

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

Filer's Information

Polite, Kenneth A

Assistant Attorney General, Criminal Division, Department of Justice

Other Federal Government Positions Held During the Preceding 12 Months:

None

Names of Congressional Committees Considering Nomination:

- Committee on the Judiciary
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Electronic Signature - I certify that the statements I have made in this form are true, complete and correct to the best of my knowledge.

/s/ Polite, Kenneth A [electronically signed on 03/24/2021 by Polite, Kenneth 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/ Lofthus, Lee, Certifying Official [electronically signed on 04/23/2021 by Lofthus, Lee in Integrity.gov]

Other review conducted by

/s/ Shaw, Cynthia K, Ethics Official [electronically signed on 04/23/2021 by Shaw, Cynthia K in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Apol, David, Certifying Official [electronically signed on 04/27/2021 by Apol, David in Integrity.gov]

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Morgan, Lewis & Bockius LLP	Philadelphia, Pennsylvania	Law Firm	Partner	8/2018	Present
2	Ochsner Health System	New Orleans, Louisiana	Non-Profit	Director	9/2017	Present
3	New Schools for New Orleans	New Orleans, Louisiana	Non-Profit	Board Chair	5/2017	Present
4	Youth Empowerment Project	New Orleans, Louisiana	Non-Profit	Director	4/2017	Present
5	Lawyers' Committee for Civil Rights under the Law	New York, New York	Non-Profit	Director	10/2019	Present
6	Anti-Defamation League - South Central Region	New Orleans, Louisiana	Non-Profit	Director	5/2017	Present
7	Crescent City Corps	New Orleans, Louisiana	Non-Profit	Board Chair	10/2019	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Liskow & Lewis 401(k) Plan	No			
1.1	Vanguard Retirement Savings Trust III	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2	Ochsner Health System	N/A		Registration for board summit and board holiday gift (grossed up)	\$452
3	Morgan, Lewis & Bockius LLP (law firm)	N/A		Salary/Bonus	\$1,170,590
4	Morgan, Lewis & Bockius LLP capital account	N/A	\$500,001 - \$1,000,000	Interest	\$100,001 - \$1,000,000
5	LaSallian District of SF/NO - 09/23/2020	N/A		Honorarium for speech at District leadership conference	\$1,500
6	Morgan, Lewis & Bockius Defined Contribution Plan	No			
6.1	Vanguard Target Retirement 2040 Trust I	Yes	\$50,001 - \$100,000		None (or less than \$201)
7	Morgan, Lewis & Bockius Tax-Saver Retirement Plan	No			
7.1	Vanguard Total Stock Market Index Fund Institutional Shares	Yes	\$15,001 - \$50,000		None (or less than \$201)
8	Morgan, Lewis & Bockius Cash Balance Plan (Pension Plan)	N/A	\$100,001 - \$250,000		None (or less than \$201)
9	IRA Account	No			
9.1	Prudential Jennison 20/20 Focus Fund CL B	Yes	\$1,001 - \$15,000		None (or less than \$201)
10	Entergy Retirement Savings Plan	No			
10.1	T. Rowe Price Retirement 2040 Tr C	Yes	\$15,001 - \$50,000		None (or less than \$201)
11	Morgan, Lewis & Bockius (anticipated partnership income payment)	N/A	\$250,001 - \$500,000		None (or less than \$201)

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Morgan, Lewis & Bockius	Philadelphia, Pennsylvania	Upon confirmation, I will withdraw from the partnership of Morgan, Lewis & Bockius. At that time, I will receive a lump-sum payment, representing my pro rata partnership income for fiscal year 2021. The total amount of the payment will be calculated as of the date of my withdrawal. I will not receive a bonus.	8/2018
2	Morgan, Lewis & Bockius Defined Contribution Plan	Philadelphia, Pennsylvania	I will continue to participate in the Morgan Lewis defined contribution plan. Neither the firm nor I will make further contributions after my resignation.	8/2018
3	Morgan, Lewis & Bockius Tax-Saver Retirement Plan	Philadelphia, Pennsylvania	I will continue to participate in the Morgan Lewis retirement plan. Neither the firm nor I will make further contributions after my resignation.	8/2018
4	Morgan, Lewis & Bockius Cash Balance Plan (Pension Plan)	Philadelphia, Pennsylvania	I will continue to participate in the Morgan Lewis pension plan. Neither the firm nor I will make further contributions after my resignation.	8/2018
5	Morgan, Lewis & Bockius capital account	Philadelphia, Pennsylvania	Upon confirmation, I will withdraw from the partnership of Morgan, Lewis & Bockius. At that time, my capital account balance will be used to pay off the outstanding principal for my PNC Bank capital loan. As a result, I will not receive any proceeds from my capital account.	8/2018
6	Liskow & Lewis 401(k) Plan	New Orleans, Louisiana	I will continue to participate in the Liskow & Lewis 401(k) plan. The plan sponsor no longer makes contributions.	4/2010
7	Entergy Retirement Savings Plan	New Orleans, Louisiana	I will continue to participate in the Entergy Retirement Savings Plan. The plan sponsor no longer makes contributions.	4/2017

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	Morgan, Lewis & Bockius LLP (law firm clients reported on lines 2-28)	Philadelphia, Pennsylvania	Partner
2	Alpha & Omega Semiconductor	Sunnyvale, California	Legal counsel
3	Aramark	Philadelphia, Pennsylvania	Legal counsel
4	Arteza, Inc.	Wilmington, Delaware	Legal counsel
5	Braun Trust	Houston, Texas	Legal counsel
6	Butler, Carl (and family)	New Orleans, Louisiana	Legal counsel
7	Butler, Romero	Houston, Texas	Legal counsel
8	Buzzi Unicem	Bethlehem, Pennsylvania	Legal counsel
9	City of New Orleans	New Orleans, Louisiana	Legal counsel
10	Corning, Inc.	Corning, New York	Legal counsel
11	Diageo	New York, New York	Legal counsel
12	FMC Corp.	Philadelphia, Pennsylvania	Legal counsel
13	Guin, Clara	Shreveport, Louisiana	Legal counsel
14	Hershey Corp.	Hershey, Pennsylvania	Legal counsel
15	JP Morgan Chase	New York, New York	Legal counsel

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
16	Louisiana State University	Baton Rouge, Louisiana	Legal counsel
17	M&T Bank	Wilmington, Delaware	Legal counsel
18	Mercury Systems, Inc.	Boston, Massachusetts	Legal counsel
19	Microsoft Corporation	Redmond, Washington	Legal counsel
20	Morgan Stanley	New York, New York	Legal counsel
21	Muro, Maria	New Orleans, Louisiana	Legal counsel
22	Ready Responders	New Orleans, Louisiana	Legal counsel
23	Sandvik	Scranton, Pennsylvania	Legal counsel
24	Santa Clara University	Santa Clara, California	Legal counsel
25	Sportradar	New York, New York	Legal counsel
26	Temple University	Philadelphia, Pennsylvania	Legal counsel
27	United Microelectronics Corp.	Sunnyvale, California	Legal counsel
28	Wirecard	Conshohocken, Pennsylvania	Legal counsel

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	LSU Health Sciences Center defined benefit plan	N/A	\$1,001 - \$15,000		None (or less than \$201)
2	Bellevue Hosp Tax Deferred Annuity Program	No			
2.1	Prudential Guaranteed Interest Account	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.2	PGIM Total Return Bond Fund - Class R	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.3	Vanguard Balanced Index Fund Institutional Shares	Yes	\$15,001 - \$50,000		None (or less than \$201)
3	NY University Hospital defined contribution plan	No			
3.1	Vanguard US Growth Fund Admiral	Yes	\$100,001 - \$250,000		None (or less than \$201)
3.2	Vanguard High Yield Corporate Fund Admiral Class	Yes	\$50,001 - \$100,000		None (or less than \$201)
3.3	Vanguard Institutional Target Retirement 2045 Institutional	Yes	\$100,001 - \$250,000		None (or less than \$201)
3.4	TIAA Traditional	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5	Vanguard Institutional Target Retirement 2040 Institutional	Yes	\$1,001 - \$15,000		None (or less than \$201)
4	University of Pennsylvania Health System	N/A		Salary	
5	Rushton, Stakely, Johnston & Garrett, P.A.	N/A		Consulting Fees	
6	National Board of Medical Examiners	N/A		Consulting Fees	
7	Marsh, Rickard & Bryan P.C.	N/A		Consulting Fees	
8	University of Pennsylvania Health System Retirement Plan	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.1	Vanguard Institutional Target Retirement 2040 Institutional	Yes	\$100,001 - \$250,000		None (or less than \$201)
9	SEP-IRA Account (cash account)	N/A	\$1,001 - \$15,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Guardian Whole Life Insurance	N/A	\$50,001 - \$100,000		None (or less than \$201)
2	Residential Real Estate, New York, NY	N/A	\$500,001 - \$1,000,000	Rent or Royalties	\$15,001 - \$50,000
3	American Income Whole Life Insurance	N/A	\$100,001 - \$250,000		None (or less than \$201)
4	U.S. bank (cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
5	New York 529 Plan	No			
5.1	Vanguard Growth Portfolio	Yes	\$1,001 - \$15,000		None (or less than \$201)
6	American Income Whole Life Insurance	N/A	\$100,001 - \$250,000		None (or less than \$201)

7. Transactions

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

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Liberty Bank	Mortgage on Personal Residence	\$500,001 - \$1,000,000	2018	5.75%	30 years
2	American Education Services	Student Loan	\$50,001 - \$100,000	1997	4.25%	30 years
3	Liberty Bank	Mortgage (investment/rental property)	\$500,001 - \$1,000,000	2018	5.69%	25 years
4	Citibank	Exercised Line of Credit	\$250,001 - \$500,000	2019	1-month LIBOR, plus 2.0%	2 years
5	Navient	Student Loan	\$15,001 - \$50,000	2002	6.00%	30 years
6	American Express	Credit Card	\$15,001 - \$50,000	2006	18.24%	Revolving
7	PNC Bank	Capital Loan (Morgan, Lewis & Bockius partnership)	\$250,001 - \$500,000	2018	3-month LIBOR, plus 1.30%	15 years
8	Bankers Healthcare Group	Personal Loan	\$15,001 - \$50,000	2017	19.99%	5 years

9. Gifts and Travel Reimbursements

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

Endnotes

Summary of Contents

1. Filer's Positions Held Outside United States Government

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

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

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

Part 2 discloses the following:

- Sources of earned and other non-investment income of the filer totaling more than \$200 during the reporting period (e.g., salary, fees, partnership share, honoraria, scholarships, and prizes)
- Assets related to the filer's business, employment, or other income-generating activities (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in income was received during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

3. Filer's Employment Agreements and Arrangements

Part 3 discloses agreements or arrangements that the filer had during the reporting period with an employer or former employer (except the United States Government), such as the following:

- Future employment
- Leave of absence
- Continuing payments from an employer, including severance and payments not yet received for previous work (excluding ordinary salary from a current employer)
- Continuing participation in an employee welfare, retirement, or other benefit plan, such as pensions or a deferred compensation plan
- Retention or disposition of employer-awarded equity, sharing in profits or carried interests (e.g., vested and unvested stock options, restricted stock, future share of a company's profits, etc.)

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

Part 4 discloses sources (except the United States Government) that paid more than \$5,000 in a calendar year for the filer's services during any year of the reporting period.

The filer discloses payments both from employers and from any clients to whom the filer personally provided services. The filer discloses a source even if the source made its payment to the filer's employer and not to the filer. The filer does not disclose a client's payment to the filer's employer if the filer did not provide the services for which the client is paying.

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

Part 5 discloses the following:

- Sources of earned income (excluding honoraria) for the filer's spouse totaling more than \$1,000 during the reporting period (e.g., salary, consulting fees, and partnership share)
- Sources of honoraria for the filer's spouse greater than \$200 during the reporting period
- Assets related to the filer's spouse's employment, business activities, other income-generating activities (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in income was received during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's spouse's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF). Amounts of income are not required for a spouse's earned income (excluding honoraria).

6. Other Assets and Income

Part 6 discloses each asset, not already reported, (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in investment income was received during the reporting period. For purposes of the value and income thresholds, the filer aggregates the filer's interests with those of the filer's spouse and dependent children.

This section does not include the following types of assets: (1) a personal residence (unless it was rented out during the reporting period); (2) income or retirement benefits associated with United States Government employment (e.g., Thrift Savings Plan); and (3) cash accounts (e.g., checking, savings, money market accounts) at a single financial institution with a value of \$5,000 or less (unless more than \$200 in income was received). Additional exceptions apply. Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

7. Transactions

Part 7 discloses purchases, sales, or exchanges of real property or securities in excess of \$1,000 made on behalf of the filer, the filer's spouse or dependent child during the reporting period.

This section does not include transactions that concern the following: (1) a personal residence, unless rented out; (2) cash accounts (e.g., checking, savings, CDs, money market accounts) and money market mutual funds; (3) Treasury bills, bonds, and notes; and (4) holdings within a federal Thrift Savings Plan account. Additional exceptions apply.

8. Liabilities

Part 8 discloses liabilities over \$10,000 that the filer, the filer's spouse or dependent child owed at any time during the reporting period.

This section does not include the following types of liabilities: (1) mortgages on a personal residence, unless rented out (limitations apply for PAS filers); (2) loans secured by a personal motor vehicle, household furniture, or appliances, unless the loan exceeds the item's purchase price; and (3) revolving charge accounts, such as credit card balances, if the outstanding liability did not exceed \$10,000 at the end of the reporting period. Additional exceptions apply.

9. Gifts and Travel Reimbursements

This section discloses:

- Gifts totaling more than \$415 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$415 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.

For purposes of this section, the filer need not aggregate any gift or travel reimbursement with a value of \$166 or less. Regardless of the value, this section does not include the following items: (1) anything received from relatives; (2) anything received from the United States Government or from the District of Columbia, state, or local governments; (3) bequests and other forms of inheritance; (4) gifts and travel reimbursements given to the filer's agency in connection with the filer's official travel; (5) gifts of hospitality (food, lodging, entertainment) at the donor's residence or personal premises; and (6) anything received by the filer's spouse or dependent children totally independent of their relationship to the filer. Additional exceptions apply.

Privacy Act Statement

Title I of the Ethics in Government Act of 1978, as amended (the Act), 5 U.S.C. app. § 101 et seq., as amended by the Stop Trading on Congressional Knowledge Act of 2012 (Pub. L. 112-105) (STOCK Act), and 5 C.F.R. Part 2634 of the U. S. Office of Government Ethics regulations require the reporting of this information. Failure to provide the requested information may result in separation, disciplinary action, or civil action. The primary use of the information on this report is for review by Government officials to determine compliance with applicable Federal laws and regulations. This report may also be disclosed upon request to any requesting person in accordance with sections 105 and 402(b)(1) of the Act or as otherwise authorized by law. You may inspect applications for public access of your own form upon request. Additional disclosures of the information on this report may be made: (1) to any requesting person, subject to the limitation contained in section 208(d)(1) of title 18, any determination granting an exemption pursuant to sections 208(b)(1) and 208(b)(3) of title 18; (2) to a Federal, State, or local law enforcement agency if the disclosing agency becomes aware of violations or potential violations of law or regulation; (3) to a source when necessary to obtain information relevant to a conflict of interest investigation or determination; (4) to the National Archives and Records Administration or the General Services Administration in records management inspections; (5) to the Office of Management and Budget during legislative coordination on private relief legislation; (6) when the disclosing agency determines that the records are arguably relevant to a proceeding before a court, grand jury, or administrative or adjudicative body, or in a proceeding before an administrative or adjudicative body when the adjudicator determines the records to be relevant to the proceeding; (7) to reviewing officials in a new office, department or agency when an employee transfers or is detailed from one covered position to another, a public financial disclosure report and any accompanying documents, including statements notifying an employee's supervising ethics office of the commencement of negotiations for future employment or compensation or of an agreement for future employment or compensation; (8) to a Member of Congress or a congressional office in response to an inquiry made on behalf of and at the request of an individual who is the subject of the record; (9) to contractors and other non-Government employees working on a contract, service or assignment for the Federal Government when necessary to accomplish a function related to this system of records; (10) on the OGE Website and to any person, department or agency, any written ethics agreement, including certifications of ethics agreement compliance, filed with OGE by an individual nominated by the President to a position requiring Senate confirmation; (11) on the OGE Website and to any person, department or agency, any certificate of divestiture issued by OGE; (12) on the OGE Website and to any person, department or agency, any waiver of the restrictions contained in Executive Order 13770 or any superseding executive order; (13) to appropriate agencies, entities and persons when there has been a suspected or confirmed breach of the system of records, the agency maintaining the records has determined that there is a risk of harm to individuals, the agency, the Federal Government, or national security, and the disclosure is reasonably necessary to assist in connection with the agency's efforts to respond to the suspected or confirmed breach or to prevent, minimize, or remedy such harm; and (14) to another Federal agency or Federal entity, when the agency maintaining the record determines that information from this system of records is reasonably necessary to assist the recipient agency or entity in responding to a suspected or confirmed breach or in preventing, minimizing, or remedying the risk of harm to individuals, the recipient agency or entity, the Federal Government, or national security. See also the OGE/GOVT-1 executive branch-wide Privacy Act system of records.

Public Burden Information

This collection of information is estimated to take an average of ten hours per response, including time for reviewing the instructions, gathering the data needed, and completing the form. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Program Counsel, U.S. Office of Government Ethics (OGE), Suite 500, 1201 New York Avenue, N.W., Washington, DC 20005-3917.

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