



Filing ID #10001860

# FINANCIAL DISCLOSURE REPORT

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## FILER INFORMATION

**Name:** Emily Ann Cain  
**Status:** Congressional Candidate  
**State/District:** ME02

## FILING INFORMATION

**Filing Type:** Candidate Report  
**Filing Year:** 2014  
**Filing Date:** 05/14/2014

## SCHEDULE A: ASSETS AND "UNEARNED" INCOME

| Asset   | Owner | Value of Asset       | Income Type(s)     | Income Current Year to Filing | Income Preceding Year |
|---|-------|----------------------|--------------------|-------------------------------|-----------------------|
| Allianz   | SP    | \$50,001 - \$100,000 | None               |                               |                       |
| Emerald Group, LLC  | SP    | None                 | Partnership Income | None                          | \$5,001 - \$15,000    |
| DESCRIPTION: The Emerald Group, LLC formerly owned Hubbard Farms, a condominium development in Orono. All of the units have been sold at this point and the remaining income is from the final transfer of ownership. |       |                      |                    |                               |                       |
| Growth Fund of America A-IRA  |       | \$1,001 - \$15,000   | Tax-Deferred       | None                          | None                  |
| Maine Public Employee Retirement System   |       | \$1,001 - \$15,000   | None               |                               |                       |
| Means Investments ⇒<br>American International Group, Inc. New (AIG)   | SP    | \$1 - \$1,000        | None               |                               |                       |
| Means Investments ⇒<br>American International Group, Inc. Warrant<br>expiring January 19, 2021 (AIG.W)  | SP    | \$1 - \$1,000        | None               |                               |                       |
| Means Investments ⇒<br>Citigroup, Inc. (C)  | SP    | \$1 - \$1,000        | None               |                               |                       |

| Asset  | Owner | Value of Asset        | Income Type(s) | Income Current Year to Filing | Income Preceding Year |
|--|-------|-----------------------|----------------|-------------------------------|-----------------------|
| Means Investments ⇒<br>Ford Motor Company (F)        | SP    | \$1,001 - \$15,000    | None           |                               |                       |
| Means Investments ⇒<br>General Electric Company (GE) | SP    | \$1 - \$1,000         | None           |                               |                       |
| Single Family Rental                                 | JT    | \$100,001 - \$250,000 | Rent           | \$2,501 - \$5,000             | \$5,001 - \$15,000    |
| LOCATION: Orono, ME, US                              |       |                       |                |                               |                       |
| TIAA-CREF ⇒<br>CREF GLOBAL EQUITIES                  |       | \$1,001 - \$15,000    | None           |                               |                       |
| TIAA-CREF ⇒<br>CREF GROWTH                           |       | \$1,001 - \$15,000    | None           |                               |                       |
| TIAA-CREF ⇒<br>CREF STOCK                            |       | \$1,001 - \$15,000    | None           |                               |                       |
| TIAA-CREF ⇒<br>Global & Intl Equity                  | SP    | \$1,001 - \$15,000    | None           |                               |                       |
| TIAA-CREF ⇒<br>Mid Cap                               | SP    | \$1 - \$1,000         | None           |                               |                       |
| TIAA-CREF ⇒<br>Small Cap                             | SP    | \$1 - \$1,000         | None           |                               |                       |
| TIAA-CREF ⇒<br>Specialty                             | SP    | \$1 - \$1,000         | None           |                               |                       |
| TIAA-CREF ⇒<br>TIAA Real Estate                      |       | \$1 - \$1,000         | None           |                               |                       |
| TIAA-CREF ⇒<br>TIAA Traditional                      | SP    | \$1,001 - \$15,000    | None           |                               |                       |
| TIAA-CREF ⇒<br>TIAA Traditional                      |       | \$1 - \$1,000         | None           |                               |                       |
| Two Unit Rental                                      | JT    | \$100,001 - \$250,000 | Rent           | \$5,001 - \$15,000            | \$15,001 - \$50,000   |
| LOCATION: Orono, ME, US                              |       |                       |                |                               |                       |

| <b>Asset</b>   | <b>Owner</b> | <b>Value of Asset</b> | <b>Income Type(s)</b> | <b>Income Current Year to Filing</b> | <b>Income Preceding Year</b> |
|--|--------------|-----------------------|-----------------------|--------------------------------------|------------------------------|
| UBS Retirement Account ⇒<br>FIRST EAGLE FUND OF AMERICA FUND CLASS A (FEFAX) | SP           | \$1,001 - \$15,000    | None                  |                                      |                              |
| UBS Retirement Account ⇒<br>JP MORGAN LARGE CLASS FUND CLASS A               | SP           | \$1,001 - \$15,000    | None                  |                                      |                              |
| UBS Retirement Account ⇒<br>LORD ABBETT SHORT DURATION INCOME FUND CLASS A   | SP           | \$1,001 - \$15,000    | None                  |                                      |                              |
| UBS Retirement Account ⇒<br>OAKMARK INTL FUND                                | SP           | \$1,001 - \$15,000    | None                  |                                      |                              |
| UBS Retirement Account ⇒<br>OPPENHEIMER SENIOR FLOATING RATE FUND CLASS A    | SP           | \$1,001 - \$15,000    | None                  |                                      |                              |
| UBS Retirement Account ⇒<br>PIMCO LOW DURATION FUND CL A                     | SP           | \$1,001 - \$15,000    | None                  |                                      |                              |
| UBS Retirement Account ⇒<br>SUNAMERICA FOCUSED DIVIDEND STRATEGY FUND A      | SP           | \$1,001 - \$15,000    | None                  |                                      |                              |
| UBS Retirement Account ⇒<br>UBS BANK USA DEP ACCT                            | SP           | \$1,001 - \$15,000    | None                  |                                      |                              |
| Valic 403B Pension ⇒<br>Fixed Income   | SP           | \$15,001 - \$50,000   | None                  |                                      |                              |
| Valic 403B Pension ⇒<br>Global & Intl Equity                                 | SP           | \$15,001 - \$50,000   | None                  |                                      |                              |
| Valic 403B Pension ⇒<br>Large Cap  | SP           | \$15,001 - \$50,000   | None                  |                                      |                              |
| Valic 403B Pension ⇒<br>Mid Cap  | SP           | \$1,001 - \$15,000    | None                  |                                      |                              |
| Valic 403B Pension ⇒<br>Small Cap  | SP           | \$1,001 - \$15,000    | None                  |                                      |                              |
| Valic 403B Pension ⇒<br>Specialty  | SP           | \$1,001 - \$15,000    | None                  |                                      |                              |

| Asset   | Owner | Value of Asset     | Income Type(s) | Income Current Year to Filing | Income Preceding Year |
|---|-------|--------------------|----------------|-------------------------------|-----------------------|
| Valic 457 Def Comp ⇒<br>Global & Intl Equity      |       | \$1 - \$1,000      | None           |                               |                       |
| Valic 457 Def Comp ⇒<br>Large Cap                 |       | \$1 - \$1,000      | None           |                               |                       |
| Valic 457 Def Comp ⇒<br>LOOMISSAYLES STRGIC INC A |       | \$1,001 - \$15,000 | None           |                               |                       |
| Valic 457 Def Comp ⇒<br>Mid Cap                   |       | \$1 - \$1,000      | None           |                               |                       |
| Valic 457 Def Comp ⇒<br>Small Cap                 |       | \$1 - \$1,000      | None           |                               |                       |

\* Asset class details available at the bottom of this form.

SCHEDULE C: EARNED INCOME

| Source                         | Type            | Amount Current Year to Filing | Amount Preceding Year |
|--------------------------------|-----------------|-------------------------------|-----------------------|
| University of Maine            | Salary          | \$                            | \$12,351              |
| State of Maine Legislature     | Salary          | \$10,150                      | \$13,952              |
| University of Maine Foundation | Spouse Salary   | \$46,682                      | \$105,932             |
| University of Maine            | Spouse Salary   | \$13,833                      | \$1,800               |
| University Credit Union        | Interest Return | \$                            | \$423                 |

SCHEDULE D: LIABILITIES

| Owner | Creditor                | Date Incurred | Type                                   | Amount of Liability   |
|-------|-------------------------|---------------|--|-----------------------|
| JT    | Chase                   | March 2013    | Mortgage on Two-Unit in Orono, ME      | \$100,001 - \$250,000 |
| JT    | University Credit Union | November 2010 | Mortgage on Single Family in Orono, ME | \$100,001 - \$250,000 |
| JT    | University Credit Union | October 2012  | Home Equity Line on Personal Residence | \$15,001 - \$50,000   |
| JT    | University Credit Union | December 2008 | Mortgage on Single Family in Orono, ME | \$100,001 - \$250,000 |

## SCHEDULE E: POSITIONS

| Position         | Name of Organization  |
|------------------|---|
| Vice-Chair/Chair | New England Board of Higher Education   |
| Vice-President   | Univ. of Maine Class of 2002  |
| Member           | Maine Commission for the Deaf, Hard of Hearing, & Late-Deafened               |
| Member           | Maine National Education for Women (NEW) Leadership Program, UMaine           |
| Member           | Univ. of Maine LGBT Allies Council  |
| Member           | National Education Association, Univ. of Maine Professional Staff Association |
| Co-Chair         | Legislative Memorial Scholarship Auction                                      |

## SCHEDULE F: AGREEMENTS

| Date           | Parties To                  | Terms of Agreement   |
|----------------|-----------------------------|--|
| September 2013 | Myself, University of Maine | I am on a one year unpaid leave of absence from my job at the University of Maine beginning September 1, 2013. |
| January 2009   | Myself & State of Maine     | Legislative Pension Plan Participation, Vested 2009  |

## SCHEDULE J: COMPENSATION IN EXCESS OF \$5,000 PAID BY ONE SOURCE

None disclosed.

## SCHEDULE A ASSET CLASS DETAILS

|   |
|---|
| <ul style="list-style-type: none"><li>Means Investments (Owner: SP)<br/>LOCATION: US</li><li>TIAA-CREF (Owner: SP)</li><li>TIAA-CREF</li><li>UBS Retirement Account (Owner: SP)</li><li>Valic 403B Pension (Owner: SP)</li><li>Valic 457 Def Comp (Owner: SP)</li></ul> |
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## EXCLUSIONS OF SPOUSE, DEPENDENT, OR TRUST INFORMATION

**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 benefiting 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?

☐ Yes ☒ No

## COMMENTS

## CERTIFICATION AND SIGNATURE

☒ I CERTIFY that the statements I have made on the attached Financial Disclosure Report are true, complete, and correct to the best of my knowledge and belief.

**Digitally Signed:** Emily Ann Cain , 05/14/2014