



Filing ID #10005738

FINANCIAL DISCLOSURE REPORT

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FILER INFORMATION

Name: Hon. Kathleen Rice
Status: Member
State/District: NY04

FILING INFORMATION

Filing Type: New Filer Report
Filing Year: 2014
Filing Date: 05/15/2015

SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Chase Bank Account		\$1,001 - \$15,000	Interest	\$1 - \$200	\$1 - \$200
IRA Rollover Account - American Portfolios ⇒ American Funds Investment Company of America		\$15,001 - \$50,000	Tax-Deferred		
IRA Rollover Account - American Portfolios ⇒ American Funds New Perspective F2		\$15,001 - \$50,000	Tax-Deferred		
IRA Rollover Account - American Portfolios ⇒ Brokerage Money Market		\$1,001 - \$15,000	Tax-Deferred		
IRA Rollover Account - American Portfolios ⇒ Congress Large Cap Growth CMLIX		\$50,001 - \$100,000	Tax-Deferred		
IRA Rollover Account - American Portfolios ⇒ First Eagle Global Fund		\$15,001 - \$50,000	Tax-Deferred		
IRA Rollover Account - American Portfolios ⇒ Franklin Income Fund		\$15,001 - \$50,000	Tax-Deferred		
DESCRIPTION: Franklin Templeton Investments (FRIAX). The Fund seeks income by selecting investments such as corporate, foreign and U.S. Treasury bonds, as well as stocks with relatively high dividends.					

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
IRA Rollover Account - American Portfolios ⇒ High 50 Dividend Strategy Portfolio Unit Investment Trust (UIT)		\$15,001 - \$50,000	Tax-Deferred		
	DESCRIPTION: The High 50 Dividend Strategy Portfolio is a unit investment trust (UIT) comprised of 50 stocks (approximately 2% per name, 10% per sector on the date of deposit) selected by applying a specialized dividend-oriented strategy and seeks above-average total return.				
IRA Rollover Account - American Portfolios ⇒ Mutual Global Discovery Fund		\$15,001 - \$50,000	Tax-Deferred		
IRA Rollover Account - American Portfolios ⇒ Mutual Global Discovery Fund - Class Z		\$15,001 - \$50,000	Tax-Deferred		
New York State and Local Retirement System		Undetermined	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
Nassau County District Attorney, Mineola NY	Salary	N/A	\$163,458

SCHEDULE D: LIABILITIES

Owner	Creditor	Date Incurred	Type	Amount of Liability
	JP Morgan Chase NA	February 2011	Mortgage on Personal Residence	\$100,001 - \$250,000

SCHEDULE E: POSITIONS

Position	Name of Organization
President	District Attorneys Association of the State of New York
President-Elect	District Attorneys Association of the State of New York
1st Vice President	District Attorneys Association of the State of New York
Board Member	NY Prosecutors Training Institute
Member, Board of Governors	Touro Law Center
Co-Chair/Commissioner	The Moreland Commission to Investigate Public Corruption

Position	Name of Organization
Commissioner	The Moreland Commission on Utility Storm Preparedness and Response

SCHEDULE F: AGREEMENTS

Date	Parties To	Terms of Agreement
January 2006	Kathleen Rice and New York State	Pension system participant - New York State and Local Retirement System

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

Source (Name and Address)	Brief Description of Duties
Nassau County District Attorney, Mineola NY (Mineola, NY, US)	Elected DA of Nassau County NY

SCHEDULE A ASSET CLASS DETAILS

- IRA Rollover Account - American Portfolios

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

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: Hon. Kathleen Rice , 05/15/2015