

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

Filer's Information

Schulzrinne, Henning

Chief Technologist (IPA), Federal Communications Commission

Date of Termination: 08/31/2017

Other Federal Government Positions Held During the Preceding 12 Months:

None

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

/s/ Schulzrinne, Henning [electronically signed on 10/02/2017 by Schulzrinne, Henning 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/ Halprin, Jane H, Certifying Official [electronically signed on 10/05/2017 by Halprin, Jane H in Integrity.gov]

Other review conducted by

U.S. Office of Government Ethics Certification

Data Revised 10/05/2017

Data Revised 10/04/2017

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Columbia University	New York, New York	University/College	Professor	8/1996	Present
2	EDAS Conference Services	Leonia, New Jersey	Corporation	Partner	1/2004	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Columbia University	N/A		Salary	\$357,200
2	EDAS Conference Services (Manages publications and registrations for engineering conferences)	See Endnote		Business Income	\$288,299
3	TIAA traditional	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
4	CREF Stock R3	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
5	CREF Growth R3	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
6	TIAA Real Estate	Yes	\$1,001 - \$15,000		\$201 - \$1,000
7	CREF Inflation-Linked Bond R3	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
8	CREF Bond Market R3	Yes	\$1,001 - \$15,000		\$201 - \$1,000
9	TIAA-CREF Lifecycle 2025 Fund - Institutional Class	Yes	\$15,001 - \$50,000		\$15,001 - \$50,000
10	Vol TIAA Traditional	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
11	Vol CREF Stock R3		Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
12	Vol CREF Equity Index R3		Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
13	Vol CREF Growth R3		Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
14	Vol TIAA Real Estate		Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
15	Vol CREF Bond Market R3		Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
16	John Wiley & Sons (book royalties)	See Endnote	N/A	None (or less than \$1,001)	Rent or Royalties	\$1,001 - \$2,500
17	IEEE Internet award	See Endnote	N/A	\$1,001 - \$15,000	Prize by professional society (April 2016).	\$10,000

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Columbia University	New York, New York	Reduced tuition for a child. Health and life insurance.	8/1996
2	Columbia University	New York, New York	I was an Interagency Personnel Agreement (IPA) employee from 09/01/2016 to 08/31/2017.	8/1996
3	Columbia University	New York, New York	I will continue to participate in this defined contribution plan, and the plan sponsor will continue to make contributions.	8/1996

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

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

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	EDAS Conference Services (Manages publications and registrations for engineering conferences.)	N/A		salary, partnership share	

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	US bank checking account	N/A	\$100,001 - \$250,000		None (or less than \$201)
2	US bank savings	N/A	\$15,001 - \$50,000		None (or less than \$201)
3	US bank Certificate of Deposit	N/A	\$15,001 - \$50,000		None (or less than \$201)
4	TIAA-CREF Bond Plus Fund - Retail Class TCBPX	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
5	TIAA-CREF Equity Index Fund - Retail Class TINRX	Yes	\$50,001 - \$100,000		\$15,001 - \$50,000
6	TIAA-CREF Inflation-Linked Bond Fund - Retail Class TCILX	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
7	TIAA-CREF Large-Cap Growth Fund - Retail Class TIRTX	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
8	TIAA-CREF Managed Allocation Fund - Retail Class TIMRX	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
9	TIAA-CREF Mid-Cap Value Fund - Retail Class TCMVX	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
10	TIAA-CREF Money Market Fund - Retail Class TIRXX	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
11	TIAA-CREF Real Estate Securities Fund - Retail Class TCREX	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
12	TIAA-CREF Tax-Exempt Bond Fund - Retail Class TIXRX	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
13	VR-Bank Rhein-Erft	N/A	\$15,001 - \$50,000		None (or less than \$201)
14	Volkswagen Bank savings account	N/A	\$50,001 - \$100,000		None (or less than \$201)
15	Bundesrepublik Deutschland Finanzagentur government bonds	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
16	Bundesrepublik Deutschland Finanzagentur government bonds	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
17	US bank checking account	N/A	\$50,001 - \$100,000		None (or less than \$201)

7. Transactions

None

8. Liabilities

None

9. Gifts and Travel Reimbursements

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION	VALUE
1	IEEE CNSM conference	Piscataway, New Jersey	Travel reimbursement for invited talk at IEEE CNSM 2016 in Montreal, Canada	746.00
2	IEEE IMS 2017	Honolulu, Hawaii	Travel reimbursement for keynote at IEEE IMS 2017 (June 2017)	1219.28

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION	VALUE
3	Arizona State University	Tempe, Arizona	Travel reimbursement for keynote at 2017 GENI regional workshop at Texas A&M University, College Station, TX	754.70
4	University of Minnesota	Minneapolis, Minnesota	Travel reimbursement for keynote at PICASSO Forum at University of Minnesota, June 2017	1677.58

Endnotes

PART	#	ENDNOTE
2.	2	Asset value not readily ascertainable.
2.	16	Royalties for the following books: SIP Security (2009) Internet Protocol-based Emergency Services (2013) Mobility Protocols and Handover Optimization (2014)
2.	17	IEEE Internet award (one time prize); not a honorarium

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 that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in income 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 that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in income 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, that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in investment income 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 of income was produced). Additional exceptions apply. Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

7. Transactions

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

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

8. Liabilities

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

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

9. Gifts and Travel Reimbursements

This section discloses:

- Gifts totaling more than \$375 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$375 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 \$150 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.

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