

**SUBPOENA**

**BY AUTHORITY OF THE HOUSE OF REPRESENTATIVES OF THE  
CONGRESS OF THE UNITED STATES OF AMERICA**

To The Honorable Jacob Lew, Secretary

You are hereby commanded to be and appear before the  
Committee on Ways and Means

of the House of Representatives of the United States at the place, date, and time specified below.

- to produce the things identified on the attached schedule** touching matters of inquiry committed to said committee or subcommittee; and you are not to depart without leave of said committee or subcommittee.

Place of production: B-317 Rayburn House Office Building, Washington, DC 20515  
Date: February 3, 2016 Time: 12 p.m.

- to testify at a deposition** touching matters of inquiry committed to said committee or subcommittee; and you are not to depart without leave of said committee or subcommittee.

Place of testimony: \_\_\_\_\_  
Date: \_\_\_\_\_ Time: \_\_\_\_\_

- to testify at a hearing** touching matters of inquiry committed to said committee or subcommittee; and you are not to depart without leave of said committee or subcommittee.

Place of testimony: \_\_\_\_\_  
Date: \_\_\_\_\_ Time: \_\_\_\_\_

To any authorized staff member or the U.S. Marshals Service

\_\_\_\_\_ to serve and make return.

Witness my hand and the seal of the House of Representatives of the United States, at

the city of Washington, D.C. this 20<sup>th</sup> day of January, 2016.

[Signature]  
Chairman or Authorized Member

Attest:

[Signature]  
Clerk

**PROOF OF SERVICE**

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Subpoena for

The Honorable Jacob Lew, Secretary

Address Per agreement with Sandra Salstrom, U.S. Treasury Department Deputy Assistant Secretary

for Legislative Affairs, the service will be completed by e-mail to Sandra.Salstrom@treasury.gov.

before the Committee on Ways and Means

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*U.S. House of Representatives  
114th Congress*

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Served by (print name) Amanda H. Neely

Title Oversight Counsel, U.S. House Committee on Ways and Means

Manner of service E-mail transmission by consent

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Date \_\_\_\_\_

Signature of Server \_\_\_\_\_

Address 1136 Longworth House Office Building, Washington, DC 20515

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## **SCHEDULE**

**In accordance with the attached schedule instructions, you, Jacob Lew, are required to produce all records in unredacted form as described below:**

1. All documents and communications referring or relating to budget requests and the source of funding for cost-sharing reduction payments made by the Administration to health insurance issuers under Section 1402 of the Patient Protection and Affordable Care Act.

United States House of Representatives Committee on Ways and Means  
Schedule Instructions

1. The relevant time period for above-referenced documents is March 23, 2010, to November 20, 2014.
2. In complying with this subpoena, you are directed to produce all responsive documents that are in your possession, custody, or control, whether held by you or your past or present agents, employees, and representatives acting on your behalf. This standard obligates you to produce records that you have a legal right to obtain, that you have a right to copy or to which you have access, as well as records that you have placed in the temporary possession, custody, or control of any third party.
3. The Committee considers all members of a document “family” to be responsive if any single “member” of that “family” is responsive, regardless of whether the “family member” in question is “parent” or “child.”
4. Records, documents, data, or information responsive to this request should not be destroyed, modified, removed, transferred, or otherwise made inaccessible to the Committee on Ways and Means.
5. In the event that any entity, organization, or individual denoted in this subpoena has been, or is also known by, any other name than that herein denoted, the subpoena shall be read also to include them under that alternative identification.
6. Each document produced shall be produced in a form that renders the document capable of being copied.
7. Documents produced in response to this subpoena shall be produced together with copies of file labels, dividers, or identifying markers with which they were associated when this subpoena was served. To the extent that documents were not stored with file labels, dividers, or identifying markers, they shall be organized into separate folders by subject matter prior to production.
8. All documents or groups of documents produced shall be identified by the paragraph number in the subpoena schedule to which the documents or group of documents are responsive.
9. It shall not be a basis for refusal to produce documents that any other person or entity also possesses non-identical or identical copies of the same document.
10. If any of the subpoenaed information is available in machine-readable or electronic form (such as on a computer server, hard drive, CD, DVD, memory disk, or computer back-up tape), you shall consult with Committee staff to determine the appropriate format in which to produce the information. Documents produced in electronic format shall be organized, identified, and indexed electronically in a manner comparable to the organizational structure called for in Paragraph 7 above. Documents produced in an electronic format shall also be produced in a searchable format.

11. If compliance with the subpoena cannot be made in full, compliance shall be made to the extent possible, and your production shall be accompanied by a written explanation of why full compliance is not possible.
12. The Committee only recognizes constitutionally granted claims of privilege. If you believe a claim of privilege can be asserted to a specific response to this Request, please adhere to the following procedure. The Committee, in its sole discretion, will decide matters of privilege. Only withhold that discrete portion of a document over which you assert a claim of privilege or protection. In the event that a document is withheld in whole or in part on the basis of a privilege or protection, contemporaneously provide a privilege log containing the following information concerning each discrete claim of privilege or protection: (a) the privilege or protection asserted; (b) the type of document; (c) the date, author, and addressee; (d) the relationship of the author and addressee to each other; and (e) a general description of the nature of the document that, without revealing information itself privileged or protected, will enable the Chairman to assess your claim of privilege or protection. In an exercise of its discretion, the Chairman may deem a failure to strictly comply with these provisions as a waiver of any asserted privilege or protection.
13. In the event that a document is withheld on any basis, provide the following information concerning each and every such document withheld from production in writing: (a) the reason the document is not being produced; (b) the type of document; (c) the general subject matter; (d) the date, author, and addressee; and (3) the relationship of author and addressee to each other.
14. Identify any documents you believe to contain confidential or proprietary information.
15. If any document responsive to this subpoena was, but not longer is, in your possession, custody, or control, identify the document (stating its date, author, subject, and recipient(s)) and explain the circumstances by which the document ceased to be in your possession in writing.
16. If a date or other descriptive detail set forth in this subpoena referring to a document is inaccurate, but the actual date or other descriptive detail is known to you or is otherwise apparent from the context of the request, you should produce all documents which would be responsive as if the date or other descriptive detail were correct.
17. This request is continuing in nature and applies to any newly-discovered information as to the time period March 23, 2010, to November 201, 2014. Any responsive record, document, compilation of data or information not produced because it has not been located or discovered by the return date shall be produced immediately upon location or discovery subsequent thereto. If you discover any portion of your response is incorrect in a material respect, immediately and contemporaneously file with the Committee a certificate setting forth: (1) how you became aware of the defect in the response; (2) how the defect came about (or how you believe it to have come about); and (3) a detailed description of the steps you took to remedy the defect.
18. All documents shall be sequentially Bates-stamped and produced sequentially.

19. Two sets of responsive records shall be produced, one set to the Majority staff and one set to the Minority staff. The Majority set shall be delivered to Majority staff in Room B-317 of the Rayburn House Office Building, and the Minority set shall be delivered to the Minority staff at in room 1139 of the Longworth House Office Building. You shall consult with the Committee staff regarding the method of delivery prior to sending any material.
20. Upon completion of the document production, you should submit a written certification, signed by you or your counsel, stating that: (1) a diligent search has been completed of all documents in your possession, custody, or control which reasonably could contain responsive documents; (2) documents responsive to the request have not been destroyed, modified, removed, transferred, or otherwise made inaccessible to the Committee since the date of receiving the Committee's request or in anticipation of receiving the Committee's request; and (3) all documents identified during the search that are responsive have been produced to the Committee or identified in a privilege log provided to the Committee, as described in Paragraphs 12 and 13 above.

## Schedule Definitions

1. The term “document” means any written, recorded, or graphic matter of any nature whatsoever, regardless of how recorded, and whether original or copy, including but not limited to, the following: memoranda, reports, expense reports, books, manuals, instructions, financial reports, working papers, records, notes, letters, notices, confirmations, telegrams, receipts, appraisals, pamphlets, magazines, newspapers, prospectuses, interoffice and intra-office communications, electronic mail (“e-mail”), instant messages, calendars, contracts, cables, notations of any type of conversation, telephone call, meeting or other communication, bulletins, printed matter, computer printouts, invoices, transcripts, diaries, analyses, returns, summaries, minutes, bills, accounts, estimates, projections, comparisons, messages, correspondence, press releases, circulars, financial statements, reviews, opinions, offers, studies and investigations, questionnaires and surveys, power point presentations, spreadsheets, and work sheets. The term “document” includes all drafts, preliminary versions, alterations, modifications, revisions, changes, and amendments to any of the foregoing, as well as any attachments or appendices thereto. The term “document” also means any graphic or oral records or representations of any kind (including, without limitation, photographs, charts, graphs, voice mails, microfiche, microfilm, videotapes, recordings, and motion pictures), electronic and mechanical records or representations of any kind (including, without limitation, tapes, cassettes, disks, computer server files, computer hard drive files, CDs, DVDs, back up tape, memory sticks, recordings, and removable computer media such as thumb drives, flash drives, memory cards, and external hard drives), and other written, printed, typed, or other graphic or recorded matter of any kind or nature, however produced or reproduced, and whether preserved in writing, film, tape, electronic format, disk, videotape or otherwise. A document bearing any notation not part of the original text is considered to be a separate document. A draft or non-identical copy is a separate document within the meaning of this term.
2. The term “documents in your possession, custody or control” means (a) documents that are in your possession, custody, or control, whether held by you or your past or present agents, employees, or representatives acting on your behalf; (b) documents that you have a legal right to obtain, that you have a right to copy, or to which you have access; and (c) documents that have been placed in the possession, custody, or control of any third party.
3. The term “communication” means each manner or means of disclosure, transmission, or exchange of information, in the form of facts, ideas, opinions, inquiries, or otherwise, regardless of means utilized, whether oral, electronic, by document or otherwise, and whether face-to-face, in a meeting, by telephone, mail, e-mail, instant message, discussion, release, personal delivery, or otherwise.
4. The terms “and” and “or” should be construed broadly and either conjunctively or disjunctively as necessary to bring within the scope of this request any

information which might otherwise be construed to be outside its scope. The singular includes the plural number, and vice versa. The masculine includes the feminine and neuter genders.

5. The terms “person” or “persons” mean natural persons, firms, partnerships, associations, limited liability corporations and companies, limited liability partnerships, corporations, subsidiaries, divisions, departments, joint ventures, proprietorships, syndicates, other legal, business or government entities, or any other organization or group of persons, and all subsidiaries, affiliates, divisions, departments, branches, or other units thereof.
6. The terms “referring” or “relating,” with respect to any given subject, mean anything that constitutes, contains, embodies, reflects, identifies, states, refers to, deals with, or is in any manner whatsoever pertinent to that subject.
7. The term “employee” means and refers to any agent, borrowed employee, causal employee, consultant, de facto employee, joint adventurer, loaned employee, part-time employee, permanent employee, provisional employee, or any other type of service provider.
8. The term “Administration” means and refers to any department, agency, division, office, subdivision, entity, official, administrator, employee, attorney, agent, advisor, consultant, staff, or any other person acting on behalf or under the control or direction of the Executive Branch.
9. The term “health insurance issuer” means and refers to any insurance company, insurance service, or insurance organization offering group or individual health insurance coverage within the United States.
10. The terms “you” or “your” mean and refers to

For government recipients:

“You” or “your” means and refers to you as a natural person and the United States and any of its agencies, offices, subdivisions, entities, officials, administrators, employees, attorneys, agents, advisors, consultants, staff, or any other persons acting on your behalf or under your control or direction; and includes any other person(s) defined in the document request letter.