HAND DELIVERED

LEGISLATIVE RESOURCE CENTER
2014 JUN 26 PM 2: 15
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

June 26, 2014

The Honorable Karen L. Haas
Office of the Clerk
U.S. House of Representative
U.S. Capitol, Room H154
Washington, DC 20515-6601

Re: Amended Financial Disclosure Statement of Representative Katherine M. Clark

Dear Madam Clerk:

Enclosed please find my amended Financial Disclosure Statement. The enclosed represents an amendment to my prior Financial Disclosure Statement filed on April 30, 2014 ("April 30 Disclosure"). This letter is intended to aid your review of the attached and to respond to the House Committee on Ethics' letter of May 28, 2014 ("May 28 Letter") I received requesting certain additional details.

Since the May 28 Letter requested that I supplement specific information listed in Schedule A of the Financial Disclosure form, only Schedule A is attached to the enclosed Financial Disclosure Statement. For all other required financial disclosures made regarding other Schedules, please refer to my April 30 Disclosure.

The May 28 Letter requested supplemental information regarding the value of, and the type and amounts of income earned by, the following assets managed by LPL Financial: AQR Divrs Arbitrary, DoubleN TTL Re & Bol, EV FLT RT 1, EV National Municipal, Forward GLB, Hotchkiss High Yield, Pimco TTL, Western Asset Core, and Virtus Emerging Market. Please note that I have listed the requested details of these assets on page 3, lines 1-9 of the enclosed. Also note that "LPL Financial," which was listed on my April 30 Disclosure on page 3, line 5, is not an asset held, but the broker-dealer custodian of certain assets listed on the enclosed. Accordingly, LPL Financial is no longer listed on the enclosed.

The May 28 Letter also requested supplemental information regarding the value of, and the type and amounts of income earned by, assets held by SPS Advantage IRA accounts, including: Fidelity Advisor, Columbia Dividend, John Hancock Dividend, and MFS New Discovery. These assets fall under two separate IRA accounts along with other reportable assets, the details of which are listed on page 4, lines 9-16 and page 5, lines 1-16 of the attached. Please note that my April 30 Disclosure listed the SPS Advantage IRA accounts as "3PS Advantage IRA." The correct name of these accounts is "SPS Advantage IRA."

If you require additional information or clarification, please do not hesitate to contact me.

Very truly yours,

Katherine Clark

Katherine M. Clark

Enclosure

UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT

FORM B
For New Members, Candidates, and New Employees

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER
2014 JUN 26 PM 2: 15
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

Name: Katherine M. Clark

Daytime Telephone: (202) 225-2836

FILER STATUS

☒ New Member of or Candidate for U.S. House of Representatives — State: MA District: 5
Candidates – Date of Election: December 10, 2013

☐ New Officer or Employee
Employing Office: ____________

☒ Check if Amendment

Period Covered: January 1, 2012 to May 28, 2013.

A $200 penalty shall be assessed against any individual who files more than 30 days late.

PRELIMINARY INFORMATION – ANSWER EACH OF THESE QUESTIONS

A. Did you, your spouse, or your dependent child: a. Own any reportable asset that was worth more than $1,000 at the end of the reporting period? or b. Make more than $200 in unearned income from any reportable asset during the reporting period?	**Yes** ☒ **No** ☐	**E.** Did you hold any reportable positions during the reporting period or in the current calendar year up through the date of filing?	**Yes** ☒ **No** ☐
C. Did you or your spouse have "earned" income (*e.g.*, salaries, honoraria, or pension/IRA distributions) of $200 or more during the reporting period?	**Yes** ☒ **No** ☐	**F.** Do you have any reportable agreements or arrangements with an outside entity?	**Yes** ☒ **No** ☐
D. Did you, your spouse, or your dependent child have any reportable liability (more than $10,000) at any point during the reporting period?	**Yes** ☐ **No** ☒	**J.** Did you receive compensation of more than $5,000 from a single source in the current year and two prior years?	**Yes** ☐ **No** ☒

ATTACH THE CORRESPONDING SCHEDULE IF YOU ANSWER "YES"

THIS FORM INCLUDES ONLY THE SCHEDULES THAT YOU ARE REQUIRED TO COMPLETE

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION - ANSWER BOTH OF THESE QUESTIONS

***TRUSTS** – Details regarding "Qualified Blind Trusts" approved by the Committee on Ethics and certain other "excepted trusts" need not be disclosed. Have you excluded from* this report details of such a trust that benefits you, your spouse, or dependent child?	**Yes** ☐ **No** ☒
EXEMPTION – Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? Do not answer "yes" unless you have first consulted with the Committee on Ethics.	**Yes** ☐ **No** ☒

SCHEDULE A – ASSETS & "UNEARNED INCOME"

Name: Katherine M. Clark

Page 2 of 6

BLOCK A

Assets and/or Income Sources

Identify (a) each asset held for investment or production of income and with a fair market value *exceeding $1,000 at the end of the reporting period*, and (b) any other reportable asset or source of income which generated more than $200 in "unearned" income during the year.

Provide complete names of stocks and mutual funds (do not use only ticker symbols).

For **all IRAs** and other retirement plans (such as 401(k) plans) provide the value for each asset held in the account that exceeds the reporting thresholds.

For bank and other cash accounts, total the amount in **all** interest-bearing accounts. If the total is over $5,000, list every financial institution where there is more than $1,000 in interest bearing accounts.

For rental and other real property held for investment, provide a complete address or description, *e.g.*, "rental property," and a city and state.

For an ownership interest in a privately-held business that is not publicly traded, state the name of the business, the nature of its activities, and its geographic location in Block A.

Exclude: Your personal residence, including second homes and vacation homes (*unless* there was rental income during the reporting period); and any financial interest in, or income derived from, a federal retirement program, including the Thrift Savings Plan.

If you have a privately-traded fund that is an Excepted Investment Fund, please check the "EIF" box.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC), or jointly held with anyone (JT), in the optional column on the far left.

For a detailed discussion of Schedule A requirements, please refer to the instruction booklet.

BLOCK B

Value of Asset

Indicate value of asset at close of the reporting period. If you use a valuation method other than fair market value, *please specify the method used.*

If an asset was sold during the reporting period and is included only because it generated income, the value should be "None."

*Column M is for assets held by your spouse or dependent child in which you have no interest.

BLOCK C

Type of Income

Check all columns that apply. For accounts that generate tax-deferred income (such as 401(k), IRA, 529 accounts), *you may check* the "Tax-Deferred" column. **Dividends, interest, and capital gains, even if reinvested, must be disclosed as income for assets held in taxable accounts.** Check "None" if the asset generated no income during the reporting period.

BLOCK D

Amount of Income

For assets for which you checked "Tax-Deferred" in Block C, you may check the "None" column. For all other assets indicate the category of income by checking the appropriate box below. **Dividends, interest, and capital gains, even if reinvested, must be disclosed as income for assets held in taxable accounts.** Check "None" if no income was earned or generated.

*Column XII is for assets held by your spouse or dependent child in which you have no interest.

																								Current Year												Preceding Year											
SP, DC, JT		EIF	A	B	C	D	E	F	G	H	I	J	K	L	M	NONE	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED/BLIND TRUST	TAX-DEFERRED	Other Type of Income (Specify: *e.g.*, Partnership Income or Farm Income)	I	II	III	IV	V	VI	VII	VIII	IX	X	XI	XII	I	II	III	IV	V	VI	VII	VIII	IX	X	XI	XII
			None	$1-$1,000	$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	$1,000,001-$5,000,000	$5,000,001-$25,000,000	$25,000,001-$50,000,000	Over $50,000,000	Spouse/DC Asset over $1,000,000*									None	$1-$200	$201-$1,000	$1,001-$2,500	$2,501-$5,000	$5,001-$15,000	$15,001-$50,000	$50,001-$100,000	$100,001-$1,000,000	$1,000,001-$5,000,000	Over $5,000,000	Spouse/DC Income over $1,000,000*	None	$1-$200	$201-$1,000	$1,001-$2,500	$2,501-$5,000	$5,001-$15,000	$15,001-$50,000	$50,001-$100,000	$100,001-$1,000,000	$1,000,001-$5,000,000	Over $5,000,000	Spouse/DC Income over $1,000,000*
	Examples: Mega Corp Stock						X										X								X													X									
	Simon & Schuster				Indefinite																		Royalties					X													X						
	ABC Hedge Fund	X							X														Partnership Income						X													X					
	CO PERA 401(k) plan					X																X		X												X											
	–Dodge & Cox Fund																																														
	–Vanguard Instit. Fund																																														
	CO PERA					X																X		X												X											
	Judith Clark Irrevocable Trust										X						X			X				X																X							

Use additional sheets if more space is required.

SCHEDULE A – ASSETS & "UNEARNED INCOME"

Name: Katherine M. Clark

Page 3 **of** 6

BLOCK A Assets and/or Income Sources			BLOCK B Value of Asset													BLOCK C Type of Income								BLOCK D Amount of Income Current Year												Preceding Year											
SP, DC, JT	ASSET NAME	EIF	A None	B $1-$1,000	C $1,001-$15,000	D $15,001-$50,000	E $50,001-$100,000	F $100,001-$250,000	G $250,001-$500,000	H $500,001-$1,000,000	I $1,000,001-$5,000,000	J $5,000,001-$25,000,000	K $25,000,001-$50,000,000	L Over $50,000,000	M Spouse/DC Asset over $1,000,000*	NONE	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED/BLIND TRUST	TAX-DEFERRED	Other Type of Income (Specify: e.g., Partnership Income or Farm Income)	I None	II $1-$200	III $201-$1,000	IV $1,001-$2,500	V $2,501-$5,000	VI $5,001-$15,000	VII $15,001-$50,000	VIII $50,001-$100,000	IX $100,001-$1,000,000	X $1,000,001-$5,000,000	XI Over $5,000,000	XII Spouse/DC Income over $1,000,000*	I None	II $1-$200	III $201-$1,000	IV $1,001-$2,500	V $2,501-$5,000	VI $5,001-$15,000	VII $15,001-$50,000	VIII $50,001-$100,000	IX $100,001-$1,000,000	X $1,000,001-$5,000,000	XI Over $5,000,000	XII Spouse/DC Income over $1,000,000*
	--AQR Divrs Arbitrary				X												X			X					X											X											
	--DoubleN TTL Re & Bol				X												X			X						X											X										
	--EV FLT RT I		X														X			X				X												X											
	--EV National Municipal				X												X			X						X											X										
	--Forward GLB				X												X			X					X											X											
	--Hotchkiss High Yield				X												X			X				X												X											
	--Pimco TTL				X												X			X					X												X										
	--Western Asset Core				X												X			X					X												X										
	--Virtus Emerging Market				X												X			X					X											X											
	Sequoia Fund, Inc.								X								X			X				X												X											
DC	D1 Irrevocable Trust																																														
	--Sequoia Fund, Inc.					X											X			X				X												X											
	--John Hancock Freedom 529						X															X		X												X											
	--College portfolio				X																	X		X												X											
	--Fixed income					X																X		X												X											
	--Short term bond					X																X		X												X											

Use additional sheets if more space is required.

SCHEDULE A – ASSETS & "UNEARNED INCOME"

Name: Katherine M. Clark

Page 4 of 6

BLOCK A Assets and/or Income Sources			BLOCK B Value of Asset													BLOCK C Type of Income								BLOCK D Amount of Income																							
			A	B	C	D	E	F	G	H	I	J	K	L	M									Current Year												Preceding Year											
																								I	II	III	IV	V	VI	VII	VIII	IX	X	XI	XII	I	II	III	IV	V	VI	VII	VIII	IX	X	XI	XII
			None	$1-$1,000	$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	$1,000,001-$5,000,000	$5,000,001-$25,000,000	$25,000,001-$50,000,000	Over $50,000,000	Spouse/DC Asset over $1,000,000*	NONE	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED/BLIND TRUST	TAX-DEFERRED	Other Type of Income (Specify: e.g., Partnership Income or Farm Income)	None	$1-$200	$201-$1,000	$1,001-$2,500	$2,501-$5,000	$5,001-$15,000	$15,001-$50,000	$50,001-$100,000	$100,001-$1,000,000	$1,000,001-$5,000,000	Over $5,000,000	Spouse/DC Income over $1,000,000*	None	$1-$200	$201-$1,000	$1,001-$2,500	$2,501-$5,000	$5,001-$15,000	$15,001-$50,000	$50,001-$100,000	$100,001-$1,000,000	$1,000,001-$5,000,000	Over $5,000,000	Spouse/DC Income over $1,000,000*
SP, DC, JT	ASSET NAME	EIF																																													
DC	D2 Irrevocable Trust																																														
	--Sequoia Fund, Inc.					X											X			X				X												X											
	--John Hancock Freedom 529					X																X		X												X											
	--College, fixed income and short term bond portfolios				X																	X		X												X											
DC	D3 Irrevocable Trust																																														
	--Sequoia Fund, Inc.				X												X			X				X												X											
	--John Hancock Freedom 529					X																X		X												X											
	--College, fixed income and short term bond portfolios					X																X		X												X											
SP	SPS Advantage IRA (Traditional)						X										X			X		X					X											X									
	--American Beacon Flex Bond				X												X					X			X												X										
	--Colombia Dividend Income				X												X					X			X												X										
	--Fidelity Advisor Mid Cap				X												X			X		X			X												X										
	--Fidelity Advisor Floating Rate				X												X					X			X												X										
	--Fidelity Advisor New Insights				X												X					X			X											X											
	--John Hancock Income				X												X					X				X												X									
	--MFS New Discovery				X																	X		X												X											

Use additional sheets if more space is required.

SCHEDULE A – ASSETS & "UNEARNED INCOME"

Name: Katherine M. Clark

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BLOCK A Assets and/or Income Sources			BLOCK B Value of Asset												
			A	B	C	D	E	F	G	H	I	J	K	L	M
			None	$1-$1,000	$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	$1,000,001-$5,000,000	$5,000,001-$25,000,000	$25,000,001-$50,000,000	Over $50,000,000	Spouse/DC Asset over $1,000,000*
SP, DC, JT	ASSET NAME	EIF													
	--MFS Utilities				X										
	--Oppenheimer Developing Markets				X										
	--Western Asset Core Plus Bond			X											
SP	SPS Advantage IRA (SEP)						X								
	--Columbia Marisco Flex Cap				X										
	--Colombia Dividend Income				X										
	--Fidelity Advisor Mid Cap				X										
	--Fidelity Advisor Floating Rate				X										
	--Fidelity Advisor New Insights				X										
	--John Hancock Income				X										
	--Janus Triton				X										
	--MFS Bond				X										
	--*MFS Mass Investors Trust*				X										
	--Oppenheimer International Bond				X										
	--Oppenheimer Developing Markets				X										
	--Western Asset Core Plus Bond				X										

BLOCK A Assets and/or Income Sources			BLOCK C Type of Income							
			NONE	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED/BLIND TRUST	TAX-DEFERRED	Other Type of Income (Specify: e.g., Partnership Income or Farm Income)
SP, DC, JT	ASSET NAME	EIF								
	--MFS Utilities			X			X		X	
	--Oppenheimer Developing Markets			X					X	
	--Western Asset Core Plus Bond			X					X	
SP	SPS Advantage IRA (SEP)			X			X		X	
	--Columbia Marisco Flex Cap			X			X		X	
	--Colombia Dividend Income			X					X	
	--Fidelity Advisor Mid Cap			X			X		X	
	--Fidelity Advisor Floating Rate			X					X	
	--Fidelity Advisor New Insights			X					X	
	--John Hancock Income			X					X	
	--Janus Triton			X			X		X	
	--MFS Bond			X					X	
	--*MFS Mass Investors Trust*			X			X		X	
	--Oppenheimer International Bond			X			X		X	
	--Oppenheimer Developing Markets			X					X	
	--Western Asset Core Plus Bond			X					X	

BLOCK A Assets and/or Income Sources			BLOCK D Amount of Income											
			Current Year											
			I	II	III	IV	V	VI	VII	VIII	IX	X	XI	XII
			None	$1-$200	$201-$1,000	$1,001-$2,500	$2,501-$5,000	$5,001-$15,000	$15,001-$50,000	$50,001-$100,000	$100,001-$1,000,000	$1,000,001-$5,000,000	Over $5,000,000	Spouse/DC Income over $1,000,000*
SP, DC, JT	ASSET NAME	EIF												
	--MFS Utilities			X										
	--Oppenheimer Developing Markets			X										
	--Western Asset Core Plus Bond			X										
SP	SPS Advantage IRA (SEP)					X								
	--Columbia Marisco Flex Cap				X									
	--Colombia Dividend Income			X										
	--Fidelity Advisor Mid Cap			X										
	--Fidelity Advisor Floating Rate			X										
	--Fidelity Advisor New Insights			X										
	--John Hancock Income				X									
	--Janus Triton			X										
	--MFS Bond				X									
	--*MFS Mass Investors Trust*			X										
	--Oppenheimer International Bond			X										
	--Oppenheimer Developing Markets			X										
	--Western Asset Core Plus Bond				X									

BLOCK A Assets and/or Income Sources			BLOCK D Amount of Income											
			Preceding Year											
			I	II	III	IV	V	VI	VII	VIII	IX	X	XI	XII
			None	$1-$200	$201-$1,000	$1,001-$2,500	$2,501-$5,000	$5,001-$15,000	$15,001-$50,000	$50,001-$100,000	$100,001-$1,000,000	$1,000,001-$5,000,000	Over $5,000,000	Spouse/DC Income over $1,000,000*
SP, DC, JT	ASSET NAME	EIF												
	--MFS Utilities			X										
	--Oppenheimer Developing Markets			X										
	--Western Asset Core Plus Bond			X										
SP	SPS Advantage IRA (SEP)				X									
	--Columbia Marisco Flex Cap			X										
	--Colombia Dividend Income			X										
	--Fidelity Advisor Mid Cap			X										
	--Fidelity Advisor Floating Rate			X										
	--Fidelity Advisor New Insights		X											
	--John Hancock Income			X										
	--Janus Triton			X										
	--MFS Bond			X										
	--*MFS Mass Investors Trust*			X										
	--Oppenheimer International Bond			X										
	--Oppenheimer Developing Markets			X										
	--Western Asset Core Plus Bond			X										

Use additional sheets if more space is required.

SCHEDULE A – ASSETS & "UNEARNED INCOME"

Name: Katherine M. Clark

Page 6 of 6

BLOCK A Assets and/or Income Sources			BLOCK B Value of Asset													BLOCK C Type of Income								BLOCK D Amount of Income																							
																								Current Year												Preceding Year											
SP, DC, JT	ASSET NAME	EIF	A None	B $1-$1,000	C $1,001-$15,000	D $15,001-$50,000	E $50,001-$100,000	F $100,001-$250,000	G $250,001-$500,000	H $500,001-$1,000,000	I $1,000,001-$5,000,000	J $5,000,001-$25,000,000	K $25,000,001-$50,000,000	L Over $50,000,000	M Spouse/DC Asset over $1,000,000*	NONE	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED/BLIND TRUST	TAX-DEFERRED	Other Type of Income (Specify: e.g., Partnership Income or Farm Income)	I None	II $1-$200	III $201-$1,000	IV $1,001-$2,500	V $2,501-$5,000	VI $5,001-$15,000	VII $15,001-$50,000	VIII $50,001-$100,000	IX $100,001-$1,000,000	X $1,000,001-$5,000,000	XI Over $5,000,000	XII Spouse/DC Income over $1,000,000*	I None	II $1-$200	III $201-$1,000	IV $1,001-$2,500	V $2,501-$5,000	VI $5,001-$15,000	VII $15,001-$50,000	VIII $50,001-$100,000	IX $100,001-$1,000,000	X $1,000,001-$5,000,000	XI Over $5,000,000	XII Spouse/DC Income over $1,000,000*
	MA State Pension		Undetermined																				Pension	X												X											

Use additional sheets if more space is required.