

**SELECT COMMITTEE ON
INTELLIGENCE**

UNITED STATES SENATE



**QUESTIONNAIRE FOR COMPLETION BY
PRESIDENTIAL NOMINEES**

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PART A - BIOGRAPHICAL INFORMATION

1. NAME: Daniel Bennett Smith
2. DATE AND PLACE OF BIRTH: March 6, 1956. Redwood City, California
3. MARITAL STATUS: Married
4. SPOUSE'S NAME: [INFORMATION REDACTED]
5. SPOUSE'S MAIDEN NAME IF APPLICABLE: [INFORMATION REDACTED]
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>
Colorado State University	9/74 to 12/74	None	
University of Colorado, Boulder	1/75 to 8/77	B.A.	August 1977
Stanford University	9/77-1984	M.A. and Ph.D.	1979 and 1984

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>
U.S. Department of State	Foreign Service Officer	Washington, DC and abroad	1983 to present
U.S. Department of State	Entry Level Training	Washington, D.C.	4/1983 to 2/1984

U.S. Department of State	Vice Consul	U.S. Embassy Stockholm, Sweden	2/1984 to 7/1985
U.S. Department of State	Political/Economic Officer	U.S. Embassy Ottawa, Canada	8/1985 to 9/1987
U.S. Department of State	Czechoslovak Desk Officer	Washington, D.C.	9/1987 to 8/1989
U.S. Department of State	Turkish Language Study	Washington, D.C.	9/1989 to 6/1990
U.S. Department of State	Political Officer	U.S. Consulate Istanbul, Turkey	6/1990 to 7/1992
U.S. Department of State	Special Assistant, Bureau of European and Canadian Affairs	Washington, D.C.	8/1992 to 8/1993
U.S. Department of State	Visiting Assistant Professor, U.S. Air Force Academy	Colorado Springs, CO	8/1993 to 7/1995
U.S. Department of State	Political/Economic Officer	U.S. Embassy Bern, Switzerland	8/1995 to 4/1999
U.S. Department of State	Executive Assistant, Office of the Under Secretary for Global Affairs	Washington, D.C.	4/1999 to 3/2001
U.S. Department of State	Deputy Executive Secretary	Washington, D.C.	4/2001 to 11/2002
U.S. Department of State	Principal Deputy Assistant Secretary, Consular Affairs Bureau	Washington, D.C.	11/2002 to 8/2005
U.S. Department of State	Executive Assistant, Office of the Under Secretary for Public Diplomacy and Public Affairs	Washington, D.C.	8/2005 to 8/2007
U.S. Department of State	Executive Secretary	Washington, D.C.	8/2007 to 7/2010
U.S. Department of State	Ambassador to Greece	U.S. Embassy Athens, Greece	9/2010 to 8/2013

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):

Same as above.

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

In thirty years as a Foreign Service Officer, I have worked extensively on national security issues and policy in a variety of capacities, including senior positions in Washington and abroad. In particular, in my role as Executive Secretary of the State Department, I was responsible for coordinating decisions and actions across the interagency community on a wide variety of national security issues, including on matters directly related to the Intelligence Community and intelligence priorities and activities. As such, I have a deep understanding of the highest levels of intelligence products and issues, as well as of the interagency network that engages on these matters. As Ambassador to Greece, I was responsible for overseeing every aspect of our bilateral political and economic relationship with Greece, including counterterrorism, counterproliferation, and law enforcement cooperation. In addition, these positions have given me an opportunity to demonstrate my management and leadership skills, both of which will be integral to running a bureau of over 300 employees with active engagement in the interagency process.

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):

Presidential Distinguished Service Award (2013)
Arnold L. Raphel Memorial Award (2009)
Secretary of State's Distinguished Service Award (2009)
Presidential Meritorious Service Award (2009)
Senior Foreign Service Performance Pay (2012, 2011, 2010, 2009, 2008, 2006, 2005, 2004, 2003)
Department of State Superior Honor Award (2005, 2004, 2001, 1997)
Department of State Meritorious Honor Award (1991, 1985)
Mrs. Giles Whiting Fellowship (1982-83)
Phi Beta Kappa (1977)

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>DATES</u>
American Foreign Service Association	Member	1983 to 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):

- **Remarks Aboard U.S.S. ENTERPRISE by U.S. Ambassador Daniel B. Smith, (03/28/2012)**
- **International Propeller Club of the United States in Piraeus, 2012 New Year's Reception (01/29/2012)**
- **American-Hellenic Chamber of Commerce 2012 New Year's Reception (01/30/2012)**
- **Anti-TIP Movement via the Arts, (01/24/2012)**
- **"A Time for Responsibility, Decisions, and Action": Remarks at the Hellenic Chamber of Commerce (12/14/2011)**
- **"Europe: Our Essential Global Partner." Address to the Greek Association for Atlantic and European Cooperation (12/2/2011)**
- **10th Navigator Conference in Athens (Nov. 9, 2011)**
- **13th Info-Com World Conference 2011, (Oct. 25, 2011)**
- **Annual NESFA Fall Leadership Conference (Oct 20, 2011)**
- **Youth Entrepreneurship Conference (Oct 11, 2011)**
- **10th Anniversary of 911: Remarks by Ambassador Smith (Sept 12, 2011)**
- **Ambassador's Remarks, July 4th Reception 2011**
- **Ambassador Smith Honors Team USA Family Members and Sponsors (Summer 2011)**
- **ASCS at Athens Celebrates its 130th Anniversary. Ambassador's Remarks to the American School of Classical Studies at Athens (June 4, 2011)**
- **Anatolia and the Important of U.S.-Greek Educational Ties. Remarks by U.S. Ambassador Daniel B. Smith (May 12, 2011)**
- **Remarks at the Reception in honor of Special Olympics International by Ambassador Daniel B. Smith (March 17, 2011)**

- Remarks at American Hellenic Chamber of Commerce 21st Annual Economic Conference (November 29, 2010)
- Statement by Ambassador Daniel B. Smith at the BSEC Ministerial in Thessaloniki (November 26, 2010)
- "NATO: The World's Most Complete Partnership." Article in *Eleftheros Typos*, November 18, 2010.

PART B - QUALIFICATIONS

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

I have served with distinction in a variety of senior positions in the Department of State both in Washington and overseas. I have extensive knowledge of national security policy and the challenges facing the United States in the world today, as well as substantial relevant experience in the interagency process, including on matters involving the intelligence and law enforcement communities as well as homeland security. I have successfully managed large organizations, including as Executive Secretary of the State Department and as Ambassador to Greece, and provided strong leadership, including at times of crisis. I also have direct experience in intelligence oversight, and in ensuring the integration of intelligence information into the policymaking process.

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):

None.

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

None

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.

None.

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.

None.

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.

I am currently employed by the U.S. Department of State

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.

N/A

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.

I have no plans nor any agreements or understandings.

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.

No.

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 a U.S. Government employee working as an office administrator. She was employed by the U.S. Government from 2007-2010, but took a leave of absence during my assignment as Ambassador to Greece. She resumed her employment in September 2013.

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.)

I have received and retained personally no gifts exceeding \$100 in value with the exception of certain gifts from officials of the Government of Greece given to me in my capacity as Ambassador to Greece and subject to State Department regulations. None of these gifts exceeded \$335 in estimated value. Here is a list of such gifts and their estimated value:

[INFORMATION REDACTED]

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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[INFORMATION REDACTED]

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.)

NATURE OF OBLIGATION

NAME OF OBLIGEE

AMOUNT

[INFORMATION REDACTED]

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.

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]

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.

Virginia.

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.

[INFORMATION REDACTED]

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.

N/A

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. I have consulted with the State Department's designated agency ethics official, and I am not currently aware of any potential conflicts of interest. Should a potential conflict arise, I would consult with the Department's ethics official, and resolve the potential conflict in accordance with the applicable rules, regulations and statutes.

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.

[INFORMATION REDACTED]

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.

No.

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.

No.

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.

No.

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 DIRECTOR OF NATIONAL INTELLIGENCE, THE CHIEF INFORMATION OFFICER OF THE INTELLIGENCE COMMUNITY, AND THE INTELLIGENCE COMMITTEES OF THE CONGRESS RESPECTIVELY IN THE OVERSIGHT PROCESS.

Congressional oversight of U.S. intelligence activities is essential to ensuring that the IC acts within the laws Congress has enacted and spends its appropriation wisely. Because of the inherent sensitivity of these activities, this Congressional oversight must be undertaken on the basis of mutual trust. The DNI and CIO must keep the Committees informed of all major activities.

49. EXPLAIN YOUR UNDERSTANDING OF THE RESPONSIBILITIES OF THE ASSISTANT SECRETARY OF STATE FOR INTELLIGENCE AND RESEARCH.

The Assistant Secretary of State for Intelligence and Research serves as the principal intelligence advisor to the Secretary of State. In addition to providing the Secretary and other senior policymakers with independent and

relevant intelligence analysis, the Assistant Secretary represents the Secretary of State within the intelligence community in order to ensure that our intelligence policies, priorities and activities are consistent with our diplomatic and foreign policy objectives . The Assistant Secretary guides a talented staff of over 300 Civil and Foreign Service employees whose work and expertise covers a broad range of regional and global issues, including new and emerging threats to our national security. The Assistant Secretary augments the Bureau's knowledge and competence by building ties to academia and the private sector. The Bureau plays a key role in the production of national intelligence estimates.

AFFIRMATION

I, Daniel Bennett Smith, DO SWEAR THAT THE ANSWERS I HAVE PROVIDED TO THIS QUESTIONNAIRE ARE ACCURATE AND COMPLETE.

October 22, 2013
(Date)

[SIGNATURE]
(Name)

[SIGNATURE]
~~(Notary)~~

District of Columbia

Subscribed and sworn to before me, in my presence,
this 22nd day of October, 2013

by [SIGNATURE] Notary Public
My Commission Expires: 02-28-2015



JACQUELINE PRIDGEN
Notary Public, District of Columbia
My Commission Expires February 28, 2015

TO THE CHAIRMAN, SELECT COMMITTEE ON INTELLIGENCE:

In connection with my nomination to be Assistant Secretary for Intelligence and Research at the Department of State, I hereby express my willingness to respond to requests to appear and testify before any duly constituted committee of the Senate.

[SIGNATURE]

Signature

Date: October 22, 2013



United States
Office of Government Ethics
1201 New York Avenue, NW., Suite 500
Washington, DC 20005-3917

NOV - 4 2013

The Honorable Dianne Feinstein
Chairman
Select Committee on Intelligence
United States Senate
Washington, DC 20510

Dear Madam Chairman:

In accordance with the Ethics in Government Act of 1978, I enclose a copy of the financial disclosure report filed by Daniel B. Smith, who has been nominated by President Obama for the position of Assistant Secretary of State for the Bureau of Intelligence and Research, Department of State.

We have reviewed the report and have obtained advice from the agency concerning any possible conflict in light of its functions and the nominee's proposed duties. Also enclosed is an ethics agreement outlining the actions that the nominee will undertake to avoid conflicts of interest. Unless a date for compliance is indicated in the ethics agreement, the nominee must fully comply within three months of confirmation with any action specified in the ethics agreement.

Based thereon, we believe that this nominee is in compliance with applicable laws and regulations governing conflicts of interest.

Sincerely,

[SIGNATURE]

Walter M. Shaub, Jr.
Director

Enclosures

Mr. Richard C. Visek
Deputy Legal Adviser and Designated Agency Ethics Official
Office of the Legal Adviser
U.S. Department of State
Washington, DC 20520-0102

Date: 9/25/2013

Re: Ethics Undertakings

Dear Mr. Visek:

I am committed to the highest standards of ethical conduct for government officials. If confirmed as Assistant Secretary of State for the Bureau of Intelligence and Research, as required by 18 U.S.C. §208(a), I will not participate personally and substantially in any particular matter that has a direct and predictable effect on my financial interests or those of any person whose interests are imputed to me, unless I first obtain a written waiver, pursuant to 18 U.S.C. §208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2). I understand that the interests of the following persons are imputed to me: any spouse or minor child of mine; any general partner of a partnership in which I am a limited or general partner; any organization in which I serve as officer, director, trustee, general partner or employee; and any person or organization with which I am negotiating or have an arrangement concerning prospective employment.

If I rely on a *de minimis* exemption under 5 C.F.R. § 2640.202 with regard to any of my financial interests, I will monitor the value of those interests. If the aggregate value of interests affected by a particular matter increases and exceeds the *de minimis* threshold, I will not participate in the particular matter, unless I first obtain a written waiver under 18 U.S.C. § 208(b)(1).

In addition, I will recuse myself from participation on a case-by-case basis in any particular matter involving specific parties in which I determine that a reasonable person with knowledge of the relevant facts would question my impartiality in the matter, unless I am first authorized to participate pursuant to 5 C. F. R. § 2635, Subpart E.

Sincerely,

[SIGNATURE]

DANIEL B. SMITH

Executive Branch Personnel PUBLIC FINANCIAL DISCLOSURE REPORT

Date of Appointment, Election, or Nomination (Month, Day, Year)		Reporting Status (Check Appropriate Boxes)	Exempt <input type="checkbox"/>	Calendar Year Covered by Report	New Entrant, Nominee, or Candidate <input checked="" type="checkbox"/>	Termination Filter <input type="checkbox"/>	Termination Date (if Applicable) (Month, Day, Year)
Reporting Individual's Name Last Name: Smith First Name and Middle Initial: Daniel B.							
Position for Which Filing Title of Position: Assistant Secretary of State for the Bureau of Intelligence and Research Department or Agency (if Applicable): Department of State							
Location of Present Office (or forwarding address) Address (Number, Street, City, State, and ZIP Code): 2201 C Street, NW Washington, DC 20520 Telephone No. (include Area Code): 202-647-6760							
Position(s) Held with the Federal Government During the Preceding 12 Months (If Not Same as Above) Title of Position(s) and Date(s) Held: U.S. Ambassador to Greece 9/2010-8/2013; Officer in Training 8/2013-Present							
Presidential Nominations Subject to Senate Confirmation Name of Congressional Committee Considering Nomination: Select Committee on Intelligence Do You Intend to Create a Qualified Diversified Trust? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No							
Certifications I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge.							
Signature of Reporting Individual [SIGNATURE]							
Date (Month, Day, Year) 9/25/2013							
Other Review (if desired by agency) Signature of Other Reviewer							
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 this box below).							
Signature of Other Reviewer [SIGNATURE]							
Date (Month, Day, Year) 9/26/13							
Office of Government Ethics Use Only							
Comments of Reviewing Officials (if additional space is required, use the reverse side of this sheet)							
(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"/>							

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 \$300 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.

Nominations, 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. Vote: _____ as of any date you choose that is within 31 days of the date of filing.
Schedule B—Not applicable.
Schedule C, Part I (Liability)—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 III (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.

Agency Use Only

OGEC Use Only

Reporting Individual's Name
SMITH, DANIEL B.

SCHEDULE A continued

(Use only if needed)

Page Number

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Assets and Income	BLOCK B												BLOCK C							
	Valuation of Assets at close of reporting period												Income: type and amount. If "None (or less than \$201)" is checked, no other entry is needed in Block C for that item.							
	None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000*	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	None (or less than \$201)	Dividends	Rent and Royalties	Interest	Capital Gains	Amount	Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria
1 16 Roth IRA: USAA Conservative Moderately Aggressive																				
2 17 Roth IRA: USAA Conservative Moderately Aggressive																				
3 18 Roth IRA: USAA Conservative Moderately Aggressive																				
4 19 USAA Money Market Fund (CHIA)																				
5 20 USAA Money Market Fund (CHIA)																				
6 21 USAA Money Market Fund (CHIA)																				
7 22 Vanguard 100 Index Fund (CHIA)																				
8 23 Vanguard 100 Index Fund (CHIA)																				
9																				

* This category applies only if the asset/income is solely that of the filer's spouse or dependent children. If the asset/income is either that of the filer or jointly held by the filer with the spouse or dependent children, mark the other higher categories of value, as appropriate.

Reporting Individual's Name
 SMITH, DANIEL B.

SCHEDULE D

Page Number
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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

Examples	Organization (Name and Address)	Type of Organization	Position Held	From (Mo., Yr.) To (Mo., Yr.)	
				6/92	7/85
	Mr. & Mrs. of Rock Collectors, NY, NY Doe Jones & Smith, Hometown, State	Non-profit education Law firm	President Partner	6/92	7/85
1					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 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

Examples	Source (Name and Address)	Brief Description of Duties
	Doe Jones & Smith, Hometown, State Metro University (client of Doe Jones & Smith), Hometown, State	
1		
2		
3		
4		
5		
6		

Reporting Individual's Name SMITH, DANIEL B.		OGE Form 278 of Record Comments		Page Number 8 of 8
Annotation: # 1	Section: Asset	Date: 08/14/2013	Author: DANIEL B. SMITH	
C O M M E N T				
State Department Federal Credit Union (Savings, CD and Checking Accounts)				
Annotation: # 2	Section: Asset	Date: 08/28/2013	Author: DANIEL B. SMITH	
C O M M E N T				
Metropolitan Life Insurance Company (Whole Life Policy)				
Annotation: # 3	Section: Asset	Date: 08/14/2013	Author: DANIEL B. SMITH	
C O M M E N T				
Metropolitan Life Insurance Company Trust Interests (Self and Spouse)				
Annotation: # 4	Section: Asset	Date: 08/28/2013	Author: DANIEL B. SMITH	
C O M M E N T				
Roth IRA: USAA Cornerstone Moderately Aggressive Fund (Spouse)				
Annotation: # 5	Section: Asset	Date: 08/28/2013	Author: DANIEL B. SMITH	
C O M M E N T				
Roth IRA: USAA Cornerstone Moderately Aggressive Fund (Child)				

Reporting Individual's Name SMITH, DANIEL B.		OGE Form 278 of Record Comments		Page Number 9 of 9
Annotation: # 6	Section: Asset	Date: 08/28/2013	Author: DANIEL B. SMITH	
C O M M E N T Roth IRA: USAA Cornerstone Moderately Aggressive Fund (Child)				
Annotation: # 7	Section: Asset	Date: 08/28/2013	Author: DANIEL B. SMITH	
C O M M E N T Roth IRA: USAA Cornerstone Moderately Aggressive Fund (Child)				
Annotation:	Section:	Date:	Author:	
C O M M E N T				
Annotation:	Section:	Date:	Author:	
C O M M E N T				
Annotation:	Section:	Date:	Author:	
C O M M E N T				