

Instructions for the nominees: The Senate Committee on Commerce, Science, and Transportation asks you to provide typed answers to each of the following questions. It is requested that the nominee type the question in full before each response. Do not leave any questions blank. Type “None” or “Not Applicable” if a question does not apply to the nominee. Return printed answers to Committee. Begin each section (i.e., “A”, “B”, etc.) on a new sheet of paper.

## **A. BIOGRAPHICAL INFORMATION AND QUALIFICATIONS**

1. Name (Include any former names or nicknames used): *Elaine L. Chao*
2. Position to which nominated: *Secretary of Transportation*
3. Date of Nomination: *January 20, 2017 (expected)*
4. Address (List current place of residence and office addresses):

*Residences:*



*Office:*

*Hudson Institute  
1201 Pennsylvania Avenue, NW  
Washington, D.C. 20004*

5. Date and Place of Birth: *March 26, 1953; Taipei, Taiwan*
6. Provide the name, position, and place of employment for your spouse (if married) and the names and ages of your children (including stepchildren and children by a previous marriage).

*Spouse: Mitch McConnell, United States Senator*

*Stepdaughters: Eleanor Hayes McConnell, 44  
Claire McConnell, 41  
Marion Porter McConnell, 38*

7. List all college and graduate degrees. Provide year and school attended.

*Harvard Business School, MBA, 1979*  
*Mount Holyoke College, BA, 1975*

8. List all post-undergraduate employment, and highlight all management-level jobs held and any non-managerial jobs that relate to the position for which you are nominated.

*Distinguished Fellow, The Hudson Institute; 2016 – present*  
*Distinguished Fellow, The Heritage Foundation; 2009-2016 and 1996-2001*  
*Secretary of Labor, 2001-2009*  
*President & CEO, United Way of America; 1992-1996*  
*President & CEO, U.S. Peace Corps; 1991-1992*  
*Deputy Secretary of Transportation, 1989-1991*  
*Chairman, Federal Maritime Commission; 1988-1989*  
*Deputy Administrator, Federal Maritime Commission, 1986-1988*  
*Vice President, Bank of America; 1984-1986*  
*White House Fellow, Office of Policy Development, 1983-1984*  
*Citibank, 1979-1983*  
*Foremost Group, 1975-1977*

*\*All the above positions are management jobs with the exceptions of the Distinguished Fellowships.*

9. Attach a copy of your resume.

*Please see attachment A-9.*

10. List any advisory, consultative, honorary, or other part-time service or positions with Federal, State, or local governments, other than those listed above, within the last ten years.

*None*

11. List all positions held as an officer, director, trustee, partner, proprietor, agent, representative, or consultant of any corporation, company, firm, partnership, or other business, enterprise, educational, or other institution within the last ten years.

*Please see attachment A-11.*

12. Please list each membership you have had during the past ten years or currently hold with any civic, social, charitable, educational, political, professional, fraternal, benevolent or religious organization, private club, or other membership organization. Include dates of membership and any positions you have held with any organization. Please note whether any such club or organization restricts membership on the basis of sex, race, color, religion, national origin, age, or handicap.

*Alfalfa Club - member*

*American Action Forum (AFF) – Advisory Board Member*

*Asia Pacific Foundation of Canada: John H. McArthur Distinguished Fellowship –  
Honorary Advisory Board Member*

*Council on Foreign Relations - Member*

*Federalist Society – Advisory Board Member*

*Ford’s Theatre – Advisory Board Member*

*International Leadership Foundation (ILF) – Honorary Co-Chair*

*International Club Number One (ICI) - Member*

*National Ethnic Coalition of Organizations (NECO) – Honorary Advisory Board Member*

*Republican Women’s Federation Forum (RWFF) - Member*

*Ruth Mulan Chu Chao Foundation – Volunteer Chair (2013 – 2015)*

*Trump’s Asian Pacific American Advisory Council*

*Trust for the National Mall – Advisory Council*

*U.S. Senate Spouses - Member*

*United Seamen Service (USS): Council of Trustees – Honorary Member*

*Walt Disney Family Museum – Honorary/Advisory*

13. Have you ever been a candidate for and/or held a public office (elected, non-elected, or appointed)? If so, indicate whether any campaign has any outstanding debt, the amount, and whether you are personally liable for that debt.

*No.*

14. Itemize all political contributions to any individual, campaign organization, political party, political action committee, or similar entity of \$500 or more for the past ten years. Also list all offices you have held with, and services rendered to, a state or national political party or election committee during the same period.

*Please see attachment A-14a and A-14b.*

15. List all scholarships, fellowships, honorary degrees, honorary society memberships, military medals, and any other special recognition for outstanding service or achievements.

*Please see attachment A-15.*

16. Please list each book, article, column, or publication you have authored, individually or with others. Also list any speeches that you have given on topics relevant to the position for which you have been nominated. Do not attach copies of these publications unless otherwise instructed.

*Please see attachment A-16a and A-16b.*

17. Please identify each instance in which you have testified orally or in writing before Congress in a governmental or non-governmental capacity and specify the date and subject matter of each testimony.

*Please see attachment A-17.*

18. Given the current mission, major programs, and major operational objectives of the department/agency to which you have been nominated, what in your background or employment experience do you believe affirmatively qualifies you for appointment to the position for which you have been nominated, and why do you wish to serve in that position?

*I believe my background makes me well suited to be U.S. Secretary of Transportation. My previous government service, including serving as U.S. Secretary of Labor, Deputy Secretary of Transportation, Chairman of the Federal Maritime Commission, Deputy Maritime Administrator at the U. S. Department of Transportation, and transportation banker at two financial institutions, have prepared me not only for the management challenges of a large federal department, but also for the task of providing leadership and developing legislation and regulatory programs that will enhance transportation safety and infrastructure for our country.*

19. What do you believe are your responsibilities, if confirmed, to ensure that the department/agency has proper management and accounting controls, and what experience do you have in managing a large organization?

*The head of any agency has the ultimate responsibility for ensuring the integrity of the agency's mission and its resources. A first step in fulfilling this responsibility is to identify, recruit and hire the best people possible for the positions that will be open in*

*the incoming Administration to help lead the organization. It would be expected that the leadership team will work together to foster an environment of mutual respect and open communications, to flag any problems or issues for our collective attention before they get out of hand, and to work together to seek the appropriate approvals of major decisions and policies. It has been my experience as a manager and leader to cultivate a collaborative and open management environment. As can be seen from my background, I have an MBA and significant experience in leading large complex organizations. Under my leadership, the U.S. Department of Labor achieved record results in protecting the health, safety, wages, and retirement security of the nation's workforce. As President and Chief Executive Officer of United Way of America, I worked with the Board and local United Ways to restore public trust and confidence in one of our nation's premier charitable institutions after it had been tarnished by financial mismanagement and abuse. Good stewardship of the people's resources has always been, and will continue to be, my highest priority.*

20. What do you believe to be the top three challenges facing the department/agency, and why?

*A top priority for DOT is to maintain a culture of good stewardship on behalf of the American people. This means effective enforcement of safety measures; getting the most benefit from the Department's expenditures including strengthening its planning and acquisition practices; and preparing for the future by considering new technologies in our infrastructure. Second, given the nation's need to improve critical infrastructure, it is important to find ways to expedite the process of making repairs and building new constructions and decreasing the regulatory burdens when appropriate. With or without a new infusion of funds, it is necessary to look at the existing processes for infrastructure development and find more efficient ways to address bottlenecks in planning and permitting. Third, with so many needs everywhere in the country, a big challenge will be to strive for equity between urban and rural areas, among different modes of transportation, and other competing but equally deserving stakeholders.*

## **B. POTENTIAL CONFLICTS OF INTEREST**

1. Describe all financial arrangements, deferred compensation agreements, and other continuing dealings with business associates, clients, or customers. Please include information related to retirement accounts.

*Please see attachment B-1.*

2. Do you have any commitments or agreements, formal or informal, to maintain employment, affiliation, or practice with any business, association or other organization during your appointment? If so, please explain.

*No.*

3. Indicate any investments, obligations, liabilities, or other relationships which could involve potential conflicts of interest in the position to which you have been nominated.

*None.*

4. Describe any business relationship, dealing, or financial transaction which you have had during the last ten years, whether for yourself, on behalf of a client, or acting as an agent, that could in any way constitute or result in a possible conflict of interest in the position to which you have been nominated.

*None.*

5. Describe any activity during the past ten years in which you have been engaged for the purpose of directly or indirectly influencing the passage, defeat, or modification of any legislation or affecting the administration and execution of law or public policy.

*None.*

6. Explain how you will resolve any potential conflict of interest, including any that may be disclosed by your responses to the above items.

*If there is any conflict of interest, the nominee will follow the recommendation of the OGE.*

## C. LEGAL MATTERS

1. Have you ever been disciplined or cited for a breach of ethics, professional misconduct, or retaliation by, or been the subject of a complaint to, any court, administrative agency, the Office of Special Counsel, professional association, disciplinary committee, or other professional group? If yes:
  - a. Provide the name of agency, association, committee, or group;
  - b. Provide the date the citation, disciplinary action, complaint, or personnel action was issued or initiated;
  - c. Describe the citation, disciplinary action, complaint, or personnel action;
  - d. Provide the results of the citation, disciplinary action, complaint, or personnel action.

*No.*

2. Have you ever been investigated, arrested, charged, or held by any Federal, State, or other law enforcement authority of any Federal, State, county, or municipal entity, other than for a minor traffic offense? If so, please explain.

*No.*

3. Have you or any business or nonprofit of which you are or were an officer ever been involved as a party in an administrative agency proceeding, criminal proceeding, or civil litigation? If so, please explain.

1. *Class of Dole Food Co. shareholders v. Directors – filed June 2013 in Delaware Court of Chancery; alleged breach of fiduciary duty by directors; Case dismissed against the directors*
2. *Class of Dole Food Co. shareholders v. Directors – filed June 2013 in California Superior Court; alleged breach of fiduciary duty by the directors; claims stayed, dismissed.*
3. *As a director of Wells Fargo Bank, the nominee was named in multiple derivative Wells Fargo shareholder lawsuits filed between September and November 2016 in the U.S. District Court for the Northern District of CA, and in state Superior Court in San Francisco; this litigation alleges breaches of fiduciary duty for certain banking practices and remains in early procedural stages.*

4. Have you ever been convicted (including pleas of guilty or *nolo contendere*) of any criminal violation other than a minor traffic offense? If so, please explain.

*No.*

5. Have you ever been accused, formally or informally, of sexual harassment or discrimination on the basis of sex, race, religion, or any other basis? If so, please explain.

*No.*

6. Please advise the Committee of any additional information, favorable or unfavorable, which you feel should be disclosed in connection with your nomination.

*None.*



## **D. RELATIONSHIP WITH COMMITTEE**

1. Will you ensure that your department/agency complies with deadlines for information set by congressional committees?

*Yes.*

2. Will you ensure that your department/agency does whatever it can to protect congressional witnesses and whistle blowers from reprisal for their testimony and disclosures?

*Yes.*

3. Will you cooperate in providing the Committee with requested witnesses, including technical experts and career employees, with firsthand knowledge of matters of interest to the Committee?

*Yes.*

4. Are you willing to appear and testify before any duly constituted committee of the Congress on such occasions as you may be reasonably requested to do so?

*Yes.*

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(Nominee is to include this signed affidavit along with answers to the above questions.)

**F. Affidavit**

Elaine L. Chao being duly sworn, hereby states that he/she has read and signed the foregoing Statement on Biographical and Financial Information and that the information provided therein is, to the best of his/her knowledge, current, accurate, and complete.

Elaine L. Chao  
Signature of Nominee

Subscribed and sworn before me this 1<sup>st</sup> day of Dec, 2016

Amy Duncan  
Notary Public



**ATTACHMENT A-9**  
**Brief bio of Elaine L. Chao**

**Elaine L. Chao served as the 24th U. S. Secretary of Labor from 2001-2009 and is the first Asian American woman to be appointed to a President's Cabinet in American history.**

**Secretary Chao has a distinguished career in the public, private and nonprofit sectors. An immigrant who arrived in America at the age of eight speaking no English, she received her citizenship at the age of 19. Secretary Chao's experience transitioning to a new country has motivated her to devote most of her professional life to ensuring that everyone has the opportunity to build better lives.**

**As Secretary of Labor, she focused on increasing the competitiveness of America's workforce in a global economy and achieved record results in workplace safety and health.**

**Prior to the Department of Labor, Secretary Chao was President and Chief Executive Officer of United Way of America, where she restored public trust and confidence in one of America's premier institutions of private charitable giving after it had been tarnished by financial mismanagement and abuse. As director of the Peace Corps, she established the first programs in the Baltic nations and the newly independent states of the former Soviet Union. Her government service also includes serving as Deputy Secretary at the U.S. Department of Transportation, Chairman of the Federal Maritime Commission, Deputy Maritime Administrator at the U. S. Department of Transportation, and White House Fellow specializing in transportation and trade in the Office of Policy Development. She has also worked in the private sector as Vice President of Syndications at Bank of America and transportation banker at Citicorp.**

**Secretary Chao earned her MBA from the Harvard Business School and an economics degree from Mount Holyoke College. Honored for her extensive record of accomplishments and public service, she is the recipient of 36 honorary doctorate degrees.**

**A popular speaker on jobs, the economy, and America's global competitiveness, Secretary Chao is Distinguished Fellow at the Hudson Institute. She was also a Distinguished Fellow at the The Heritage Foundation. An active volunteer, she currently serves on a number of nonprofit and corporate boards.**

ATTACHMENT A-11  
 ELAINE L. CHAO  
 BOARDS & DIRECTORSHIPS  
 (Response to Question A-11)

BOARD SERVICE

07/22/2015	12/31/2015	Centerra Group, LLC 7121 Fairway Drive, Suite 301 Palm Beach Gardens, FL 33418	Advisory Board Member
06/04/2015	Present	Ingersoll Rand 170/175 Lakeview Drive Swords, Co. Dublin	Director
02/13/2015	Present	Vulcan Material Company 1200 Urban Center Drive, Birmingham, AL 35242	Director
10/16/2012	Present	News Corp 1211 Avenue of the Americas New York, NY 10036	Director
04/05/2012	02/19/2015	Bloomberg Philanthropy 25 E 78th St. New York, NY 10075	Advisory Board Member
06/2012	Present	New York Presbyterian Hospital 525 East 68th Street New York NY 10065	Honorary Board Member
06/28/2011	Present	Wells Fargo 420 Montgomery Street San Francisco, CA 94104	Director
06/29/2011	02/01/2015	Protective Life Corporation 2801 Hwy 280 South Birmingham, AL 35223	Director
2011	Present	Harvard Business School Board of Dean's Advisor Soldiers Field Boston, MA 02163	Advisory Board Member
2010	Present	Federalist Society 1776 I St NW #300, Washington, DC 20006	Advisory Board Member

ATTACHMENT A-11  
 ELAINE L. CHAO  
 BOARDS & DIRECTORSHIPS  
 (Response to Question A-11)

2010	Present	Ford's Theater 511 10th St NW, Washington, DC 20004	Advisory Board Member
2010	Present	Harvard Business School Board of Global Advisors Soldiers Field Boston, MA 02163	Advisory Board Member
2010	06/2013	National WWII Museum 945 Magazine Street New Orleans, LA 70130	Advisory Board Member
10/23/2009	11/01/2013	Dole Food Company One Dole Plaza West Village, CA 91359-5700	Director
2003	Present	Institute of Politics, Harvard University 79 John F. Kennedy St. Cambridge, MA 02138	Advisory Board Member
2003	2009	Harvard Business School Board of Dean's Advisor Soldiers Field Boston, MA 02163	Advisory Board Member

**ATTACHMENT A-14a**  
**Elaine L. Chao**  
**Political Contributions - Federal**  
**(Response to Question A-14)**

Contributions to All Other Political Committees Except Joint Fundraising Committees

Contributor Name

CHAO, ELAINE	LOUISVILLE	KY	40201		<a href="#">MCCONNELL VICTORY KENTUCKY</a>	6/30/2013	-12500	<a href="#">13941128347</a>
CHAO, ELAINE	LOUISVILLE	KY	40205	DISTINGUISHED FELLOW	<a href="#">HERITAGE FOUNDATION</a>	10/25/2012	10000	<a href="#">12940896930</a>
CHAO, ELAINE	LOUISVILLE	KY	40205	HERITAGE FOUNDATION	<a href="#">DISTINGUISHED FELLOW</a>	6/30/2013	10000	<a href="#">13941302781</a>
CHAO, ELAINE	LOUISVILLE	KY	40205	HERITAGE FOUNDATION	<a href="#">EXECUTIVE</a>	5/23/2012	2500	<a href="#">12020463429</a>
CHAO, ELAINE	LOUISVILLE	KY	40205	HERITAGE FOUNDATION	<a href="#">EXECUTIVE</a>	5/23/2012	2500	<a href="#">12020463527</a>
CHAO, ELAINE	LOUISVILLE	KY	40205	US GOVERNMENT	<a href="#">SECRETARY OF LABOR</a>	7/1/2008	10000	<a href="#">28932511164</a>
CHAO, ELAINE	LOUISVILLE	KY	40205	HERITAGE FOUNDATION	<a href="#">DISTINGUISHED FELLOW</a>	4/29/2014	10000	<a href="#">14941236572</a>
CHAO, ELAINE	LOUISVILLE	KY	40205	US GOVERNMENT	<a href="#">SECRETARY OF LABOR</a>	12/27/2007	10000	<a href="#">28990628719</a>
CHAO, ELAINE L. MS.	LOUISVILLE	KY	40205	U.S. GOVERNMENT	<a href="#">SECRETARY OF LABOR</a>	10/26/2006	25000	<a href="#">27990094749</a>
CHAO, ELAINE L.	WASHINGTON	DC	20002	THE HERITAGE FOUNDATION	<a href="#">DISTINGUISHED FELLOW</a>	8/18/2011	425	<a href="#">12950197799</a>
CHAO, ELAINE L.	WASHINGTON	DC	20002	THE HERITAGE FOUNDATION	<a href="#">DISTINGUISHED FELLOW</a>	11/17/2011	425	<a href="#">12950200181</a>
CHAO, ELAINE L.	WASHINGTON	DC	20002	THE HERITAGE FOUNDATION	<a href="#">DISTINGUISHED FELLOW</a>	2/17/2012	425	<a href="#">12970842028</a>
CHAO, ELAINE L.	WASHINGTON	DC	20002	THE HERITAGE FOUNDATION	<a href="#">DISTINGUISHED FELLOW</a>	5/15/2012	425	<a href="#">12952246547</a>
CHAO, ELAINE L.	WASHINGTON	DC	20002	THE HERITAGE FOUNDATION	<a href="#">DISTINGUISHED FELLOW</a>	8/15/2012	425	<a href="#">12954296871</a>
CHAO, ELAINE L.	WASHINGTON	DC	20002	THE HERITAGE FOUNDATION	<a href="#">DISTINGUISHED FELLOW</a>	11/20/2012	425	<a href="#">12940782898</a>
CHAO, ELAINE L.	WASHINGTON	DC	20002	THE HERITAGE FOUNDATION	<a href="#">DISTINGUISHED FELLOW</a>	2/15/2013	425	<a href="#">13961244319</a>
CHAO, ELAINE L.	WASHINGTON	DC	20002	THE HERITAGE FOUNDATION	<a href="#">DISTINGUISHED FELLOW</a>	5/17/2013	425	<a href="#">13963180662</a>
CHAO, ELAINE L.	WASHINGTON	DC	20002	THE HERITAGE FOUNDATION	<a href="#">DISTINGUISHED FELLOW</a>	11/20/2013	425	<a href="#">14951887637</a>
CHAO, ELAINE L.	WASHINGTON	DC	20002	THE HERITAGE FOUNDATION	<a href="#">DISTINGUISHED FELLOW</a>	2/15/2014	425	<a href="#">14960571121</a>
CHAO, ELAINE L.	WASHINGTON	DC	20002	THE HERITAGE FOUNDATION	<a href="#">DISTINGUISHED FELLOW</a>	5/15/2014	425	<a href="#">14941726077</a>
CHAO, ELAINE L.	WASHINGTON	DC	20002	THE HERITAGE FOUNDATION	<a href="#">DISTINGUISHED FELLOW</a>	8/15/2014	425	<a href="#">14978394881</a>
CHAO, ELAINE L.	WASHINGTON	DC	20002	THE HERITAGE FOUNDATION	<a href="#">DISTINGUISHED FELLOW</a>	11/15/2014	425	<a href="#">14952676019</a>
CHAO, ELAINE L. MS.	WASHINGTON	DC	20002	THE HERITAGE FOUNDATION	<a href="#">LABOR SECRETARY</a>	4/23/2012	2500	<a href="#">14942416889</a>

### Joint Fundraising Contributions

These are contributions to committees who are raising funds to be distributed to other committees.

The breakdown of these

CHAO, ELAINE	LOUISVILLE	KY	40201	HERITAGE FOUNDATION	<a href="#">EXECUTIVE</a>	<a href="#">MCCONNELL VICTORY KENTUCKY</a>	6/26/2013	12500	<a href="#">13941128330</a>
CHAO, ELAINE L. HON.	WASHINGTON	DC	20013	HERITAGE FOUNDATION	<a href="#">DISTINGUISHED FELLOW</a>	<a href="#">RAND PAUL VICTORY COMMITTEE</a>	12/11/2013	5200	<a href="#">14960659449</a>
CHAO, ELAINE L.	LOUISVILLE	KY	40202	SELF-EMPLOYED	<a href="#">PUBLIC SPEAKER</a>	<a href="#">ROMNEY VICTORY, INC.</a>	7/27/2012	1000	<a href="#">13941694430</a>

### Recipient of Joint Fundraiser Contributions

These are the Final Recipients of Joint Fundraising Contributions

Contributor Name

CHAO, ELAINE L.	WASHINGTON	DC	20013	HERITAGE FOUNDATION	<a href="#">DISTINGUISHED FELLOW</a>	<a href="#">PAUL, RAND VIA RAND PAUL FOR US SENATE 2016</a>	12/31/2013	2600	<a href="#">14020323733</a>
CHAO, ELAINE L.	WASHINGTON	DC	20013	HERITAGE FOUNDATION	<a href="#">DISTINGUISHED FELLOW</a>	<a href="#">PAUL, RAND VIA RAND PAUL FOR US SENATE 2016</a>	12/31/2013	2600	<a href="#">14020323680</a>
CHAO, ELAINE L. HON.	WASHINGTON	DC	20013	HERITAGE FOUNDATION	<a href="#">DISTINGUISHED FELLOW</a>	<a href="#">PAUL, RAND VIA RAND PAUL FOR US SENATE 2016</a>	12/11/2013	2600	<a href="#">14021051514</a>
CHAO, ELAINE L. HON.	WASHINGTON	DC	20013	HERITAGE FOUNDATION	<a href="#">DISTINGUISHED FELLOW</a>	<a href="#">PAUL, RAND VIA RAND PAUL FOR US SENATE 2016</a>	12/11/2013	2600	<a href="#">14021051481</a>
CHAO, ELAINE L.	LOUISVILLE	KY	40202	SELF-EMPLOYED	<a href="#">PUBLIC SPEAKER</a>	<a href="#">ROMNEY, MITT / PAUL D. RYAN VIA ROMNEY FOR PRESIDENT, INC.</a>	7/27/2012	1000	<a href="#">13942788103</a>

**ATTACHEMENT A-14b**  
**Elaine L. Chao**  
**Political Contributions - State**  
**(Response to Question A-14)**

**CHAO, ELAINE**

2318 DUNDEE ROAD  
LOUISVILLE, KY, 40205

**Employer** : HERITAGE FUND

**Occupation** : FELLOW

INDIVIDUAL Contribution

\$1,000.00 on 02/28/2014

MCLAUGHLIN, SANDRA for

DISTRICT COURT JUDGE - 30TH DISTRICT-3RD DIVISION

**PRIMARY - 05/20/2014**

**ATTACHMENT A-15**  
**The Honorable Elaine L. Chao**  
**Inventory of Awards and Recognitions**  
**(Response to Question A-15)**

<b>Year</b>	<b>Description of Award / Recognition</b>
1979	10 Outstanding Young Women of American
1984	Mount Holyoke College Alumnae Award Mary Lyon Award for Young Achievement Award
1986	County of Los Angeles Notional Council of Women's Young Achievers Award
1986	Organization of Chinese Americans Champion of Excellence Award
1986	Taiwan Benevolent Association of America & Taiwan Welfare Association of New York Outstanding Achievement Award for higher ranking Chinese-American in U.S. government
1987	Federal Asian Pacific American Council (FAPAC) Exemplary Leadership Award
1987	City of New Orleans International Order of Merit
1988	National Republican Asian Assembly Award for Service to Asian American Republicans & GOP
1988	Chinese-American Association of Southern California Outstanding Achievement Award
1989	Asian Americans in Public Service Excellence 2000 Award
1989	Federal Maritime Commission Exceptional Service
1990	HBS Recognition for Service to HBS Alumni Council 1987-1990
1990	City of Anaheim, CA recognition for Outstanding Leadership as Deputy Secretary of Transportation
1990	Texas Governor Bill Clements Outstanding Achievement Award and Citation as Honorary Citizen of Texas
1990	Garland, Texas Mayor Ruth Nicholson Recognition as Honorary Citizen of Garland, TX
1991	US Department of Transportation Federal Railroad Administration award for Support of the Federal Railroad Administration
1991	U.S. Department of Transportation Asian Pacific American Employees Council Outstanding Service Award
1991	City of Los Angeles Outstanding Person Achievements Award as Deputy Secretary of Transportation
1991	St. John's University Honorary Citation - Doctor of Laws
1991	U.S. Coast Guard Award for Distinguished Service
1992	National Republican Asian Americans Pride of Asian Americans Award
1992	City of Louisa, KY Recognition as Honorary Citizen
1992	City of Louisville, KY Recognition as Honorary Citizen
1992	Jefferson County, KY Recognition as Honorary Citizen
1993	National Conference for College Women Student Leaders Women of Distinction Award
1993	Governor Brereton C. Jones of KY Kentucky Colonel Award
1993	California State Legislative Assembly Recognition for Leadership as President of United Way
1993	City of Los Angeles Mayor and City Council President and Members Recognition for Outstanding Service to the Community and Appointment as United Way President and Chief Executive Officer
1993	Harvard Business School Alumni Achievement Award
1993	City of Russell, KY Recognition as Honorary Citizen
1994	Valley of the Sun and Mesa United Way Phoenix, Arizona Award for Leadership of United Way
1995	City of New Orleans Recognition as Honorary Citizen
1995	Selection by Newsweek Magazine for Overclass 100 in Politics and Government
1995	United Way of Beaver County, OR Recognition for Outstanding and Professional Leadership
1996	National Peace Corps Association Appreciation Recognition for Inspiration and Leadership
1997	The Jefferson Awards Silver Anniversary Recognition for Service on Board of Selector
1998	National Association of Securities Dealers Recognition Outstanding Service as Member of Board of Governors
1998	China Foundation of the United States Recognition Outstanding Leadership



**ATTACHMENT A-15**  
**The Honorable Elaine L. Chao**  
**Inventory of Awards and Recognitions**  
**(Response to Question A-15)**

<b>Year</b>	<b>Description of Award / Recognition</b>
1998	Organization of Chinese American Women, Organization of Chinese Americans - Greater Washington D.C. Chapter Recognition for Outstanding Achievements in Public Service
1999	City of Birmingham, AL Mayor Recognition Leadership / Celebration of Birmingham-Southern College Gala
1999	Community Hospice Recognition for Support of Hospice
2000	Kenai River Classic, AK Recognition to Promote Habitat & Resource Conservation , Kenai River, AK
2001	US Senator Diane Feinstein (CA) Recognition for Commitment
2001	City of Chicago, IL Recognition for Achievement
2001	Asian Pacific American Municipal Offices Leadership Award
2001	City & County of San Francisco, CA Board of Supervisors Commendation of Service
2001	US Pacific Asian American CC Award for Excellence in Govt Service
2001	Chinese American Society, Rockville, MD Recognition for Outstanding Support of Leadership Program
2001	U.S. Department of Labor - Annual National Equal Opportunity Conference Recognition for Commitment to Adults and Youth with Disabilities
2001	United Mine Workers Recognition for Leadership of Mine Safety and Health Administration (MSHA)
2001	United Chinese Community / State of California Resolution # 2501 Recognition for Personal and Public Achievement; United Chinese Community Celebration
2001	Asian American Federation of California Recognition for Great Talent
2001	City of Los Angeles, CA Recognition for Leadership
2001	May Society (Asian American PAC) Appreciation Recognition
2001	Westminster, CA Mayor Margie Rice Recognition as First Asian-American Woman in the US Cabinet
2001	Jobs for America's Graduates Government Leader Award
2002	Boys and Girls Club of Greater Washington, DC Congressional Dinner Honoree
2002	Women In Government Relations Award for Most Women Appointed in Department
2002	Asian American Postal Employees Association Distinguished Asian American Award
2002	Hispanic Association of Colleges and Universities (HACU) Certificate of Appreciation
2002	KY - Henderson County Chamber of Commerce Distinguished Citizen Award
2002	Federal Asian Pacific American Council (FAPAC) Recognition for Leadership as Member of Asian American Community
2002	Fraternal Order of Police of NY Recognition in Appreciation for Promoting FOP Ideals
2002	US Chinese Bankers Alliance Recognition in Appreciation of Hospitality
2002	US Pan Asian American Chamber of Commerce, Southwest Region Recognition in Appreciation for Inspiration and Leadership
2002	Philadelphia Dragon Boat Association, U.S. National Champions, 2002 Team USA Recognition for Support of Philadelphia Chinatown Community
2002	Pan Asian Association of Greater Philadelphia Recognition for Service to Americans
2002	Asian Pacific American Community of Greater Philadelphia Appreciation for Dedicated Service
2002	Chinese Consolidated Benevolent Association, Council of Presidents Appreciation for Service to Chinese Community
2002	Fort Smith, AR Recognition as Honorary Citizen
2002	Court TV Women Superstars Award at 3rd Annual Award Breakfast
2002	National Association of Hispanic Federal Executives Recognition for Leadership Supporting Diversity in Federal Workforce

**ATTACHMENT A-15**  
**The Honorable Elaine L. Chao**  
**Inventory of Awards and Recognitions**  
**(Response to Question A-15)**

<b>Year</b>	<b>Description of Award / Recognition</b>
2002	Syosset High School NY Award for Alumni Distinction
2002	Nassau County NY Legislature Citation Syosset Alumni Award
2003	Vision New America, Inc. Award for Excellence in Leadership
2003	International Leadership Foundation (ILF) Lifetime Achievement Award
2003	Center for Women's Business Research Leading by Example Award
2003	Women's National Republican Club Special Recognition Award
2003	Asian American Federation of California 2003 Public Service Award
2003	US Department of Labor - 2003 Mine Rescue First-Aid Bench and Preshift Contest Award (Louisville, KY)
2003	MANA, A National Latina Organization HerMANA Award
2003	Korean Churches for Community Development Award for Service to America and the Asian American Community
2003	Sergeants' Benevolent Association of New York City Police Department Sergeants' Benevolent Award
2004	Fraternal Order of Police President's Award
2004	Institute for Corean-American Studies Liberty Foundation (ICAS) 2003 Liberty Award
2004	Women's Business Enterprise National Council Applause Award
2004	Chinese-American Chamber of Commerce of New Jersey Honor of Distinction Award
2004	National Association of Asian American Professionals Award for Support of Asian American Community and Commitment to Public Service
2004	Asian Pacific American Institute for Congressional Studies (APAICS) Recognition of Political Milestone, "Decade of Firsts"
2004	Women's Business Center 2004 Public Sector Entrepreneurial Visionary Award
2004	US Chinese Bankers Alliance Recognition for Generous Support
2004	Pittsburgh Lifesciences Greenhouse Recognition for Commitment to Ensuring Opportunities to Better Prepare US Workers
2004	Seaman's Church Institute of New York and New Jersey Silver Bell Award for Service to the Maritime Community
2004	Cultural Development Center/Plainview Chinese School of Long Island, NY American Dream Award
2004	Thurgood Marshall Scholarship Fund Recognition for Commitment to Adults and Youth with Disabilities, Community Leadership
2004	Sergeants' Benevolent Association of New York City Police Department Heroism Award
2004	American Society for Competitiveness Award for Promotion of Global Competitiveness
2004	Chinese American Citizens Alliance, Houston, TX Lodge Recognition for Dedication to Public Service
2004	Allies Building Community, Inc. & The Chinatown Steering Committee Public Service Award
2004	Small Business & Entrepreneurship Council (SBE) Small Business Advocate of the Month Award
2005	Independent Women's Forum Woman of Valor Award
2005	National Ethical Coalition of Organizations Foundation, Inc. (NECO) 2005 Ellis Island Medal of Honor
2005	Pitney Bowes Honor for Commitment
2005	XXI Magazine 2004 Communicator Award
2005	Richard G. Lugar Excellence in Public Service Series (Lugar Series) Excellence in Public Service Award
2005	Asian American Pacific Islander Inaugural Ball Committee Recogniton for Dedicated Service to Asian Americans
2005	League of United Latin American Citizens (LULAC) Outstanding Leadership Award

**ATTACHMENT A-15**  
**The Honorable Elaine L. Chao**  
**Inventory of Awards and Recognitions**  
**(Response to Question A-15)**

<b>Year</b>	<b>Description of Award / Recognition</b>
2005	Alabama State Senate Recognitions for Contributions as Secretary of Labor
2005	Fraternal Order of Police Exemplary Service Award
2005	Sing Tao Daily Pioneer Award at 40th Anniversary Gala
2005	Fukienese American Unity Association Inc. Recognition for Service to Chinese Community
2005	Korean Community Service Center of Greater Washington Recognition for Commitment to the KCSC & Asian American Community
2005	US President George W. Bush Presidential Quality Award for Management Excellence
2005	Asian Job Service Employer Committee Pinnacle Award for Outstanding Leadership
2006	Recognition on Washingtonian Magazine's The List of the Top 100 Most Powerful Women
2006	City of Baton Rouge, LA Mayor Melvin "Kip" Holden Recognition as Honorary Mayor
2006	City of Baton Rouge, LA Recognition as Honorary Citizen & Designation of "Elaine L. Chao Day"
2006	KY - Organization of Chinese Americans, KY Chapter & Asian Pacific American Community of Greater KY Pioneer Award
2006	Houston Asian Chamber of Commerce Distinguished Achievement Award at 11th Annual Gala
2006	National Association of Hispanic Publications & Foundation Outstanding Leadership Award
2006	The American Legion Recognition in Appreciation of Service
2006	Clare Boothe Luce Policy Institute Conservative Leadership Award
2006	LULAC National Convention Recognition of Achievement as Secretary of Labor
2006	LULAC National Convention President's Citation Award
2006	US Department of Commerce Ronald H. Brown Leadership Award
2006	Chinese American Academic and Professional Society Outstanding Public Service Award
2006	Chen Kung University Alumni Association of Greater New York 2006 Distinguished Special Achievement Award
2006	KY - Henry Clay Society Distinguished Service Award
2006	National Urban League National Public Service Award
2007	League of United Latin American Citizens (LULAC) National Legislative Award at 10th Annual Awards Gala
2007	National Association of Hispanic Publications Recognition of Commitment to Latinas
2007	Asian Pacific American Institute for Congressional Studies (APAICS) Distinguished Lifetime Achievement
2007	US-Mexico Chamber of Commerce Good Neighbor Award
2007	Society of Asian Federal Officers 2007 Person of the Year Award
2007	Fraternal Order of Police (FOP) President's Award
2007	International Mine Rescue Conference Recognition for Leadership in Support of US Mine Rescue Teams
2007	Paralyzed Veterans of America Recognition for Public Service
2007	Assoc. of Chinese Scientists & Engineers Recognition for Outstanding Service
2008	Latina Style Image of Ana Maria Arias (founder of the magazine) Recognition for Exceptional Contribution to the success of the Latina Style 50
2008	Chinese Consolidated Benevolent Association, Council of Presidents Outstanding Leader Award
2008	Cuban American Federation Leadership Award
2008	US Department of Homeland Security, Citizenship & Immigration Services American by Choice Award
2008	Asian American Hotel Owners Association Leadership Award
2008	Phoenix Satellite Television Personality of the Year Award
2008	Asian American Government Executives Network (AAGEN) Excellence in Public Service Inaugural Award

**ATTACHMENT A-15**  
**The Honorable Elaine L. Chao**  
**Inventory of Awards and Recognitions**  
**(Response to Question A-15)**

<b>Year</b>	<b>Description of Award / Recognition</b>
2008	Lung Kong Tin Yee Association of Phoenix, AZ Recognition as Secretary of Labor
2008	Who's Who in Asian America 2008 Legacy Award
2008	City of Westminster, CA Recognition as Honorary Citizen
2008	National Asian Peace Officers Association 2008 National Public Servant Recognition Award
2008	KY - City of Paducah, KY Recognition as Duchess of Paducah
2008	Council on Competitiveness Recognition for Contributions to American Competitiveness
2008	U.S. Asia Institute Recognition of Distinguished Public Service in building U.S. Asia Relations; Given at US Asia Institute 30th Anniversary Gala
N/A	Chinese Language Plaque (Texas)
N/A	KY - University of Louisville Alumni Association Recognition as Adopted Alumni
N/A	Vietnamese Fishermen Association of America Recognition for Support of HR 4009
N/A	US Department of Labor Voluntary Protection Plan Recognition for Support of DOL Voluntary Protection Plan (VPP)
N/A	RightNOW Star Award for Inspiration to Women
N/A	KY - City of Middlesboro, KY Recognition as Honorary Citizen
N/A	KY - Henderson, KY Mayor Recognition as Honorary Citizen
N/A	League of Korean Americans - USA Woman of the Year Award
N/A	PACE Union Local 5-550 - Paducah, KY Recognition of Leadership in Department of Labor's Implementation of the Energy Employees Occupational Illness Compensation Program Act of 2000
2010	KY Society of Washington 2010 Henry Clay Distinguished Kentuckian Award
2010	KY Federation of Rep. Women to ELC Lifetime Achievement Award
2010	Museum of Chinese in America Heritage and Family Award to honor Dr. James S. C. Chao and Mrs. Ruth Mulan Chu Chao
2011	Woodrow Wilson Center Woodrow Wilson Award for Public Service
2014	National Dropout Prevention Network Crystal Star Award for Lifetime Achievement for National Impact
2015	Georgetown University Honorary Degree from McDonough School of Business
2015	U. S. China Policy Foundation Award - Outstanding Achievement Award in Public Service
2016	National Taiwan Ocean University Honorary Degree, Doctor of Law

**ATTACHEMENT A-16a  
ELAINE L. CHAO  
ARTICLES AND OP-EDS  
(Response to Question A-16)**

**“A Return to Prosperity is Light Years Away if We Follow Obama’s Road Map”**  
Gazette Xtra; September 7, 2009

**“Anti-Trade Agenda a Real Economy Killer”**  
The Heritage Foundation; April 10, 2009

**Embracing her old Kentucky home**  
Politico  
November 7, 2013

**Procrastination no longer an option**  
The Hill  
December 5, 2012

**Concentrate on Needs of Employers**  
The New York Times  
November 8, 2012

**Winter of recovery not likely with current policies, inaction on taxes**  
The Heritage Foundation  
July 11, 2012

**Government and Industry Must Invest**  
The New York Times  
July 9, 2012

**Demand More than ‘New Normal’ (co-authored with Douglas Holtz-Eakin)**  
National Review  
May 3, 2012

**Our Best Diplomats: Women in the Peace Corps**  
Time Magazine  
March 19, 2012

**Americans Are More Generous Than We Think**  
Time Magazine  
January 5, 2012

**Remembering Pearl Harbor**  
The Washington Times  
December 6, 2011

**The Best Recession Protection: Education**  
Time Magazine  
November 29, 2011

**ATTACHEMENT A-16a**  
**ELAINE L. CHAO**  
**ARTICLES AND OP-EDS**  
**(Response to Question A-16)**

**America's jobless ask: Where's the recovery?**

The Hill

July 21, 2011

**All Americans Need 401(k) Loan Insurance**

Roll Call

June 7, 2011

**Statement on the passing of Matthew K. Fong, American Patriot and National Leader**

ElaineLChao.com

June 2, 2011

**A Day of Reckoning for Public Pensions: The bills are due, the coffers are empty**

The Christian Science Monitor

October 1, 2010

**Another Unhappy Labor Day**

The Wall Street Journal

September 2, 2010

**How to Get America Back to Work**

The Daily Beast

January 10, 2010

**Where the Workers Are**

Wall Street Journal

December 9, 2003

**A Return to Prosperity is Light Years Away if we Follow Obama's Road map**

McClatchy-Tribune News Service

September 7, 2009

**Left-Wing Proxy Playz**

The Washington Times

August 16, 2009

**Obama Tries to Stop Union Disclosure**

The Wall Street Journal

May 6, 2009

**Topic A - The Next 100 Days**

The Washington Post

April 26, 2009

**Topic A - The Employee Free Choice Act**

**ATTACHEMENT A-16a**  
**ELAINE L. CHAO**  
**ARTICLES AND OP-EDS**  
**(Response to Question A-16)**

The Washington Post  
April 12, 2009

**Anti-Trade Agenda a Real Economy Killer**  
The Chicago Tribune  
April 10, 2009

**Two Steps Back on Labor Rights**  
The Wall Street Journal  
March 21, 2009

**Our Workers Deserve Secret Ballots**  
Wall Street Journal  
January 14, 2009

**Will Obama's Labor Department Help or Hinder Recovery?**  
The Wall Street Journal  
January 1, 2009

**The Coming Assaults on America's Competitiveness**  
Townhall Magazine  
December 1, 2008

**Defining Democracy Down**  
The Wall Street Journal  
July 20, 2007

**Secret Ballot Under Fire for American Worker**  
The Chicago Tribune  
March 1, 2007

**Rescuing Your Retirement (co-authored with John Snow and Carlos Gutierrez)**  
New York Times  
November 21, 2005

**Helping America's Remarkable Workforce Meet its Challenges**  
Des Moines Register  
September 27, 2005

**Utilize Some Well-Trained Talent; Give a Returning Veteran a Job**  
Atlanta Journal-Constitution  
September 5, 2005

**Honoring Promises Made to Workers**  
Seattle Post-Intelligencer

**ATTACHEMENT A-16a  
ELAINE L. CHAO  
ARTICLES AND OP-EDS  
(Response to Question A-16)**

February 15, 2005

**We Must Win Fight Against AIDS**

Augusta Chronicle  
November 29, 2004

**New Overtime Rules Protect U.S. Workers**

Kansas City Star  
August 24, 2004

**Women Becoming a Powerful Voice**

Miami Herald  
March 15, 2004

**Challenges in Africa**

Louisville Courier-Journal  
February 1, 2004

**A Chance for Health Care Coverage**

Lexington Herald-Leader  
September 1, 2003

**The IRS V. The People – Chapter 11 “Why the Flat Tax Will Boost Charitable Giving”**

The Heritage Foundation  
1999



**ATTACHMENT A-16b**  
**ELAINE L. CHAO**  
**SPEECHES**  
**(Response to Question A-16)**

Conferral Ceremony of National Taiwan Ocean University Keelung- October 16, 2016

American Action Forum Panel on Social Commerce- November 19, 2015

Taipei Economic and Cultural Office in New York- March 2, 2012

Speech at National Maritime Day Celebration, Baltimore, Maryland, May 22, 2008

Workforce Innovations 2007, Kansas City, Missouri- July 17, 2007

U.S. Merchant Marine Academy Alumni Foundation Dinner, New York, New York,  
September 27, 2006

Speech at National Maritime Day, Propeller Club, Washington, DC; May 22, 2006

Speech at Women Entrepreneurship in the 21st Century; April 3, 2003

1989

International Business Association, Long Beach, California; February 24, 1989

1988

Women's Propeller Club of New York, New York; January 14, 1988

American Association of Port Authorities, San Francisco, CA; September 13, 1988

National Export Traffic League of New York; September 23, 1988

National Customs Brokers and Forwarders Association of America Washington,  
D.C., September 27, 1988

Western Cargo Conference, Vancouver, B.C.; October 7, 1988

National Transportation Industrial League, Dallas, Texas; November 16, 1988

**ATTACHMENT A-16b**  
**ELAINE L. CHAO**  
**SPEECHES**  
**(Response to Question A-16)**

1987

Computer—Aided Operations Research Center (CAORF) Privatization Ceremony  
Rings Point, New York; May 16, 1987

The Propeller Club, Port of New Orleans, New Orleans, LA; May 23, 1987

Admiral King's Farewell Washington, D.C.; June 5, 1987

WWS Ports and Terminals Conference New York, NY; June 18, 1987

Society of Marine Consultants (Delivered for Elaine L. Chao by Patricia  
A. Connell); October 6, 1987

1986

National Conference of State Legislators, Anchorage, Alaska; May 31, 1986

Seminar on U.S. International Liner Trades, Cambridge, Massachusetts; June 4, 1986

Gulf Regional Meeting of USMMA Alumni Houston, Texas; June 21, 1986

National Defense Transportation Association, Tampa, Florida; October 1, 1986

Maritime Administrative Bar Association Washington, D.C.; November 13, 1986

ATTACHMENT A-17  
ELAINE L. CHAO  
CONGRESSIONAL TESTIMONY  
(Response to Question A-17)

2001

- January 24 – Committee on Health, Education, Labor and Pensions  
Confirmation as Secretary of Labor
- March 6 – Senate Subcommittee on Labor, HHS, Education Appropriations  
Ergonomics rule
- April 25 – Senate Subcommittee on Labor, HHS, Education Appropriations  
Ergonomics
- October 16 – House Committee on Education and the Workforce  
Economic Recovery and Assistance to Workers

2002

- February 6 and 7 – House Committee on Education and the Workforce  
ENRON collapse: implications for worker retirements
- February 13 – House Subcommittee on Labor, HHS, Education Appropriations  
FY 2003 budget request
- March 21 – Senate Subcommittee on Labor, HHS, Education Appropriations  
FY 2003 budget request
- April 18 – Senate Committee on Health, Education, Labor and Pensions  
Ergonomics
- May 8 – House Subcommittee on Labor, HHS, Education Appropriations  
FY 2003 budget request

2003

- February 5 – Senate Committee on Small Business  
Association Health Plans
- February 12 – House Education and the Workforce  
Economic Recovery and WIA Reforms
- March 5 – House Committee on Small Business  
Association Health Plans
- March 12 – House Committee on Ways and Means  
FY 2004 budget request
- April 9 – Senate Subcommittee on Labor, HHS, Education Appropriations  
FY 2004 budget request
- April 10 – House Subcommittee on Labor, HHS, Education Appropriations  
FY 2004 budget request

2004

- January 20 – Senate Subcommittee on Labor, HHS, Education Appropriations  
Overtime regulations
- February 12 – House Subcommittee on Labor, HHS, Education Appropriations  
FY 2005 budget request

ATTACHMENT A-17  
ELAINE L. CHAO  
CONGRESSIONAL TESTIMONY  
(Response to Question A-17)

March 4 – House Committee on Ways and Means  
FY 2005 budget request

April 28 – House Committee on Education and the Workforce  
Overtime regulations

2005

March 5 – Senate Subcommittee on Labor, HHS, Education Appropriations  
FY 2006 budget request

March 16 – House Committee on Ways and Means  
FY 2006 budget request

March 17 – House Subcommittee on Labor, HHS, Education Appropriations  
FY 2006

October 18 – Senate Committee on the Judiciary (with Secretary Chertoff)  
Immigration reform

2006

February 16 – House Subcommittee on Labor, HHS, Education Appropriations  
FY 2007 budget request

April 6 – House Committee on Education and the Workforce (with Secretary Spellings)  
American Competitiveness

2007

March 28 – Senate Subcommittee on Labor, HHS, Education Appropriations  
FY 2008 budget request

April 26 – House Subcommittee on Labor, HHS, Education Appropriations  
FFY 2008 budget request

2008

March 6 – House Subcommittee on Labor, HHS, Education Appropriations  
FY 2009 budget request

May 7 – Senate Subcommittee on Labor, HHS, Education Appropriations  
FY 2009 budget request

2009

January 21 – House Republican Forum on President Obama’s Labor Agenda

**ATTACHMENT B-1**  
**ELAINE L. CHAO**  
**CONFLICT OF INTEREST/FINANCIAL DATA**  
**DEFERRED COMPENSATION**  
**(Response to Question B-1 & E-7)**

**News Corporation:** The Deferred Stock Units to which Nominee is entitled will be paid in cash upon separation from the board, which is anticipated to be January 2017. The amount that Nominee will receive will be based on the stock price of News Corporation at the time of separation; the value at October 31, 2016, based on the then current stock price, was [REDACTED].

**Wells Fargo & Company:** The Directors' Stock Compensation and Deferral Plan (DSC) to which Nominee is entitled will be paid in cash, at periods determined by annual elections that she has made. The amount paid will be based on the underlying shares and the current stock price of Wells Fargo & Company at the time payment is made. The aggregate value of the DSC awards at November 30, 2016, based on the then current stock price, was [REDACTED], payable in these approximate amounts and dates, and assuming separation from the board in January 2017: July 2017 – 48%; March 2018 – 29%; March 2019 – 15%; March 2020 – 4%; and March 2021 – 4%. For the portion of DSC units that hasn't been redeemed, Nominee will continue to receive DSC equivalents for dividends on the company's common stock.

**Delta Airlines:** Nominee is entitled to discounted air fare on Delta Airlines as a result of her service on the board of Northwest Airlines.

**Vulcan Materials:** The Deferred Stock Units (DSU) to which Nominee is entitled will be paid in cash the April following the year of separation. Assuming separation in January 2017, the payment would be made in April 2018, based on the then-current market price of the company's common stock. Nominee will continue to receive DSU equivalents for dividends on the company's common stock until the DSUs are redeemed. The value of the DSUs at October 31, 2016, based on the then-current stock price, is [REDACTED]. Although 57% of the DSUs are not vested, the board has the authority to grant full vesting.

**Ingersoll-Rand:** The Directors' Retainer Stock Unit Plan (RSU) will be paid in cash upon separation from the board, which is anticipated to be in January 2017. The amount that Nominee will receive will be based on the company's stock price at the date of separation; the value at November 30, 2016, based on the then current stock price, was [REDACTED].