

# UNITED STATES HOUSE OF REPRESENTATIVES 2013 FINANCIAL DISCLOSURE STATEMENT

Form A  
For Use by Members, Officers, and Employees

**HAND DELIVERED** Page 1 of 22  
LEGISLATIVE RESOURCE CENTER  
2014 AUG 12 PM 4:18

Name: Katherine M. Clark Daytime Telephone: 202 225 2836

*ML*  
OFFICE OF THE CLERK  
U.S. HOUSE OF REPRESENTATIVES  
(Office Use Only)

FILER STATUS	<input checked="" type="checkbox"/> Member of or Candidate for U.S. House of Representatives	State: _____ District: _____	<input type="checkbox"/> Officer or Employee	Employing Office: _____
REPORT TYPE	<input checked="" type="checkbox"/> 2013 Annual (Due: May 15, 2014)	<input type="checkbox"/> Amendment	<input type="checkbox"/> Termination Date: _____	

## 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? <u>or</u> b. Make more than \$200 in unearned income from any reportable asset during the reporting period?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	F. Did you have any reportable agreement or arrangement with an outside entity during the reporting period or in the current calendar year up through the date of filing?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
B. Did you, your spouse, or your dependent child purchase, sell, or exchange any securities or reportable real estate in a transaction exceeding \$1,000 during the reporting period?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	G. Did you, your spouse, or your dependent child receive any reportable gift(s) totaling more than \$350 in value from a single source during the reporting period?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
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 <input checked="" type="checkbox"/> No <input type="checkbox"/>	H. Did you, your spouse, or your dependent child receive any reportable travel or reimbursements for travel totaling more than \$350 in value from a single source during the reporting period?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
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 <input checked="" type="checkbox"/> No <input type="checkbox"/>	I. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article during the reporting period?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
E. Did you hold any reportable positions during the reporting period or in the current calendar year up through the date of filing?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	ATTACH THE CORRESPONDING SCHEDULE IF YOU ANSWER "YES"	

## IPO, EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION - ANSWER EACH OF THESE QUESTIONS

IPO - Did you purchase any shares that were allocated as a part of an Initial Public Offering during the reporting period? If you answered "yes" to this question, please contact the Committee on Ethics for further guidance.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
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 <input type="checkbox"/> No <input checked="" type="checkbox"/>
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 <input type="checkbox"/> No <input checked="" type="checkbox"/>

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**Use additional sheets if more space is required.**

# **SCHEDULE A – ASSETS & “UNEARNED INCOME”**

Name: Katherine M. Clark

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BLOCK A Asset and/or Income Source		BLOCK B Value of Asset													BLOCK C Type of Income							BLOCK D Amount of Income												BLOCK E Transaction			
SP, DC, JT	ASSET NAME	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	P, S, (Spent), or E		
	- Corporate Capital Trust															X																				P	
	- ES Energy and Power Fund															X																				P	
	- Cash																	X																		P	
	- BP PLC ADL Equity															X																				P	
	- 3M Co															X																				P	
	- Adobe Inc															X																				P	
	- Accenture PLC															X																				P	
	- Atlas Air Inc MLP															X																				P	
	- Ameriprise Financial															X																				P	
	- Apple Computer															X																				P	
	- Best Foods Inc															X																				P	
	- Boeing Company															X																				P	
	- Chevron Corp															X																				P	
	- CMR Group Inc															X																				P	
	- Coca-Cola Co															X																					P
	- Conoco Phillips															X																					P

# SCHEDULE A - ASSETS & "UNEARNED INCOME"

Name: Katherine M. Clark

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BLOCK A Asset and/or Income Source		BLOCK B Value of Asset													BLOCK C Type of Income							BLOCK D Amount of Income												BLOCK E Transaction			
SP, DC, JT	ASSET NAME	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	P, S, S(part), or E		
	- Eastern Corp Pte															X																					
	- Emerson Electric															X																					
	- Garrett Company															X																					
	- General Electric															X																					
	- Home Depot Inc															X																					
	- Inth Business Mech.															X																					
	- Johnson & Johnson															X																					
	- Johnson Controls															X																					
	- JPMorgan Chase															X																					
	- KVA Tencor Corp															X																					
	- Las Vegas Sands															X																					
	- Lockheed Martin															X																					
	- Lyondellbasell Ind.															X																					
	- Mattel Inc															X																					
	- Merck & Co															X																					
	- Microsoft Corp															X																					

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**Use additional sheets if more space is required.**

# SCHEDULE A - ASSETS & "UNEARNED INCOME"

Name: Katherine W Clark

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BLOCK A Asset and/or Income Source		BLOCK B Value of Asset													BLOCK C Type of Income							BLOCK D Amount of Income												BLOCK E Transaction			
ASSET NAME	EF	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	H	W	N	V	VI	VII	VIII	IX	X	XI	XII	P, S, S(part), or E		
Adison Tree Midcap																																					
Adison Tree Small Cap																																					
Adm. Micro Dev. Inc SE JT																																					
Allegany Tech Inc FE																																					
Ally Fin. Ltd SE FE																																					
Ally Fin. Mid Term MTS FE																																					
Americas Fin Co LTD Fixed																																					
AmSouth Bancorp. Sub Delo																																					
Arkland Inc New LTD FE																																					
Chemtrac Co LTD FE SE																																					
Chesapeake Energy Co LTD SE																																					
Chesapeake Energy Co SE NT																																					
Clear Harbors LTD FID SE																																					
Cliffs Nat Res FID SE NT																																					
Electronics Intl Ltd SE NT																																					
Microsoft Corp NT																																					

# SCHEDULE A - ASSETS & "UNEARNED INCOME"

Name: Katherine W Clark

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BLOCK A Asset and/or Income Source		BLOCK B Value of Asset													BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction			
SP, DC, JT	ASSET NAME	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	P, S, S(part), or E	
	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 Asset with 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 Asset with income over \$1,000,000*																																			
	None																																			
	\$1-\$200																																			
	\$201-\$1,000																																			
	\$1,001-\$2,500																																			
	\$2,501-\$5,000																																			
	\$5,001-\$15,000																																			
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	\$100,001-\$1,000,000																																			
	\$1,000,001-\$5,000,000																																			
	Over \$5,000,000																																			
	Spouse/DC Asset with 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 Asset with income over \$1,000,000*																																			
	None																																			

# SCHEDULE A - ASSETS & "UNEARNED INCOME"

Name: Katherine M Clark

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BLOCK A Asset and/or Income Source		BLOCK B Value of Asset													BLOCK C Type of Income							BLOCK D Amount of Income												BLOCK E Transaction			
ASSET NAME	EF	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	P, S, S(part), or E		
ADUSTERS RENTUS H Y																																					
Alameda AZ Muni Bond																																					
Camden City Muni Bond																																					
Nebraska Corp Rep Bond																																					
New Orleans LA Muni Bond																																					
Oakland City Muni Bond																																					
Quinto Rico Govt New Bond																																					
Aspen Fds Monteg																																					
Calwell Growth																																					
MOG Fnds Div Arctcl																																					
ABV Tmoe Circ Fund																																					
TC Govt Value Ed																																					
Dodge Cox Stock Fund																																					
Trueline Fnds Int Rel																																					
EV Muni Nat Muni																																					
Harford MFC Corp Appo Ed																																					



# SCHEDULE A - ASSETS & "UNEARNED INCOME"

Name: Katherine W Clark

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BLOCK A Asset and/or Income Source		BLOCK B Value of Asset													BLOCK C Type of Income							BLOCK D Amount of Income												BLOCK E Transaction		
SP, DC, JT	ASSET NAME	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	P, S, S(part), or E	
	-Hedley's Willey HY FD																																			
	-JPMorgan Trl Income Equity																																			
	-Lord Abbett Inv't Tr Struct Inv																																			
	-MFS Sector Resd Fd																																			
	-Well's Fargo Adv Div Cap																																			
	-Northern Asset Cse Absd Fd																																			
	-Sagevia Fund																																			
	-NCD Insecurable Trust																																			
	-Sagevia Fund																																			
	-John Hancock 529																																			
	-College Portfolio																																			
	-Fixed Income																																			
	-Short Term Bond																																			
	-NCD Insecurable Trust																																			
	-Sagevia Fund																																			
	-John Hancock 529																																			

# SCHEDULE A - ASSETS & "UNEARNED INCOME"

Name: Katherine M Clark

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BLOCK A Asset and/or Income Source		BLOCK B Value of Asset													BLOCK C Type of Income							BLOCK D Amount of Income												BLOCK E Transaction			
SP, DC, JT	ASSET NAME	None	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	P, S, S(part), or E	
	- College Portfolio																																				
	- Fixed Income																																				
	- Short Term Bond																																				
	DC D3 Irrevocable Trust																																				
	- Segovia Fund																																				
	- John Hancock 529																																				
	- College Portfolio																																				
	- Fixed Income																																				
	- Short Term Bond																																				
	SP Ameriprise Trad. IRA																																				
	- American Beacon Flex Bd																																				
	- Columbia Div Income																																				
	- Fidelity Adv. Div Cap																																				
	- John Hancock Income																																				
	- MFS News Discovery																																				
	- MFS Utilities																																				

# SCHEDULE A - ASSETS & "UNEARNED INCOME"

Name: Katherine M Clark

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BLOCK A Asset and/or Income Source		BLOCK B Value of Asset														BLOCK C Type of Income							BLOCK D Amount of Income												BLOCK E Transaction	
SP, DC, JT	ASSET NAME	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	P, S, S(part), or E	
	- Openheimer Dev Mkts															X																				
	- West Asset Corp Plus Bd															X																				
	- American SEC IRA																																			
	- Columbia World Flx															X																				
	- Columbia Dividend															X																				
	- Fidelity Adv Mid Cap															X																				
	- Fidelity Divd New Insight															X																				
	- John Hancock Income															X																				
	- Invesco Totten															X																				
	- MFS Bond															X																				
	- MFS Mass Inv Trust															X																				
	- Openheimer Intl Bond															X																				
	- Openheimer Dev Mkts															X																				
	- West Asset Corp Plus Bd															X																				
	- Bank of America Acct																																			

# SCHEDULE B - TRANSACTIONS

Name: Katherine M Clark

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SP, DC, JT		Asset	Type of Transaction				Date	(MOD/AT) or Quarterly, Monthly, or Bi-weekly, if applicable	Amount of Transaction									
SP	Example		Purchase	Sale	Partial Sale	Exchange			A \$0-\$15,000	B \$15,001-\$50,000	C \$50,001-\$100,000	D \$100,001-\$250,000	E \$250,001-\$500,000	F \$500,001-\$1,000,000	G \$1,000,001-\$5,000,000	H \$5,000,001-\$25,000,000	I \$25,000,001-\$50,000,000	J Over \$50,000,000
		Corporate Capital Trust (fund)	X															
		ES Energy and Power Fund	X															
		BP PLC 3402 Equity	X															
		3M CO Stock	X															
		Adobe Inc Stock	X															
		Adventure PLC Stock	X															
		Alps Appenian MLP Stock	X															
		American Financial Stock	X															
		Apple Computer Stock	X															
		B&G Foods Inc Stock	X															
		Boeing Company Stock	X															
		Chesam Corp Stock	X															
		CMZ Group Inc Stock	X															
		Case-Dele Company Stock	X															
		Comaco Phillips Stock	X															
		Cash Corp PLC Stock	X															
		Emerson Electric Co Stock	X															
		"	X															
		Barnett Co. Inc Stock	X															

# SCHEDULE B - TRANSACTIONS

Name: Katherine W Clark

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SP, DC, JT		Asset	Type of Transaction				Check Box if Capital Gain Exceeded \$200	Date	Amount of Transaction										
SP	JT	Example	Purchase	Sale	Partial Sale	Exchange		(MCDAR) or Quarterly, Monthly, or Bi-weekly, if applicable	A \$1,001-\$15,000	B \$15,001-\$50,000	C \$50,001-\$100,000	D \$100,001-\$250,000	E \$250,001-\$500,000	F \$500,001-\$1,000,000	G \$1,000,001-\$5,000,000	H \$5,000,001-\$25,000,000	I \$25,000,001-\$50,000,000	J Over \$50,000,000	K Over \$1,000,000* (Spouse/DC Asset)
		General Electric Co Stock	X				X	3/5/13		X									
		Home Depot Inc Stock	X					6/4/13		X									
		IBM Stock	X					6/4/13		X									
		Johnson + Johnson Stock	X					11/6/13	X										
		Johnson Controls Stock	X					6/4/13		X									
		JPMorgan Chase Stock	X					6/4/13		X									
		"	X					12/4/13	X										
		VIA Tower Corp Stock	X					10/11/13	X										
		"	X					10/23/13	X										
		Las Vegas Sands Corp Stock	X					6/4/13		X									
		Lockheed Martin Corp Stock	X					6/4/13		X									
		Lundell Bassell Ind IV Stock	X					10/11/13	X										
		"	X					10/23/13	X										
		Market Inc Stock	X					6/4/13	X										
		"	X					11/6/13	X										
		Merck & Co Inc Stock	X					6/4/13		X									
		Microsoft Corp Stock	X					6/4/13	X										
		"	X					11/6/13	X										
		Nextera Energy Stock	X					6/4/13		X									

# SCHEDULE B - TRANSACTIONS

Name: Katherine M Clark

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Report any purchase, sale, or exchange transactions that exceeded \$1,000 in the reporting period of any security or real property held by you, your spouse, or your dependent child for investment or the production of income. Include transactions that resulted in a capital loss. Provide a brief description of an exchange transaction. Exclude transactions between you, your spouse, or dependent children, or the purchase or sale of your personal residence, unless it generated rental income. If only a portion of an asset is sold, please choose "partial sale" as the type of transaction.		Type of Transaction				Date (MO/DA/YR) or Quarterly, Monthly, or Bi- weekly, if applicable	Amount of Transaction										
SP, DC, JT	Asset	Purchase	Sale	Partial Sale	Exchange	Check Box if Capital Gain Exceeded \$200	A \$1,001- \$15,000	B \$15,001- \$50,000	C \$50,001- \$100,000	D \$100,001- \$250,000	E \$250,001- \$500,000	F \$500,001- \$1,000,000	G \$1,000,001- \$5,000,000	H \$5,000,001- \$25,000,000	I \$25,000,001- \$50,000,000	J Over \$50,000,000	K Over \$1,000,000* (Spouse/DC Asset)
Example	Mega Corp Stock			X		X		X									
	Norfolk Southern Corp stock	X					X										
	PFizer Inc stock	X						X									
	Philip Morris Inc stock	X						X									
	PNC Financial Services stock	X						X									
	Pandora Media Group stock	X						X									
	PPG Industries Inc stock	X						X									
	Qualcomm stock	X						X									
	The Walt Disney Co stock	X						X									
	Time Warner Cable stock	X						X									
	Travelers Cos stock	X						X									
	United Parcel Service stock	X						X									
	Verizon Communications stock	X						X									
	Wellpoint Inc stock	X						X									
	Wells Fargo & Co stock	X						X									
	Williams-Sonoma Inc stock	X						X									
	Wishbone Mudcap Fund	X						X									
	WisdomTree Small Cap Fund	X						X									
	Advanced Micro Devices Inc Bond	X						X									
	Allgeney Tech, Inc Bond Fund	X						X									

# SCHEDULE B - TRANSACTIONS

Name: Katharine W Clark

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Report any purchase, sale, or exchange transactions that exceeded \$1,000 in the reporting period for any security or real property held by you, your spouse, or your dependent child for investment or the production of income. Include transactions that resulted in a capital loss. Provide a brief description of an exchange transaction. Exclude transactions between you, your spouse, or dependent children, or the purchase or sale of your personal residence, unless it generated rental income. If only a portion of an asset is sold, please choose "partial sale" as the type of transaction.										Type of Transaction				Date		Amount of Transaction																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																												
Capital Gains: If a sales transaction resulted in a capital gain in excess of \$200, check the "capital gains" box, unless it was an asset in a tax-deferred account, and disclose the capital gain income on Schedule A.										Purchase	Sale	Partial Sale	Exchange	Check Box if Capital Gain Exceeded \$200	(M/D/Y) or Quantity, Monthly, or Bi-weekly, if applicable	A	B	C	D	E	F	G	H	I	J	K																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																		
* Column K is for assets solely held by your spouse or dependent child.																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																												
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# SCHEDULE B - TRANSACTIONS

Name: Katherine W. Clark Page 16 of 22

Report any purchase, sale, or exchange transactions that exceeded \$1,000 in the reporting period of any security or real property held by you, your spouse, or your dependent child for investment or the production of income. Include transactions that resulted in a capital loss. Provide a brief description of an exchange transaction. Exclude transactions between you, your spouse, or dependent children, or the purchase or sale of your personal residence, unless it generated rental income. If only a portion of an asset is sold, please choose "partial sale" as the type of transaction.

Capital Gains: If a sales transaction resulted in a capital gain in excess of \$200, check the "capital gains" box, unless it was an asset in a tax-deferred account, and disclose the capital gain income on Schedule A.

\* Column K is for assets solely held by your spouse or dependent child.

SP, DC, JT	Asset	Type of Transaction				Check Box if Capital Gain Exceeded \$200	Date (MM/DD/YY or Quarterly, Monthly, or Bi- weekly, if applicable)	Amount of Transaction										
		Purchase	Sale	Partial Sale	Exchange			A \$1,001- \$15,000	B \$15,001- \$50,000	C \$50,001- \$100,000	D \$100,001- \$250,000	E \$250,001- \$500,000	F \$500,001- \$1,000,000	G \$1,000,001- \$5,000,000	H \$5,000,001- \$25,000,000	I \$25,000,001- \$50,000,000	J Over \$50,000,000	K Over \$1,000,000* (Spouse/DC Asset)
SP	Example Mega Corp. Stock			X		X	3/5/13		X									
	Stone Energy Corp. 6TD Fixed Bond	X					11/24/13	X										
	United Healthcare Corp. 5% SEC'd Bond	X					9/5/13	X										
	Tesoro Corp. 5% 17 Bond	X					7/24/13	X										
	TMobile 18% 5% 6TD 5% 6TD Bond	X					10/19/13	X										
	Toll Bros. Fin. Corp. Bond	X					11/19/13	X										
	Trex Co. Fin. LLC 6TD 5% 17 Bond	X					11/21/13	X										
	Woodward-Clyde Corp. 14% 1998 Variable Bond	X					3/16/13		X									
	Wynn Las Vegas LLC Bond	X					8/15/13	X										
	2 sons Entertainment Med. Term Bond	X					7/11/13	X										
	ADVISORS Partners High Yield SATF	X					10/15/13		X									
	Amendable A2 Muni Bond	X					7/21/13	X										
	"	X					7/18/13	X										
	Camden County A15 Muni Bond	X					6/26/13	X										
	Nebaska Corp. Reg. Rate Muni Bond	X					8/18/13		X									
	New Orleans 1A Muni Bond	X					7/15/13	X										
	Oakland COTW1 Muni Bond	X					7/15/13		X									
	Florida Rice 1st Div. Bond	X					10/8/13	X										
	Aston Funds Monitor Caldwell Growth	X					10/2/13	X										
	Adv. Inn Car Fund 1st Value FA	X					03/13	X										



# **SCHEDULE B - TRANSACTIONS**

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SP, DC, JT		Type of Transaction				Check Box if Capital Gain Exceeded \$200	Date (MM/DD/YYYY) or Quarterly, or Bi-weekly, if applicable	Amount of Transaction										
SP	Example	Purchase	Sale	Partial Sale	Exchange			A \$1,001-\$15,000	B \$15,001-\$50,000	C \$50,001-\$100,000	D \$100,001-\$250,000	E \$250,001-\$500,000	F \$500,001-\$1,000,000	G \$1,000,001-\$5,000,000	H \$5,000,001-\$25,000,000	I \$25,000,001-\$50,000,000	J Over \$50,000,000	K Over \$1,000,000* (Spouse/DC Asset)
	Dodge Cox Stock Funds	X				X	Q3'13	X										
	Heartford MF Cap App. Fund	X					Q3'13	X										
	JF Morgan Tr I Strat Inc. Opp.	X					Q3'13	X										
	Lord Abbott Tr Int Strat Div Incm	X					Q3'13	X										
	MES Ser Tr V Cash FD Cl 1	X					Q3'13	X										
	Wells Fargo Advd Divrs Cap Bldg FD	X					Q3'13	X										
	Forward 62B		X				Q3'13	X										
	Pimco TIL		X				Q3'13	X										
	Virtus Emerging Market		X				Q3'13	X										

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**INCOME LIMITS AND PROHIBITED INCOME:** The 2013 limit on outside earned income for Members and employees compensated at or above the "senior staff" rate was \$26,955. In addition, certain types of income (notably honoraria, director's fees, and payments for professional services involving a fiduciary relationship) were totally prohibited.

[illegible]

# **SCHEDULE D - LIABILITIES**

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Report liabilities of over \$10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or your dependent child. Mark the highest amount owed during the reporting period. **Members:** Members are required to report all liabilities secured by real property including mortgages on their personal residence. **Exclude:** Any mortgage on your personal residence (unless you rent it out or are a Member); loans secured by automobiles, household furniture, or appliances; liabilities of a business in which you own an interest (unless you are personally liable); and liabilities owed to you by a spouse or the child, parent, or sibling of you or your spouse. Report a revolving charge account (i.e., credit card) only if the balance at the close of reporting period exceeded \$10,000. \*Column K is for liabilities held solely by your spouse or dependent child.

SP, DC, JT	Creditor	Date Liability Incurred MO/YR	Type of Liability	Amount of Liability										
				A	B	C	D	E	F	G	H	I	J	K
				\$10,001-\$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	Over \$1,000,000* (Spouse/DC Liability)
Example	First Bank of Wilmington, DE	5/98	Mortgage on Rental Property, Dover, DE				X							
	N/A													

# **SCHEDULE E - POSITIONS**

Report all positions, compensated or uncompensated, held during the current or prior calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, nonprofit organization, labor organization, or educational or other institution other than the United States. **Exclude:** Positions listed in Schedule C; positions held in any religious, social, fraternal, or political entities (such as political parties and campaign organizations); and positions solely of an honorary nature.

Position	Name of Organization
Corporator	The Savings Bank (Wakefield MA)
Board Member	UMASS Boston Center for Women in Politics and Public Policy (MA)
Advisory Council	Department of Early Education and Care (MA)

# **SCHEDULE F – AGREEMENTS**

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Identify the date, parties to, and general terms of any agreement or arrangement that you have with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties to Agreement	Terms of Agreement
	N/A	

# **SCHEDULE G – GIFTS**

Report the source (including name, city, and state), a brief description, and the value of all gifts totaling more than \$350 received by you, your spouse, or a dependent child from any source during the year. **Exclude:** Gifts from relatives, gifts of personal hospitality from an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of \$140 or less need not be added towards the \$350 disclosure threshold. **Note:** The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
<i>Example:</i> Mr. Joseph Smith, Arlington, VA	Silver Platter (determination of personal friendship received from the Ethics Committee)	\$400
N/A		

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**EXCLUDE:** Privately-sponsored travel approved by the Ethics Committee, if post-travel disclosure was filed with the Clerk; travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (F.G.D.A., 5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to the filer.

[illegible]

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[illegible]