interest	None (or less than \$201)
3	M&T Checking Account	N/A	\$15,001 - \$50,000		None (or less than \$201)
4	Next Gen 529 Plan				
4.1	Blackrock Age 11 to 13 Years A, NAABD	Yes	\$100,001 - \$250,000		None (or less than \$201)
5	NextGen 529 Plan				
5.1	Blackrock Age 14 to 16 years A, NAABE	Yes	\$100,001 - \$250,000		None (or less than \$201)
6	American General Lifetime GUL3	No	\$250,001 - \$500,000		None (or less than \$201)
7	American General Lifetime GUL3	No	\$500,001 - \$1,000,000		None (or less than \$201)
8	AMER FUNDS AMERICAN BALANCED FUND CL F2(AMBFX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
9	JP MORGAN INVESTOR BALANCED FUND I CL (OIBFX)	Yes	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT	
10	WELLS FARGO DIVERSIFIED CAPT BUILDER FD CL INSTL(EKBYX)	Yes	\$50,001 - \$100,000		None (or less than \$201)	
11	Goldstein Brothers Realty, LTD	See Endnote	No	\$15,001 - \$50,000	Rent or Royalties	None (or less than \$201)

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	iShares inc Core MSCI Emerging Mkts (IEMG)	Sale	01/30/2018	\$1,001 - \$15,000
2	Consumer Discretionary SPDR Actual (XLY)	Sale	01/31/2018	\$1,001 - \$15,000
3	iShares MSCI Sweeden ETF Actual (EWD)	Sale	03/06/2018	\$1,001 - \$15,000
4	ISHARES MSCI Switzerland ETF (EWL)	Sale	03/06/2018	\$1,001 - \$15,000
5	ISHARES TR CORE MSCI EAF ETF (IEFA)	Purchase	03/06/2018	\$15,001 - \$50,000
6	ISHARES MSCI JAPAN ETF SHS (EWJ)	Sale	03/06/2018	\$1,001 - \$15,000
7	ISHARES MSCI CDA ETF Actual Prices (EWC)	Sale	03/06/2018	\$1,001 - \$15,000
8	ISHARES MSCI EUOSONZE ETF ACTUAL (EZU)	Sale	03/06/2018	\$1,001 - \$15,000
9	ISHARES MSCI PACIFIC EX-JAPAN ACTUAL (EPP)	Sale	03/06/2018	\$1,001 - \$15,000
10	ISHARES MSCI UK ETF SHS Actual (EWU)	Sale	03/06/2018	\$1,001 - \$15,000
11	FIRST TR EXCHANGE Traded FD Dow Jones (FDN)	Sale	03/06/2018	\$1,001 - \$15,000
12	SPDR US FINANCIAL SECTOR ETF (XLF)	Purchase	03/06/2018	\$1,001 - \$15,000
13	FIRST TR EXCHANGE TRADED FD DOW JONES (FDN)	Purchase	03/28/2018	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
14	Vanguard Materials ETF Actual (VAW)	Sale	03/28/2018	\$1,001 - \$15,000
15	Consumer Discretionary SPDR Actual (XLY)	Sale	03/28/2018	\$1,001 - \$15,000
16	SPDR US Financial Sector ETF (XLF)	Purchase	03/28/2018	\$1,001 - \$15,000
17	Consumer Discretionary SPDR Actual (XLY)	Sale	03/06/2018	\$1,001 - \$15,000
18	SECTOR SPDR Energy Actual Prices (XLE)	Purchase	03/06/2018	\$1,001 - \$15,000
19	SECTOR SPDR UTILITIES ACTUAL PRICES (XLU)	Purchase	03/06/2018	\$1,001 - \$15,000
20	HEALTH CARE SELECT SPDR ACTUAL PRICES (XLV)	Sale	03/06/2018	\$1,001 - \$15,000
21	VANGUARD INDUSTRIAL ETF ACTUAL PRICES (VIS)	Sale	03/06/2018	\$1,001 - \$15,000
22	REAL ESTATE SELECT SECTOR SPDR FD (XLRE)	Purchase	03/06/2018	\$1,001 - \$15,000
23	SPDR S&P INSURANCE ETC ACTUAL (KIE)	Purchase	03/06/2018	\$1,001 - \$15,000
24	VANGUARD MATERIALS ETF ACTUAL (VAW)	Purchase	03/06/2018	\$1,001 - \$15,000
25	VANGUARD INFORMATION TECH ETF (VGT)	Sale	03/06/2018	\$1,001 - \$15,000
26	FIRST TRUST COULD COMPUTING ETF (SKYY)	Sale	03/06/2018	\$1,001 - \$15,000
27	AMER FUNDS AMERICAN BALANCED FUND (AMBFX)	Purchase	05/14/2018	\$100,001 - \$250,000
28	WELLS FARGO DIVERSIFIED CAPT BUILDING (EKBYX)	Purchase	05/14/2018	\$50,001 - \$100,000
29	JP ORGAN INVESTOR BALANCED FUND (OIBFX)	Purchase	05/14/2018	\$50,001 - \$100,000
30	CONSUMER DISCRETIONARY SPDR PER (XLY)	Sale	05/14/2018	\$1,001 - \$15,000
31	SPDR S&P INSURANCE ETF PER ADVISORY (KIE)	Sale	05/14/2018	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
32	ISHARES INC CORE MSCI EMERGING MKTS (IEMG)	Sale	05/14/2018	\$15,001 - \$50,000
33	ISHARES 3-7 YEAR TREASURY BOND ETF (IEI)	Sale	05/14/2018	\$1,001 - \$15,000
34	HEALTH CARE SELECT SPDR PER ADVISORY (XLV)	Sale	05/14/2018	\$1,001 - \$15,000
35	SECTOR SPDR UTILITIES PER ADVISORY (XLU)	Sale	05/14/2018	\$1,001 - \$15,000
36	REAL ESTATE SELECTOR SECTOR SPDR FD (XLRE)	Sale	05/14/2018	\$1,001 - \$15,000
37	SPDR US FINANCIAL SECTOR ETF PER (XLF)	Sale	05/14/2018	\$15,001 - \$50,000
38	SECTOR SPDR ENERGY PER ADVISORY (XLE)	Sale	05/14/2018	\$1,001 - \$15,000
39	ISHARES TR CORE MSCI EAF ETF PER (IEFA)	Sale	05/14/2018	\$15,001 - \$50,000
40	ISHARES NASDAQ BIOTECH ETF PER (IBB)	Sale	05/14/2014	\$1,001 - \$15,000
41	ISHRES IBOX\$ HIGH YIELD CORPORATE (HYG)	Sale	05/14/2018	\$1,001 - \$15,000
42	FIRST TR EXCHANGED TRADED FD DOW JONES (FDN)	Sale	05/14/2018	\$1,001 - \$15,000
43	VANECK VECTORS JP MOREGAN EM LOCAL (EMLC)	Sale	05/14/2018	\$1,001 - \$15,000
44	VANGUARD SHORT TERM BOND PER ADVISORY (BSV)	Sale	05/14/2018	\$1,001 - \$15,000
45	VANGUARD INTERMEDIATE TERM BOND ETF (BIV)	Sale	05/14/2018	\$1,001 - \$15,000
46	VANGUARD INDUSTRIAL ETF PER ADVISORY (VIS)	Sale	05/14/2018	\$15,001 - \$50,000
47	VANGUARD INFORMATION TECH ETF PER (VGT)	Sale	05/14/2018	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
48	VANGUARD CONSUMER STAPLES ETF PER (VDC)	Sale	05/14/2018	\$1,001 - \$15,000
49	VANGUARD MATERIALS ETF PER ADVISORY (VAW)	Sale	05/14/2018	\$1,001 - \$15,000
50	ISHARES TIPS BOND ETF PER ADVISORY (TIP)	Sale	05/14/2018	\$1,001 - \$15,000
51	POWERSHARES PREFERRED PORTFOLIO PER (PGX)	Sale	05/14/2018	\$1,001 - \$15,000
52	POWERSHARES EM SOVEREIGN BOND USE (PCY)	Sale	05/14/2018	\$1,001 - \$15,000
53	ISHARES MBS ETF PER ADVISORY AGREEMENT (MBB)	Sale	05/14/2018	\$1,001 - \$15,000
54	ISHARES IBOX\$ INVT GRADE CORP BOND (LQD)	Sale	05/14/2018	\$1,001 - \$15,000

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Mohela	Student Loan	\$15,001 - \$50,000	2000	5.075	30 years
2	EdFinancial	Student Loan	\$15,001 - \$50,000	2002	3.25	30 years

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
6.	11	Limited percentage interest of 2.5% in a limited partnership that owns a commercial building in Birmingham, Alabama.

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).
