



Filing ID #10010574

FINANCIAL DISCLOSURE REPORT

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FILER INFORMATION

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

FILING INFORMATION

Filing Type: Annual Report
Filing Year: 2015
Filing Date: 05/16/2016

SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Chase Bank Account		\$1,001 - \$15,000	Interest	\$1 - \$200	<input type="checkbox"/>
IRA Rollover Account - American Portfolios ⇒ American Funds Investment Company of America		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
IRA Rollover Account - American Portfolios ⇒ American Funds New Perspective F2		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
IRA Rollover Account - American Portfolios ⇒ Brokerage Money Market		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
IRA Rollover Account - American Portfolios ⇒ Congress Large Cap Growth CMLIX		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
IRA Rollover Account - American Portfolios ⇒ First Eagle Global Fund		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
IRA Rollover Account - American Portfolios ⇒ Franklin Income Fund		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
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	Tx. > \$1,000?
IRA Rollover Account - American Portfolios ⇒ Leader Total Return Fund (LCTIX)		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: The fund seeks to achieve its investment objective by investing primarily in domestic and foreign fixed income securities of various maturities and credit qualities that are denominated in U.S. dollars or foreign currencies. Fixed income security types include bonds, notes, debentures and other evidence of indebtedness issued by corporations, governments and their agencies or instrumentalities as well as mortgage-backed and asset-backed securities. It invests primarily in investment-grade securi					
IRA Rollover Account - American Portfolios ⇒ Mutual Global Discovery Fund		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
IRA Rollover Account - American Portfolios ⇒ Mutual Global Discovery Fund - Class Z		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
New York State and Local Retirement System		Undetermined	None		<input type="checkbox"/>

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

SCHEDULE B: TRANSACTIONS

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
IRA Rollover Account - American Portfolios ⇒ High 50 Dividend Strategy Portfolio Unit Investment Trust (UIT)		09/16/2015	S	\$15,001 - \$50,000	<input type="checkbox"/>
IRA Rollover Account - American Portfolios ⇒ Leader Total Return Fund (LCTIX)		09/22/2015	P	\$1,001 - \$15,000	

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

SCHEDULE C: EARNED INCOME

None disclosed.

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
	American Express	Balance at close of the reporting period.	Revolving charge account.	\$10,000 - \$15,000

SCHEDULE E: POSITIONS

Position	Name of Organization
Member, Board of Governors	Touro Law Center

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 G: GIFTS

Source	Description	Value
Thomas Lane (Hermosa Beach, CA, US)	Ticket to gala for opening of Edward M. Kennedy Institute.	\$2,500.00
Lee Ainslie (Glen Head, NY, US)	Round trip flight from New York to Boston.	\$3,310.00

SCHEDULE H: TRAVEL PAYMENTS AND REIMBURSEMENTS

Trip Details					Inclusions		
Source	Start Date	End Date	Itinerary	Days at Own Exp.	Lodging?	Food?	Family?
American Israel Education Foundation	08/5/2015	08/11/2015	New York, New York - Tel Aviv, Israel - New York, New York	0	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

SCHEDULE I: PAYMENTS MADE TO CHARITY IN LIEU OF HONORARIA

None disclosed.

SCHEDULE A AND B ASSET CLASS DETAILS

◦ IRA Rollover Account - American Portfolios
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EXCLUSIONS OF SPOUSE, DEPENDENT, OR TRUST INFORMATION

IPO: Did you purchase any shares that were allocated as a part of an Initial Public Offering?

☐ Yes ☒ No

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 , 05/16/2016