

Virginia Conflict of Interest and Ethics Advisory Council

STATE AND LOCAL STATEMENT OF ECONOMIC INTERESTS

NAME: Ralph S. Northam

OFFICE HELD OR SOUGHT: Governor	AGENCY NAME: Statewide Candidate	ARE YOU FILING THIS FORM AS A CANDIDATE FOR ELECTION TO THIS OFFICE? [X] Yes [] No	
BUSINESS ADDRESS:	STREET 2001 Jefferson Davis Highway, Suite 600	TELEPHONE:	
	CITY STATE ZIP Arlington VA 22202	OFFICE 804-592-1106	HOME REDACTED
EMAIL ADDRESS: REDACTED			
FIRST AND LAST NAMES OF MEMBERS OF IMMEDIATE FAMILY: Pam Northam, wife			

This Statement of Economic Interests will be available to the public via the searchable database on the Virginia Conflict of Interest and Ethics Advisory Council website, as required by § 30-356.

REPORT TO THE BEST OF INFORMATION AND BELIEF Information required on this Statement must be provided on the basis of the best knowledge, information, and belief of the individual filing the Statement as of the date of this report.

AFFIRMATION

I swear or affirm that the information provided on this statement is full, true, and correct to the best of my knowledge.

Ralph S. Northam (Electronically Signed: 3/27/2017 3:39:03 PM)

3/27/2017 3:39:03 PM

Signature of Officer or Employee

Date

Any filer who knowingly and intentionally makes a false statement of a material fact on the Statement of Economic Interests is guilty of a Class 5 felony.

State and Local Statement of Economic Interests

SCHEDULE A

OFFICES, DIRECTORSHIPS, AND EMPLOYMENT

NAME: Ralph S. Northam

QUESTIONS:

1. Do you or a member of your immediate family receive remuneration, benefits, or compensation for service as an officer or director of a business?

Yes [] No [X]

If yes, complete the table for each such business.

2. Do you or a member of your immediate family receive salary or wages in excess of \$5,000 annually from any employer? DO NOT INCLUDE salary received from a state or local governmental or advisory agency.

Yes [X] No []

If yes, complete the table for each such employer.

INSTRUCTIONS:

Disclose each:

- Business of which you or a member of your immediate family is an officer or director and receives remuneration, benefits, or compensation for service as an officer or director
- Employer paying you or a member of your immediate family salary or wages in excess of \$5,000 annually

NAME OF BUSINESS OR EMPLOYER	LOCATION OF BUSINESS OR EMPLOYER (CITY OR COUNTY, AND STATE)	POSITION HELD	BY WHOM	OFFICE OR DIRECTORSHIP OR EMPLOYMENT
Children's Specialty Group	Norfolk, VA	Founding Partner, medical practice	Ralph Northam	EMPLOYMENT
Lynnhaven River NOW	Virginia Beach, Virginia	Outreach Coordinator	Pam Northam	EMPLOYMENT

State and Local Statement of Economic Interests

SCHEDULE C

SECURITIES

NAME: Ralph S. Northam

QUESTION:

Do you or a member of your immediate family, separately or together, own securities valued in excess of \$5,000 invested in one business or Virginia governmental entity?

INCLUDE securities held in (i) trusts; (ii) individual retirement arrangements (IRAs); (iii) defined contribution plans, including plans established in accordance with sections 401, 403, or 457 of the Internal Revenue Code; and (iv) any other type of investment account.

INCLUDE securities not held in your name or the name of a member of your immediate family if you or a member of your immediate family retains the right to control such securities or the right to receive the income from such securities.

Yes [X]

No []

If yes, complete the table for each such security.

INSTRUCTIONS:

Disclose each business or Virginia governmental entity in which you or a member of your immediate family, separately or together, own securities valued in excess of \$5,000.

INCLUDE securities held in (i) trusts; (ii) individual retirement arrangements (IRAs); (iii) defined contribution plans, including plans established in accordance with sections 401, 403, or 457 of the Internal Revenue Code; and (iv) any other type of investment account.

INCLUDE securities not held in your name or the name of a member of your immediate family if you or a member of your immediate family retains the right to control such securities or the right to receive the income from such securities.

“Securities” INCLUDES:

- Stocks
- Bonds
- Mutual funds
- Limited partnerships
- Commodity futures contracts

“Securities” EXCLUDES:

- Defined benefit plans, including pension plans
- Certificates of deposit
- Money market funds
- Annuity contracts
- Insurance policies
- Securities issued by the U.S. government or other government securities not issued by the Commonwealth or its political subdivisions.

List the issuer and type of each security. List separately each security held in an IRA, defined contribution plan, or other type of investment account, if such security is valued in excess of \$5,000.

For defined contribution plans administered by the Commonwealth or its political subdivisions, list the administering agency as the issuer of the security, unless the security is held in a self-directed brokerage account, in which case list the issuer of the security.

NAME OF ISSUER OF SECURITY	TYPE OF SECURITY (STOCKS, BONDS, MUTUAL FUNDS, IRA, ETC.)	VALUE OF SECURITY
Pepsico	Stock	\$5,001 to \$50,000
Deutsche US Bd Index	Mutual Fund	\$5,001 to \$50,000
United States C 695	Equity	\$5,001 to \$50,000
US Cellular	Stock	\$5,001 to \$50,000
American Beacon Lg Cap	Mutual Fund	\$5,001 to \$50,000
Bank of America	Stock	\$5,001 to \$50,000
Dupont	Stock	\$5,001 to \$50,000
Vodafone	Stock	\$5,001 to \$50,000
General Electric	Stock	\$5,001 to \$50,000
Farm Bureau	Life Insurance Cash Value	\$5,001 to \$50,000
Coca Cola	Stock	\$5,001 to \$50,000
Massachusetts Investors Trust	Mutual Fund	\$5,001 to \$50,000
AT&T	Stock	\$5,001 to \$50,000
Eli Lilly	Stock	\$5,001 to \$50,000
Fidelity Diversified	Mutual Fund	\$5,001 to \$50,000
Pepeco Holdings	Stock	\$5,001 to \$50,000
Vanguard Short Term	Mutual Fund	\$50,001 to \$250,000
Vanguard Index FDS	Mutual Fund	\$50,001 to \$250,000
Deutsche Muni Bond	Mutual Fund	\$5,001 to \$50,000
IShares Russell 2000 ETF	Mutual Fund	\$50,001 to \$250,000
Verizon Communication	Stock	\$5,001 to \$50,000
Kraft Heinz	Stock	\$5,001 to \$50,000
IShares MSCI EAFE	Mutual Fund	\$5,001 to \$50,000
Dreyfus Muni Bond	Mutual Fund	\$5,001 to \$50,000
ING	403B	\$5,001 to \$50,000
Pimco High Yield	Mutual Fund	\$50,001 to \$250,000
Charles Schwab C 6%	Mutual Fund	\$5,001 to \$50,000
Pimco Total Return	Mutual Fund	\$50,001 to \$250,000
Johnson & Johnson	Stock	\$50,001 to \$250,000
Vanguard INTL Equity	Mutual Fund	\$5,001 to \$50,000
US Treasury Note	Bond	\$5,001 to \$50,000
Fidelity Cash Reserves	Mutual Fund	\$50,001 to \$250,000
WST Asset Manager	Mutual Fund	\$5,001 to \$50,000
Fidelity Emerging	Mutual Fund	\$50,001 to \$250,000
Norfolk Southern	Stock	\$5,001 to \$50,000
IShares Russell Midcap ETF	Mutual Fund	\$5,001 to \$50,000
IShares Core S&P 500	Mutual Fund	\$50,001 to \$250,000
Schwab US Large	ETF/Mutual Fund	\$5,001 to \$50,000
Kimberly Clark	Stock	\$50,001 to \$250,000
Loomis Sayles Global Bond	Mutual Fund	\$50,001 to \$250,000
Wisdom Tree Small Cap	Mutual Fund	\$5,001 to \$50,000

IShares Russell 1000	Mutual Fund	\$5,001 to \$50,000
Wisdom Tree Large Cap	Mutual Fund	\$5,001 to \$50,000
IShares 2000 Value	Mutual Fund	\$5,001 to \$50,000
Vanguard	Health Savings Account	\$5,001 to \$50,000
Caterpillar	Stock	\$50,001 to \$250,000
Chevron	Stock	\$5,001 to \$50,000
First Eagle High Yield	Mutual Fund	\$5,001 to \$50,000
Dominion Res	Stock	\$5,001 to \$50,000
Mondelez International	Stock	\$5,001 to \$50,000
XCEL Energy	Stock	\$5,001 to \$50,000
Vanguard Bond Index	Mutual Fund	\$50,001 to \$250,000
Schwab S&P 500	Mutual Fund	\$5,001 to \$50,000
Vanguard Short Term Bond	Mutual Fund	\$50,001 to \$250,000
IShares Russell Midcap Value	Mutual Fund	\$5,001 to \$50,000
IShares TR EAFE	Mutual Fund	\$5,001 to \$50,000

State and Local Statement of Economic Interests

SCHEDULE D

BUSINESS INTERESTS AND RENTAL PROPERTY

NAME: Ralph S. Northam

QUESTIONS:

1. Do you or a member of your immediate family own, separately or together, a business that has a value in excess of \$5,000?

OR

Do you or a member of your immediate family, separately or together, have an interest in a business and the interest owned by you or a member of your immediate family has a value in excess of \$5,000? DO NOT INCLUDE any securities disclosed on Schedule C.

Yes [X]

No []

If yes, complete Table 1.

2. Do you or a member of your immediate family own, separately or together, a rental property that has a value in excess of \$5,000?

OR

Do you or a member of your immediate family, separately or together, have an interest in a rental property and the interest owned by you or a member of your immediate family has a value in excess of \$5,000?

Yes [X]

No []

If yes, complete Table 2.

Table 1: Business Interests

INSTRUCTIONS:

Disclose each business owned by you or a member of your immediate family with a value in excess of \$5,000 and each interest in a business owned by you or a member of your immediate family with a value in excess of \$5,000. DO NOT REPORT any securities disclosed on Schedule C.

If the business is owned or operated under a trade, partnership, or corporate name, list that name. If the business is not owned or operated under a trade, partnership, or corporate name, describe the nature of the business.

NAME OF BUSINESS OR NATURE OF BUSINESS	LOCATION OF BUSINESS (CITY OR COUNTY, STATE, AND COUNTRY)	GROSS INCOME
Children's Specialty Group	Norfolk, Virginia, USA	MORE THAN \$250,000

Table 2: Rental Property

INSTRUCTIONS:

Disclose each rental property owned by you or a member of your immediate family with a value in excess of \$5,000 and each interest in rental property owned by you or a member of your immediate family with a value in excess of \$5,000.

List each rental property individually.

If the rental property is owned or recorded under a trade, partnership, or corporate name, list that name. **DO NOT LIST the street address for any rental property. No address will be redacted from this table.**

NAME IN WHICH RENTAL PROPERTY IS OWNED OR RECORDED	LOCATION OF RENTAL PROPERTY (CITY OR COUNTY, STATE, AND COUNTRY)	TYPE OF RENTAL PROPERTY (RESIDENTIAL, COMMERCIAL, ETC.)	GROSS INCOME
Ralph S. Northam and Thomas L. Northam	Onancock, Virginia, USA	Farm Lease	\$50,000 or LESS
Pam Northam and Ralph Northam	Virginia Beach, Virginia, USA	Rental Home	\$50,000 or LESS

State and Local Statement of Economic Interests

SCHEDULE E

REAL ESTATE

NAME: Ralph S. Northam

QUESTION:

Do you or a member of your immediate family, separately or together, hold an interest valued at more than \$5,000 in real property? DO NOT INCLUDE your principal residence or any real estate disclosed on Schedule D. INCLUDE real estate held in trust.

Yes [X]

No []

If yes, complete the table below.

INSTRUCTIONS:

Disclose all real estate in which you or a member of your immediate family holds an interest valued at more than \$5,000. List each parcel individually. INCLUDE real estate held in trust.

DO NOT REPORT:

- Your principal residence
- Any real estate disclosed on Schedule D

List only the city or county, state, and country where each real estate is located. **DO NOT LIST any street addresses. No addresses will be redacted from this schedule.**

List the name or names in which the real estate is owned or recorded. If you or a member of your immediate family holds an interest in the real estate but it is owned or recorded in a name other than your name or your immediate family member's name, list that name.

TYPE OF REAL ESTATE	LOCATION OF REAL ESTATE (CITY OR COUNTY, STATE, AND COUNTRY)	NAME OR NAMES IN WHICH REAL ESTATE IS OWNED OR RECORDED
Vacation Home	REDACTED	Ralph S. Northam and Joseph H. Conduff
Farmland, Barn	Modestown, Virginia, USA	Ralph S. Northam and Thomas L. Northam
Farmland, House	Onancock, Virginia, USA	Ralph S. Northam and Thomas L. Northam

State and Local Statement of Economic Interests

SCHEDULE G

GIFTS

NAME: Ralph S. Northam

QUESTION:

Did you or a member of your immediate family receive from any (i) lobbyist; (ii) lobbyist's principal; or (iii) contractor any gift or combination of gifts with a value exceeding \$50 during the prior calendar year?

For state officers and employees, a contractor is a person, organization, or business who is or is seeking to become a party to a contract with the state governmental or advisory agency of which you are an officer or an employee or over which you have the authority to direct such agency's activities.

DO NOT INCLUDE gifts with a value of less than \$20. Such items are exempted from the definition of a gift and should not be aggregated together or reported.

Yes

No

If yes, complete the table below.

INSTRUCTIONS:

Disclose each lobbyist, lobbyist's principal, or contractor that, during the prior calendar year, gave you or a member of your immediate family any gift or combination of gifts with a value exceeding \$50.

Identify the recipient and donor of each such gift. Disclose the exact gift or event, the date on which you accepted it, and the value of the gift. If an exemption from the \$100 gift cap established in § 2.2-3103.1 applies, mark the applicable exemption.

NAME OF RECIPIENT	NAME OF DONOR	EXACT GIFT OR EVENT	DATE ACCEPTED	VALUE	GIFT CAP EXEMPTION
Ralph and Pam Northam	Virginia Education Association	National Education Association Foundation's Salute to Excellence in Education Gala	February 10, 2017	\$500 (\$250 per ticket)	Widely attended event