

**SELECT COMMITTEE ON  
INTELLIGENCE**

**UNITED STATES SENATE**



**QUESTIONNAIRE FOR COMPLETION BY  
PRESIDENTIAL NOMINEES**

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**PART A - BIOGRAPHICAL INFORMATION**

1. NAME: John Philip Carlin
2. DATE AND PLACE OF BIRTH: 1973; New York, New York
3. MARITAL STATUS: Married
4. SPOUSE'S NAME: [REDACTED]
5. SPOUSE'S MAIDEN NAME IF APPLICABLE: N/A
6. NAMES AND AGES OF CHILDREN:

NAME

AGE

[INFORMATION REDACTED]

7. EDUCATION SINCE HIGH SCHOOL;

<u>INSTITUTION</u>	<u>DATES ATTENDED</u>	<u>DEGREE RECEIVED</u>	<u>DATE OF DEGREE</u>
Harvard Law School	1996-1999	J.D.	June 1999
Williams College	1991-1995	B.A.	June 1995
Oxford University, Exeter College	1993-1994	Junior year abroad	N/A

8. EMPLOYMENT RECORD (LIST ALL POSITIONS HELD SINCE COLLEGE, INCLUDING MILITARY SERVICE. INDICATE NAME OF EMPLOYER, POSITION, TITLE OR DESCRIPTION, LOCATION, AND DATES OF EMPLOYMENT.)

<u>EMPLOYER</u>	<u>POSITION/TITLE</u>	<u>LOCATION</u>	<u>DATES</u>
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U.S. Dept. of Justice National Security Division	Acting Assistant Attorney General	Washington, DC	March 2013-present
	Principal Deputy Assistant Attorney General and Chief of Staff		August 2012-March 2013, and while on detail from FBI, est. July 2011-July 2012

Federal Bureau of Investigation	Chief of Staff and Senior Counsel to the Director	Washington, DC	February 2010-est. July 2011
	Acting Chief of Staff and Senior Counsel to the Director		est. August 2009-February 2010
	Deputy Chief of Staff and Counselor to the Director		March 2009-est. August 2009
	Special Counsel to the Director		on detail from the U.S. Attorney's Office for the District of Columbia, July 2007-February 2009
U.S. Dept. of Justice Criminal Division	National Computer Hacking and Intellectual Property Program Coordinator	Washington, DC	on detail from the U.S. Attorney's Office for the District of Columbia, January 2007-June 2007
U.S. Attorney's Office for the District of Columbia	Assistant U.S. Attorney	Washington, DC	October 2001-February 2009; on detail to U.S. Dept. of Justice, January 2007-June 2007, and to FBI, July 2007-February 2009 as noted above
	Special Assistant U.S. Attorney		on detail from the U.S. Dept. of Justice Tax Division, est. February 2000-June 2000
U.S. Attorney's Office for the District of Arizona	Special Assistant U.S. Attorney	Tucson, AZ	on detail from the U.S. Dept. of Justice Tax Division, June 2000-December 2000
U.S. Dept. of Justice Tax Division Criminal Enforcement	Trial Attorney	Washington, DC	October 1999-October 2001; on detail to the U.S. Attorney's Office for the District of Columbia, est. February 2000-June 2000, and to the U.S. Attorney's Office for District of Arizona, June 2000-December 2000 as noted above
Debevoise and Plimpton	Summer Associate	New York, NY	June 1998-August 1998
Office of the Public Advocate for the City of New York	Summer Legal Intern	New York, NY	June 1997-August 1997
Gifford Miller for New York City Council '96	Campaign Manager	New York, NY	est. June 1996-est. August 1996
Freedom House Inc.	Project Officer	New York, NY	June 1995-June 1996

9. GOVERNMENT EXPERIENCE (INDICATE EXPERIENCE IN OR ASSOCIATION WITH FEDERAL, STATE, OR LOCAL GOVERNMENTS, INCLUDING ADVISORY, CONSULTATIVE, HONORARY, OR OTHER PART-TIME SERVICE OR POSITION. DO NOT REPEAT INFORMATION ALREADY PROVIDED IN QUESTION 8):

See Response to Question 8.

10. INDICATE ANY SPECIALIZED INTELLIGENCE OR NATIONAL SECURITY EXPERTISE YOU HAVE ACQUIRED HAVING SERVED IN THE POSITIONS DESCRIBED IN QUESTIONS 8 AND/OR 9.

During my career at the Department of Justice, as a line prosecutor, a national coordinator and an employee of the FBI, I gained national security experience both from the point of view of an attorney and prosecutor, and from an operational perspective. Since 2007, I have spent the vast majority of my time working on national security issues.

At the FBI, I provided advice and guidance to Director Robert S. Mueller on a range of national security matters and worked with the FBI's leadership team to develop the FBI's National Security Branch; to begin to tackle the problem of national security cyber threats; and to further the integration of intelligence across all facets of that organization. I helped manage the Bureau's national security assets and worked to advance the FBI's transformation from a law enforcement agency to a national security organization focused on preventing terrorist attacks. Through this work, I gained an understanding of the FBI's national security program generally, FBI's role as an element of the Intelligence Community and the use of the Foreign Intelligence Surveillance Act and other intelligence authorities.

In 2011, I moved to the National Security Division, first as Principal Deputy Assistant Attorney General and Chief of Staff and now as Acting Assistant Attorney General. In addition to providing strategic legal advice to senior Department of Justice leaders and coordinating national security initiatives across the government for the Department, I oversee and manage the full spectrum of the National Security Division's work including the investigation and prosecution of terrorism and counterintelligence investigations, NSD's export enforcement initiative, NSD's practice before the Foreign Intelligence Surveillance Court, NSD's oversight function, and the Department's participation in the inter-agency Committee for Foreign Investment in the United States (CFIUS). At both FBI and the Department of Justice I have worked with partners in the Intelligence Community and have developed an understanding of the national security architecture of the federal government.

11. HONORS AND AWARDS (PROVIDE INFORMATION ON SCHOLARSHIPS, FELLOWSHIPS, HONORARY DEGREES, MILITARY DECORATIONS, CIVILIAN SERVICE CITATIONS, OR ANY OTHER SPECIAL RECOGNITION FOR OUTSTANDING PERFORMANCE OR ACHIEVEMENT):

Samuel J. Heyman Fellowship for Federal Government Service (2000)  
Department of Justice Award for Special Achievement (five-time recipient, various dates)  
Harvard Journal on Legislation, Articles Editor (1998-1999)  
Phi Beta Kappa (1995)

12. ORGANIZATIONAL AFFILIATIONS (LIST MEMBERSHIPS IN AND OFFICES HELD WITHIN THE LAST TEN YEARS IN ANY PROFESSIONAL, CIVIC, FRATERNAL, BUSINESS, SCHOLARLY, CULTURAL, CHARITABLE, OR OTHER SIMILAR ORGANIZATIONS):

<u>ORGANIZATION</u>	<u>OFFICE HELD</u>	<u>DATE</u>
Edward Bennett Williams Inn of Court	Associate-at-Large	est. 2003-present
New York Bar	Member	2000-present

13. PUBLISHED WRITINGS AND SPEECHES (LIST THE TITLES, PUBLISHERS, AND PUBLICATION DATES OF ANY BOOKS, ARTICLES, REPORTS, OR OTHER PUBLISHED MATERIALS YOU HAVE AUTHORED. ALSO LIST ANY PUBLIC SPEECHES YOU HAVE MADE WITHIN THE LAST TEN YEARS FOR WHICH THERE IS A TEXT OR TRANSCRIPT. TO THE EXTENT POSSIBLE, PLEASE PROVIDE A COPY OF EACH SUCH PUBLICATION, TEXT, OR TRANSCRIPT):

*I have done my best to identify all books, articles, reports, or other published materials, including through a review of my personal files and searches of publicly available electronic databases. I have also done my best to identify speeches or talks I have given, including through a review of my personal files and searches of publicly available electronic databases. Despite my searches, there may be other materials I have been unable to identify, find, or remember. I have found the following:*

Book review, *Harvard Journal on Legislation*, Summer 1997 (cite: 34 Harv. J. on Legis. 611) (copy supplied).

Op-ed, *New York Daily News*, July 24, 1995 *Don't Honor Singapore PM* (copy supplied).

Panelist, 2013 Aspen Institute on "Law Enforcement and National Security," July 20, 2013 (no transcript located, but video available at <http://aspensecurityforum.org/2013-video>).

Keynote Speaker, 2013 ABA Homeland Security Law Institute on "An Overview of the U.S. Department of Justice's National Security Division and What to Expect in 2013," June 20, 2013 (copy supplied).

Panelist, 2012, ABA Homeland Security Law Institute on "A Look at Homeland Security Legal and Policy Issues," March 22, 2012 (copy supplied).

Panelist, Edward Bennett Williams American Inn of Court, "Economic Espionage: national security issues confronting white collar practitioners, from cyber intrusions to export control and sanctions," October 18, 2012 (no notes or transcript available).

Panelist, American University Washington College of Law panel discussion entitled "The Changing Terrorist Threat," September 8, 2011 (copy supplied).

Keynote Speaker, "Safety and Social Networks: the Challenge of Community Policing in a Virtual Neighborhood," at Berkeley Law School, October 23, 2009 (no transcript located, but audio available at <http://www.law.berkeley.edu/7458.htm>).

Panelist, Princeton Forum on Public Service, "Panel: Perspectives from the Next Generation," November 8, 2007. I spoke on the benefits of a public service career (no notes or transcript available).

Panelist, Edward Bennett Williams American Inn of Court, "Recovery and Use of Electronic Data in Internal Inquiries and Criminal Cases," March 15, 2007 (no notes or transcript available).

Opening Remarks, Federal Trade Commission Hearings on Protecting Consumers in the Next Tech-age, November 9, 2006 (no notes or transcript available).

Speaker, Partnership for Public Service Third Annual Gala honoring Senator John McCain. I spoke on the benefits of a public service career (est. June 2005) (no notes or transcript available).

## **PART B - QUALIFICATIONS**

### **14. QUALIFICATIONS (DESCRIBE WHY YOU BELIEVE YOU ARE QUALIFIED TO SERVE IN THE POSITION FOR WHICH YOU HAVE BEEN NOMINATED):**

As Acting Assistant Attorney General for National Security, I utilize my experience as a federal prosecutor and my experience in the national security realm, including intelligence matters, to manage the coordination of our intelligence and prosecutorial assets in support of our mission: preventing terrorist attacks and other threats to the national security. If confirmed, I will continue to apply that experience in handling the unique aspects of national security prosecutions, including the challenges of protecting intelligence equities while developing admissible evidence to sustain a conviction.

During my time at the FBI and the Department, I have worked with, and on behalf of, the Intelligence Community on a wide variety of issues. I am very familiar with the use of the Foreign Intelligence Surveillance Act and other intelligence authorities, and understand the importance of intelligence collection in confronting the terrorist threat while preserving our fundamental rights and liberties.

I understand the importance of using all available tools in order to combat national security threats and of doing so consistent with statutes, executive orders, relevant regulations, and the Constitution. Drawing on my experience as a prosecutor, as well as the perspective I have gained with the FBI and with the Department of Justice working on the operational aspects of national security investigations, I will exercise independent judgment in managing the Department's national security functions while ensuring that the Division's activities are properly coordinated with other national security activities when appropriate. I will do the same in providing advice to and advancing partnerships with the Division's partners within the Intelligence Community and in working cooperatively with the congressional oversight committees.

## **PART C - POLITICAL AND FOREIGN AFFILIATIONS**

### **15. POLITICAL ACTIVITIES (LIST ANY MEMBERSHIPS OR OFFICES HELD IN OR FINANCIAL CONTRIBUTIONS OR SERVICES RENDERED TO, ANY POLITICAL PARTY, ELECTION COMMITTEE, POLITICAL ACTION COMMITTEE, OR INDIVIDUAL CANDIDATE DURING THE LAST TEN YEARS):**

Campaign Manager for the Gifford Miller for New York City Council '96 campaign from June of 1996 (est.) to August of 1996 (est.).

### **16. CANDIDACY FOR PUBLIC OFFICE (FURNISH DETAILS OF ANY CANDIDACY FOR ELECTIVE PUBLIC OFFICE):**

I have never been a candidate for public office.

### **17. FOREIGN AFFILIATIONS**

(NOTE: QUESTIONS 17A AND B ARE NOT LIMITED TO RELATIONSHIPS REQUIRING REGISTRATION UNDER THE FOREIGN AGENTS REGISTRATION ACT. QUESTIONS 17A, B, AND C DO NOT CALL FOR A POSITIVE RESPONSE IF THE REPRESENTATION OR TRANSACTION WAS AUTHORIZED BY THE UNITED STATES GOVERNMENT IN CONNECTION WITH YOUR OR YOUR SPOUSE'S EMPLOYMENT IN GOVERNMENT SERVICE.)

**A. HAVE YOU OR YOUR SPOUSE EVER REPRESENTED IN ANY CAPACITY (E.G. EMPLOYEE, ATTORNEY, OR POLITICAL/BUSINESS CONSULTANT), WITH OR WITHOUT COMPENSATION, A**

FOREIGN GOVERNMENT OR AN ENTITY CONTROLLED BY A FOREIGN GOVERNMENT? IF SO, PLEASE FULLY DESCRIBE SUCH RELATIONSHIP.

No.

B. HAVE ANY OF YOUR OR YOUR SPOUSE'S ASSOCIATES REPRESENTED, IN ANY CAPACITY, WITH OR WITHOUT COMPENSATION, A FOREIGN GOVERNMENT OR AN ENTITY CONTROLLED BY A FOREIGN GOVERNMENT? IF SO, PLEASE FULLY DESCRIBE SUCH RELATIONSHIP.

No.

C. DURING THE PAST TEN YEARS, HAVE YOU OR YOUR SPOUSE RECEIVED ANY COMPENSATION FROM, OR BEEN INVOLVED IN ANY FINANCIAL OR BUSINESS TRANSACTIONS WITH, A FOREIGN GOVERNMENT OR ANY ENTITY CONTROLLED BY A FOREIGN GOVERNMENT? IF SO, PLEASE PROVIDE DETAILS.

No.

D. HAVE YOU OR YOUR SPOUSE EVER REGISTERED UNDER THE FOREIGN AGENTS REGISTRATION ACT? IF SO, PLEASE PROVIDE DETAILS.

No.

18. DESCRIBE ANY LOBBYING ACTIVITY DURING THE PAST TEN YEARS, OTHER THAN IN AN OFFICIAL U.S. GOVERNMENT CAPACITY, IN WHICH YOU OR YOUR SPOUSE HAVE ENGAGED FOR THE PURPOSE OF DIRECTLY OR INDIRECTLY INFLUENCING THE PASSAGE, DEFEAT, OR MODIFICATION OF FEDERAL LEGISLATION, OR FOR THE PURPOSE OF AFFECTING THE ADMINISTRATION AND EXECUTION OF FEDERAL LAW OR PUBLIC POLICY.

I have not been a lobbyist.

#### **PART D - FINANCIAL DISCLOSURE AND CONFLICT OF INTEREST**

19. DESCRIBE ANY EMPLOYMENT, BUSINESS RELATIONSHIP, FINANCIAL TRANSACTION, INVESTMENT, ASSOCIATION, OR ACTIVITY (INCLUDING, BUT NOT LIMITED TO, DEALINGS WITH THE FEDERAL GOVERNMENT ON YOUR OWN BEHALF OR ON BEHALF OF A CLIENT), WHICH COULD CREATE, OR APPEAR TO CREATE, A CONFLICT OF INTEREST IN THE POSITION TO WHICH YOU HAVE BEEN NOMINATED.

In connection with the nomination process, I have consulted with the Office of Government Ethics and the Department of Justice's designated ethics official to identify potential conflicts of interest. Any potential conflicts of interest will be resolved in accordance with the terms of an ethics agreement I have entered into with the Department's designated ethics official.

20. DO YOU INTEND TO SEVER ALL BUSINESS CONNECTIONS WITH YOUR PRESENT EMPLOYERS, FIRMS, BUSINESS ASSOCIATES AND/OR PARTNERSHIPS, OR OTHER ORGANIZATIONS IN THE EVENT THAT YOU ARE CONFIRMED BY THE SENATE? IF NOT, PLEASE EXPLAIN.

No. I am currently employed by the United States Government, and if confirmed, will continue to be.

21. DESCRIBE THE FINANCIAL ARRANGEMENTS YOU HAVE MADE OR PLAN TO MAKE, IF YOU ARE CONFIRMED, IN CONNECTION WITH SEVERANCE FROM YOUR CURRENT POSITION. PLEASE INCLUDE SEVERANCE PAY, PENSION RIGHTS, STOCK OPTIONS, DEFERRED INCOME ARRANGEMENTS, AND ANY AND ALL COMPENSATION THAT WILL OR MIGHT BE RECEIVED IN THE FUTURE AS A RESULT OF YOUR CURRENT BUSINESS OR PROFESSIONAL RELATIONSHIPS.

See answer to question 20 above.

22. DO YOU HAVE ANY PLANS, COMMITMENTS, OR AGREEMENTS TO PURSUE OUTSIDE EMPLOYMENT, WITH OR WITHOUT COMPENSATION, DURING YOUR SERVICE WITH THE GOVERNMENT? IF SO, PLEASE PROVIDE DETAILS.

No.

23. AS FAR AS CAN BE FORESEEN, STATE YOUR PLANS AFTER COMPLETING GOVERNMENT SERVICE. PLEASE SPECIFICALLY DESCRIBE ANY AGREEMENTS OR UNDERSTANDINGS, WRITTEN OR UNWRITTEN, CONCERNING EMPLOYMENT AFTER LEAVING GOVERNMENT SERVICE. IN PARTICULAR, DESCRIBE ANY AGREEMENTS, UNDERSTANDINGS, OR OPTIONS TO RETURN TO YOUR CURRENT POSITION.

See answer to question 20 above.

24. IF YOU ARE PRESENTLY IN GOVERNMENT SERVICE, DURING THE PAST FIVE YEARS OF SUCH SERVICE, HAVE YOU RECEIVED FROM A PERSON OUTSIDE OF GOVERNMENT AN OFFER OR EXPRESSION OF INTEREST TO EMPLOY YOUR SERVICES AFTER YOU LEAVE GOVERNMENT SERVICE? IF YES, PLEASE PROVIDE DETAILS.

During the past five years, I have not received from a person outside of government an offer or expression of interest to employ my services after I leave government. For completeness, I have been contacted on occasion by professional recruiters.

25. IS YOUR SPOUSE EMPLOYED? IF YES AND THE NATURE OF THIS EMPLOYMENT IS RELATED IN ANY WAY TO THE POSITION FOR WHICH YOU ARE SEEKING CONFIRMATION, PLEASE INDICATE YOUR SPOUSE'S EMPLOYER, THE POSITION, AND THE LENGTH OF TIME THE POSITION HAS BEEN HELD. IF YOUR SPOUSE'S EMPLOYMENT IS NOT RELATED TO THE POSITION TO WHICH YOU HAVE BEEN NOMINATED, PLEASE SO STATE.

Yes. My spouse is employed at the Corcoran Gallery of Art; however, her work is not related to the position to which I have been nominated.

26. LIST BELOW ALL CORPORATIONS, PARTNERSHIPS, FOUNDATIONS, TRUSTS, OR OTHER ENTITIES TOWARD WHICH YOU OR YOUR SPOUSE HAVE FIDUCIARY OBLIGATIONS OR IN WHICH YOU OR YOUR SPOUSE HAVE HELD DIRECTORSHIPS OR OTHER POSITIONS OF TRUST DURING THE PAST FIVE YEARS.

<u>NAME OF ENTITY</u>	<u>POSITION</u>	<u>DATES HELD</u>	<u>SELF OR SPOUSE</u>
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None.



27. LIST ALL GIFTS EXCEEDING \$100 IN VALUE RECEIVED DURING THE PAST FIVE YEARS BY YOU, YOUR SPOUSE, OR YOUR DEPENDENTS. (NOTE: GIFTS RECEIVED FROM RELATIVES AND GIFTS GIVEN TO YOUR SPOUSE OR DEPENDENT NEED NOT BE INCLUDED UNLESS THE GIFT WAS GIVEN WITH YOUR KNOWLEDGE AND ACQUIESCENCE AND YOU HAD REASON TO BELIEVE THE GIFT WAS GIVEN BECAUSE OF YOUR OFFICIAL POSITION.)

None.

28. LIST ALL SECURITIES, REAL PROPERTY, PARTNERSHIP INTERESTS, OR OTHER INVESTMENTS OR RECEIVABLES WITH A CURRENT MARKET VALUE (OR, IF MARKET VALUE IS NOT ASCERTAINABLE, ESTIMATED CURRENT FAIR VALUE) IN EXCESS OF \$1,000. (NOTE: THE INFORMATION PROVIDED IN RESPONSE TO SCHEDULE A OF THE DISCLOSURE FORMS OF THE OFFICE OF GOVERNMENT ETHICS MAY BE INCORPORATED BY REFERENCE, PROVIDED THAT CURRENT VALUATIONS ARE USED.)

<u>DESCRIPTION OF PROPERTY</u>	<u>VALUE</u>	<u>METHOD OF VALUATION</u>
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Please see attached SF-278.

29. LIST ALL LOANS OR OTHER INDEBTEDNESS (INCLUDING ANY CONTINGENT LIABILITIES) IN EXCESS OF \$10,000. EXCLUDE A MORTGAGE ON YOUR PERSONAL RESIDENCE UNLESS IT IS RENTED OUT, AND LOANS SECURED BY AUTOMOBILES, HOUSEHOLD FURNITURE, OR APPLIANCES. (NOTE: THE INFORMATION PROVIDED IN RESPONSE TO SCHEDULE C OF THE DISCLOSURE FORM OF THE OFFICE OF GOVERNMENT ETHICS MAY BE INCORPORATED BY REFERENCE, PROVIDED THAT CONTINGENT LIABILITIES ARE ALSO INCLUDED.)

<u>NATURE OF OBLIGATION</u>	<u>NAME OF OBLIGEE</u>	<u>AMOUNT</u>
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Please see attached SF-278.

30. ARE YOU OR YOUR SPOUSE NOW IN DEFAULT ON ANY LOAN, DEBT, OR OTHER FINANCIAL OBLIGATION? HAVE YOU OR YOUR SPOUSE BEEN IN DEFAULT ON ANY LOAN, DEBT, OR OTHER FINANCIAL OBLIGATION IN THE PAST TEN YEARS? HAVE YOU OR YOUR SPOUSE EVER BEEN REFUSED CREDIT OR HAD A LOAN APPLICATION DENIED? IF THE ANSWER TO ANY OF THESE QUESTIONS IS YES, PLEASE PROVIDE DETAILS.

No, I am not in default on any loan, debt or other financial obligation nor have I ever been to my knowledge. I have never been refused credit nor had a loan application denied.

31. LIST THE SPECIFIC SOURCES AND AMOUNTS OF ALL INCOME RECEIVED DURING THE LAST FIVE YEARS, INCLUDING ALL SALARIES, FEES, DIVIDENDS, INTEREST, GIFTS, RENTS, ROYALTIES, PATENTS, HONORARIA, AND OTHER ITEMS EXCEEDING \$200. (COPIES OF U.S. INCOME TAX RETURNS FOR THESE YEARS MAY BE SUBSTITUTED HERE, BUT THEIR SUBMISSION IS NOT REQUIRED.)

[INFORMATION REDACTED]

[INFORMATION REDACTED]

32. IF ASKED, WILL YOU PROVIDE THE COMMITTEE WITH COPIES OF YOUR AND YOUR SPOUSE'S FEDERAL INCOME TAX RETURNS FOR THE PAST THREE YEARS?

Yes.

33. LIST ALL JURISDICTIONS IN WHICH YOU AND YOUR SPOUSE FILE ANNUAL INCOME TAX RETURNS.

We file federal tax returns and District of Columbia returns.

34. HAVE YOUR FEDERAL OR STATE TAX RETURNS BEEN THE SUBJECT OF AN AUDIT, INVESTIGATION, OR INQUIRY AT ANY TIME? IF SO, PLEASE PROVIDE DETAILS, INCLUDING THE RESULT OF ANY SUCH PROCEEDING.

No.

35. IF YOU ARE AN ATTORNEY, ACCOUNTANT, OR OTHER PROFESSIONAL, PLEASE LIST ALL CLIENTS AND CUSTOMERS WHOM YOU BILLED MORE THAN \$200 WORTH OF SERVICES DURING THE PAST FIVE YEARS. ALSO, LIST ALL JURISDICTIONS IN WHICH YOU ARE LICENSED TO PRACTICE.

None.

I am a member of the New York Bar.

36. DO YOU INTEND TO PLACE YOUR FINANCIAL HOLDINGS AND THOSE OF YOUR SPOUSE AND DEPENDENT MEMBERS OF YOUR IMMEDIATE HOUSEHOLD IN A BLIND TRUST? IF YES, PLEASE FURNISH DETAILS. IF NO, DESCRIBE OTHER ARRANGEMENTS FOR AVOIDING ANY POTENTIAL CONFLICTS OF INTEREST.

No. In connection with the nomination process, I have consulted with the Office of Government Ethics and the Department of Justice's designated agency ethics official to identify potential conflicts of interest. Any potential conflicts of interest will be resolved in accordance with the terms of an ethics agreement that I have entered into with the Department's designated agency ethics official. I am not aware of any other conflicts.

36. IF APPLICABLE, ATTACH THE LAST THREE YEARS OF ANNUAL FINANCIAL DISCLOSURE FORMS YOU HAVE BEEN REQUIRED TO FILE WITH YOUR AGENCY, DEPARTMENT, OR BRANCH OF GOVERNMENT.

Attached.

**PART E - ETHICAL MATTERS**

38. HAVE YOU EVER BEEN THE SUBJECT OF A DISCIPLINARY PROCEEDING OR CITED FOR A BREACH OF ETHICS OR UNPROFESSIONAL CONDUCT BY, OR BEEN THE SUBJECT OF A COMPLAINT TO, ANY COURT, ADMINISTRATIVE AGENCY, PROFESSIONAL ASSOCIATION, DISCIPLINARY COMMITTEE, OR OTHER PROFESSIONAL GROUP? IF SO, PROVIDE DETAILS.

No.

39. HAVE YOU EVER BEEN INVESTIGATED, HELD, ARRESTED, OR CHARGED BY ANY FEDERAL, STATE, OR OTHER LAW ENFORCEMENT AUTHORITY FOR VIOLATION OF ANY FEDERAL STATE, COUNTY, OR MUNICIPAL LAW, REGULATION, OR ORDINANCE, OTHER THAN A MINOR TRAFFIC OFFENSE, OR NAMED AS A DEFENDANT OR OTHERWISE IN ANY INDICTMENT OR INFORMATION RELATING TO SUCH VIOLATION? IF SO, PROVIDE DETAILS.

No.

40. HAVE YOU EVER BEEN CONVICTED OF OR ENTERED A PLEA OF GUILTY OR NOLO CONTENDERE TO ANY CRIMINAL VIOLATION OTHER THAN A MINOR TRAFFIC OFFENSE? IF SO, PROVIDE DETAILS.

No.

41. ARE YOU PRESENTLY OR HAVE YOU EVER BEEN A PARTY IN INTEREST IN ANY ADMINISTRATIVE AGENCY PROCEEDING OR CIVIL LITIGATION? IF SO, PLEASE PROVIDE DETAILS.

[INFORMATION REDACTED]

42. HAVE YOU BEEN INTERVIEWED OR ASKED TO SUPPLY ANY INFORMATION AS A WITNESS OR OTHERWISE IN CONNECTION WITH ANY CONGRESSIONAL INVESTIGATION, FEDERAL, OR STATE AGENCY PROCEEDING, GRAND JURY INVESTIGATION, OR CRIMINAL OR CIVIL LITIGATION IN THE PAST TEN YEARS? IF SO, PROVIDE DETAILS.

Yes. I was interviewed in connection with an investigation being conducted by the United States Attorney's Office for the District of Columbia into possible unauthorized disclosures of information to reporters about a foiled bomb plot tied to Al Qaeda in the Arabian Peninsula. I was advised by representatives of the United States Attorney's Office that I was a witness in the investigation. The individual responsible for the unauthorized disclosures was identified and charged. He pleaded guilty and was sentenced earlier this year.

43. HAS ANY BUSINESS OF WHICH YOU ARE OR WERE AN OFFICER, DIRECTOR, OR PARTNER BEEN A PARTY TO ANY ADMINISTRATIVE AGENCY PROCEEDING OR CRIMINAL OR CIVIL LITIGATION RELEVANT TO THE POSITION TO WHICH YOU HAVE BEEN NOMINATED? IF SO, PROVIDE DETAILS. (WITH RESPECT TO A BUSINESS OF WHICH YOU ARE OR WERE AN OFFICER, YOU NEED ONLY CONSIDER PROCEEDINGS AND LITIGATION THAT OCCURRED WHILE YOU WERE AN OFFICER OF THAT BUSINESS.)

No.

44. HAVE YOU EVER BEEN THE SUBJECT OF ANY INSPECTOR GENERAL INVESTIGATION? IF SO, PROVIDE DETAILS.

No.

#### **PART F - SECURITY INFORMATION**

45. HAVE YOU EVER BEEN DENIED ANY SECURITY CLEARANCE OR ACCESS TO CLASSIFIED INFORMATION FOR ANY REASON? IF YES, PLEASE EXPLAIN IN DETAIL.

No.

46. HAVE YOU BEEN REQUIRED TO TAKE A POLYGRAPH EXAMINATION FOR ANY SECURITY CLEARANCE OR ACCESS TO CLASSIFIED INFORMATION? IF YES, PLEASE EXPLAIN.

Yes, for FBI employment.

47. HAVE YOU EVER REFUSED TO SUBMIT TO A POLYGRAPH EXAMINATION? IF YES, PLEASE EXPLAIN.

No.

#### **PART G - ADDITIONAL INFORMATION**

48. DESCRIBE IN YOUR OWN WORDS THE CONCEPT OF CONGRESSIONAL OVERSIGHT OF U.S. INTELLIGENCE ACTIVITIES. IN PARTICULAR, CHARACTERIZE WHAT YOU BELIEVE TO BE THE OBLIGATIONS OF THE ASSISTANT ATTORNEY GENERAL FOR NATIONAL SECURITY AND THE INTELLIGENCE COMMITTEES OF THE CONGRESS RESPECTIVELY IN THE OVERSIGHT PROCESS.

I believe appropriate oversight is essential and that the Assistant Attorney General for National Security should assist in ensuring a cooperative relationship between the Department of Justice, the Intelligence Community and the oversight committees.

49. EXPLAIN YOUR UNDERSTANDING OF THE RESPONSIBILITIES OF THE ASSISTANT ATTORNEY GENERAL.

The Assistant Attorney General (AAG) for National Security serves as the head of the National Security Division (NSD) of the Department of Justice (DOJ) and acts as DOJ's primary liaison with the Director of National Intelligence and the Intelligence Community. The mission of NSD is to carry out the Department's highest priority:

to combat terrorism and other threats to the national security. Congress created NSD to ensure greater coordination and unity of purpose between prosecutors and law enforcement agencies, on the one hand, and intelligence attorneys and the Intelligence Community, on the other; thus, strengthening the effectiveness of the federal government's national security efforts. The AAG's duties include, but are not limited to, oversight and approval (upon designation) of applications under the Foreign Intelligence Surveillance Act (FISA), representing the Executive Branch before the FISA Court, coordination of the Department's national security investigations and prosecutions, and generally ensuring that all of the Department's national security activities are effectively coordinated. Other responsibilities of the AAG for National Security and the National Security Division are set out in 28 CFR § 0.72. The AAG assists the Attorney General and the Deputy Attorney General in ensuring that intelligence matters are carried out consistent with the rule of law. The AAG should ensure that the Division is a resource for United States Attorneys, the FBI, and the rest of the Intelligence Community, in order to provide advice, guidance and expertise in carrying out their national security operations ranging from intelligence investigations and operations to prosecutions. The AAG should partner with the FBI and other Intelligence Community elements and assist in addressing national security threats with a threat-based, intelligence-driven strategy. The AAG should ensure that the Department is carrying out its national security functions consistent with statute, Executive Order, appropriate regulations, and the Constitution.

TO THE CHAIRMAN, SELECT COMMITTEE ON INTELLIGENCE:

In connection with my nomination to be Assistant Attorney General for National Security, I hereby express my willingness to respond to requests to appear and testify before any duly constituted committee of the Senate.

[SIGNATURE]

\_\_\_\_\_  
Signature

Date: 11/19/13

# Executive Branch Personnel PUBLIC FINANCIAL DISCLOSURE REPORT

Director/Appointing Authority, Category, Section, or Reporting Period (OMB Form 278-107) [Blank]		Reporting State (Check Appropriate box)	<input type="checkbox"/> Incumbent	Calendar Year Covered by Report	<input type="checkbox"/> New Depart. Number, or Candidate	<input checked="" type="checkbox"/>	Reporting Period (Check Appropriate box)	<input type="checkbox"/> Filer	<input type="checkbox"/> Termination Date (If Applicable)
Reporting Individual's Name		Last Name First Name and Middle Initial		John P					
Position for Which Filing		Title of Position Assistant Attorney General, National Security Division		Department or Agency (If Applicable)					
Location of Present Office (or forwarding address)		Address (Number, Street, City, State, and ZIP Code) 890 Pennsylvania Avenue NW, Washington DC 20535		Telephone No. (include Area Code) 202-614-1067					
Position(s) Held with the Federal Government During the Preceding 12 Months (If Not Same as Above)		Title of Position(s) and Dates Held Acting Assistant Attorney General 9/13-present Principal Deputy Assistant Attorney General & Chief of Staff 4/12-9/13		Do You Intend to Create a Qualified Divorced Trust?		<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
Presidential Nominees Subject to Senate Confirmation		Name of Congressional Committee Considering Nomination		Committee on Judiciary					
Certification I CERTIFY that the information I have made on this form and all attached schedules is true, complete and correct to the best of my knowledge.		Signature of Reporting Individual [SIGNATURE]		Date (Month, Day, Year) 9/3/13					
Other Reviewer (If differently agency?)		Signature of Other Reviewer [SIGNATURE]		Date (Month, Day, Year) 9/6/13					
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/Reporting Official [SIGNATURE]		Date (Month, Day, Year) 9/6/2013					
Office of Government Ethics Use Only		Signature [SIGNATURE]		Date (Month, Day, Year) 9/19/13					
Comments of Reporting Officials (If additional space is required, use the reverse side of this sheet)		[Blank]		[Blank]		(Check box if filing extension granted & indicate number of days _____) <input type="checkbox"/>			
(Check box if comments are continued on the reverse side) <input type="checkbox"/>		(Check box if comments are continued on the reverse side) <input type="checkbox"/>		(Check box if comments are continued on the reverse side) <input type="checkbox"/>					
Agency Use Only		OGE Use Only							

**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 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.

**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.

**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 (Utilities)--**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.

Supersedes Prior Filings











Reporting Individual's Name:  
 Carlin, John P.

**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

1	Organization (Name and Address)	Type of Organization	Position Held	From (Mo., Yr.)		To (Mo., Yr.)
				6/92	7/85	
1	NaCl Assn. of Rock Collectors, NY, NY Doe Jones & Smith, Hometown, State	Non-profit education Law firm	President Partner			Present 1/00
2						
3						
4						
5						
6						

**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

Do not complete this part if you are an Incumbent, Termination Piler, or Vice Presidential or Presidential Candidate. 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. None

Source (Name and Address)		Brief Description of Duties	
Examples	Doe Jones & Smith, Hometown, State Metro University, Client of Doe Jones & Smith, Hometown, State	Legal services	Legal services in connection with university construction
1			
2			
3			
4			
5			
6			