



Filing ID #10001131

# FINANCIAL DISCLOSURE REPORT

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## FILER INFORMATION

**Name:** Hon. Leonard Lance  
**Status:** Member  
**State/District:** NJ07

## FILING INFORMATION

**Filing Type:** Annual Report  
**Filing Year:** 2013  
**Filing Date:** 08/12/2014

## SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Bank of America	JT	\$1 - \$1,000	Interest	\$1 - \$200	<input type="checkbox"/>
Bank Of America Checking		\$1,001 - \$15,000	None		<input type="checkbox"/>
Bank of America Corporation (BAC)		\$15,001 - \$50,000	Dividends	\$1 - \$200	<input type="checkbox"/>
BANK OF AMERICA MMA		\$1,001 - \$15,000	Interest	\$1 - \$200	<input type="checkbox"/>
Candidate IRA ⇒ JPMC EXPLORER FUND INVESTMENT  DESCRIPTION: PURCHASED 2013		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Candidate IRA ⇒ VANGUARD CAPITAL OPP GROWTH INV		\$50,001 - \$100,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Candidate IRA ⇒ VANGUARD EMERGING MKTS STOCK INDEX		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Candidate IRA ⇒ VANGUARD ENERGY FUND ADMIRAL		\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Candidate IRA ⇒ VANGUARD PRECIOUS METALS & MINING		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Candidate IRA ⇒ VANGUARD PRIMECAP INVESTOR FUND		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Candidate IRA ⇒ VANGUARD WINDSOR II FUND INVESTMENT		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Estate of Adele Rohrbach, 50% Interest	SP	\$50,001 - \$100,000	None		<input checked="" type="checkbox"/>
DESCRIPTION: Ownership of General Mills Stock transferred from Estate to Spouse in 2013. John Hancock Annuity transferred to spouse in 2013.					
Estate of Adele Rohrbach ⇒ Property at 905 Mill Rd East Aurora NY	SP	\$50,001 - \$100,000	None		<input type="checkbox"/>
LOCATION: East Aurora, NY, US					
Estate of Mae Anderson ⇒ AT&T Inc. (T)		\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000	<input type="checkbox"/>
Estate of Mae Anderson ⇒ Comcast Corporation - Class A (CMCSA)		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Estate of Mae Anderson ⇒ Dreyfus Mututal Fund		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Estate of Mae Anderson ⇒ DWS Mutual Fund		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Estate of Mae Anderson ⇒ Excel Corp (EXCC)		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Estate of Mae Anderson ⇒ Frontier Communications Corporation (FTR)		\$1 - \$1,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Estate of Mae Anderson ⇒ Nuveen Mutual Fund		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Estate of Mae Anderson ⇒ Putnam Mutual Fund		\$50,001 - \$100,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Estate of Mae Anderson ⇒ Verizon Communications Inc. (VZ)		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Estate of Mae Anderson ⇒ Vodafone Group Plc - American Depositary Shares each representing ten Ordinary Shares (VOD)		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Estate of Wesley Lance ⇒ Bank of America Corporation (BAC)		\$15,001 - \$50,000	Dividends	\$1 - \$200	<input type="checkbox"/>
DESCRIPTION: 50% ownership					
Estate of Wesley Lance ⇒ MetLife, Inc. (MET)		\$1 - \$1,000	Dividends	\$1 - \$200	<input type="checkbox"/>
DESCRIPTION: 50% ownership					
General Mills, Inc. (GIS)	SP	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
DESCRIPTION: Stock was transferred from Estate of Adele Rohrbach.					
JOHN HANCOCK VENTURE ANNUITY	SP	\$50,001 - \$100,000	Dividends	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
DESCRIPTION: SEE EARNED INCOME SCHEDULE UNDERLYING ASSET: MFC GLOBAL INVESTMENT MGMT LIFESTYLE BALANCE					
JP MORGAN RETIREMENT PLAN	SP	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000	<input type="checkbox"/>
JP MORGANCHASE 401k ⇒ JP Morgan Chase & Co. (JPM)	SP	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000	<input type="checkbox"/>
JP MORGANCHASE 401k ⇒ JPMC GROWTH & INCOME FUND	SP	None	Dividends	None	<input checked="" type="checkbox"/>
DESCRIPTION: TRFRD TO JPMC LARGE CAP VALUE FUND					
JP MORGANCHASE 401k ⇒ JPMC INTL LARGE CAP CORE FUND	SP	\$15,001 - \$50,000	Dividends	None	<input type="checkbox"/>
JP MORGANCHASE 401k ⇒ JPMC LARGE CAP VALUE FUND	SP	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
JP MORGANCHASE 401k ⇒ JPMC S&P 500 INDEX FUND	SP	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
JP MORGANCHASE 401k ⇒ JPMC SMALL CAP CORE FUND	SP	\$50,001 - \$100,000	Dividends	None	<input type="checkbox"/>
JP MORGANCHASE 401k ⇒ JPMC ST FIXED INCOME FUND	SP	\$100,001 - \$250,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
JP MORGANCHASE 401k ⇒ JPMC STABLE VALUE FUNDS	SP	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
Office Building 36 Center ST		\$100,001 - \$250,000	None		<input type="checkbox"/>
LOCATION: Clinton, NJ, US DESCRIPTION: 50% Ownership					
SCOTTRADE MMA		\$15,001 - \$50,000	Interest	\$1 - \$200	<input type="checkbox"/>
Spouse IRA ⇒ AMERICAN FUND CAP WORLD GROWTH & INCOME	SP	\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Spouse IRA ⇒ AMERICAN FUND INCOME FUND OF AMERICA A	SP	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Spouse IRA ⇒ AMERICAN FUND INVESTMENT A	SP	\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Spouse IRA ⇒ AMERICAN FUNDS BOND FUND OF AMERICA A	SP	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
Spouse IRA ⇒ AMERICAN FUNDS CAP INCOME BUILDER A	SP	\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Spouse IRA ⇒ PRUDENTIAL IRA MMA	SP	\$1 - \$1,000	Interest	\$1 - \$200	<input type="checkbox"/>
DESCRIPTION: OPENED 2013					
Spouse IRA ⇒ VANGUARD IRA	SP	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000	<input type="checkbox"/>
DESCRIPTION: UNDERLYING ASSET: ADMIRAL ENERGY FUND					
UBS Financial Services- Member ⇒ ALLIANZGI INTL VALUE FUND		\$15,001 - \$50,000	Dividends	\$1 - \$200	<input type="checkbox"/>
DESCRIPTION: BOUGHT 2013					
UBS Financial Services- Member ⇒ AMERICAN FUNDS EURO PACIFIC GROWTH		None	Capital Gains	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
DESCRIPTION: SOLD IN 2013					
UBS Financial Services- Member ⇒ AMERICAN FUNDS FUNDAMENTAL INVESTORS		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
UBS Financial Services- Member ⇒ AMERICAN FUNDS GROWTH FUND OF AMERICA		\$50,001 - \$100,000	Dividends	\$1 - \$200	<input type="checkbox"/>
UBS Financial Services- Member ⇒ AMERICAN FUNDS WASHINGTON MUTUAL INVESTORS		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
UBS Financial Services- Member ⇒ EATON VANCE LARGE CAP VALUE FUND CLASS A		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
UBS Financial Services- Member ⇒ FIRST EAGLE GLOBAL FUND CLASS A DESCRIPTION: BOUGHT 2013		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
UBS Financial Services- Member ⇒ FT GLOBAL BOND FUND		\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
UBS Financial Services- Member ⇒ FT TEMPLETON FOREIGN SMALL CO A DESCRIPTION: SOLD 2013		None	Capital Gains	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
UBS Financial Services- Member ⇒ INVESCO VAN KEMPEN MID GROWTH FUND CL A		\$50,001 - \$100,000	Dividends	None	<input type="checkbox"/>
UBS Financial Services- Member ⇒ IVY GLOBAL NATURAL RESOURCES FUND DESCRIPTION: BOUGHT 2013		\$15,001 - \$50,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
UBS Financial Services- Member ⇒ JP MORGAN MID CAP VALUE DESCRIPTION: BOUGHT 2013		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
UBS Financial Services- Member ⇒ KEELEY SMALL CAP VALUE FUND DESCRIPTION: BOUGHT 2013		\$15,001 - \$50,000	Dividends	\$1 - \$200	<input type="checkbox"/>
UBS Financial Services- Member ⇒ MFS BOND FUND A DESCRIPTION: BOUGHT 2013		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
UBS Financial Services- Member ⇒ MFS INTL GROWTH DESCRIPTION: BOUGHT 2013		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
UBS Financial Services- Member ⇒ OPPENHEIMER DEVELOPING MARKETS		\$15,001 - \$50,000	Dividends	\$1 - \$200	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
DESCRIPTION: BOUGHT 2013					
UBS Financial Services- Member ⇒ OPPENHEIMER SR FLOATING RATE FUND		\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
DESCRIPTION: BOUGHT 2013					
UBS Financial Services- Member ⇒ PACE MONEY MARKET INVESTMENT FUND CLASS P		\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: BOUGHT 2013					
UBS Financial Services- Member ⇒ PRINCIPAL HIGH YIELD FUND CLASS A		\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
DESCRIPTION: BOUGHT 2013					
UBS Financial Services- Member ⇒ PRINCIPAL INVESTORS PREF SECURITIES FUND		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: BOUGHT 2013					
UBS Financial Services- Member ⇒ TETON WESTWOOD MIGHTY MITES FUND CLASS AAA		\$15,001 - \$50,000	Dividends	\$1 - \$200	<input type="checkbox"/>
DESCRIPTION: BOUGHT 2013					
UBS Financial Services- Member ⇒ WELLS FARGO ADVANTAGE GROWTH A		\$100,001 - \$250,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: BOUGHT 2013					

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

## SCHEDULE B: TRANSACTIONS

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
General Mills, Inc. (GIS)	SP	01/3/2013	E	\$15,001 - \$50,000	
DESCRIPTION: TRFR FROM ESTATE OF ADELE ROHRBACH TO SPOUSE					
Spouse IRA ⇒ JOHN HANCOCK ANNUITY	SP	01/3/2013	E	\$15,001 - \$50,000	
DESCRIPTION: TRFR FROM ESTATE OF ADELE ROHRBACH TO SPOUSE					
UBS Financial Services- Member ⇒ ALLIANZGI INTL VALUE FUND		12/23/2013	P	\$15,001 - \$50,000	
UBS Financial Services- Member ⇒		04/13/2013	S	\$100,001 -	<input checked="" type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
AMERICAN FUNDS EURO PACIFIC GROWTH				\$250,000	
UBS Financial Services- Member ⇒ FIRST EAGLE GLOBAL FUND A		12/23/2013	P	\$15,001 - \$50,000	
UBS Financial Services- Member ⇒ FT TEMPLETON FOREIGN SMALL CO		04/13/2013	S	\$100,001 - \$250,000	<input checked="" type="checkbox"/>
UBS Financial Services- Member ⇒ IVY GLOBAL NATURAL RESOURCES FUND		04/13/2013	P	\$15,001 - \$50,000	
UBS Financial Services- Member ⇒ JP MORGAN MID CAP VALUE		12/23/2013	P	\$15,001 - \$50,000	
UBS Financial Services- Member ⇒ KEELEY SMALL CAP VALUE FUND		12/23/2013	P	\$15,001 - \$50,000	
UBS Financial Services- Member ⇒ MFS BOND FUND A		12/23/2013	P	\$15,001 - \$50,000	
UBS Financial Services- Member ⇒ MFS INTL GROWTH FUND		12/23/2013	P	\$15,001 - \$50,000	
UBS Financial Services- Member ⇒ OPPENHEIMER DEVELOPING MARKETS		12/23/2013	P	\$15,001 - \$50,000	
UBS Financial Services- Member ⇒ OPPENHEIMER SR FLOATING RATE FUND CLASS A		12/23/2013	P	\$15,001 - \$50,000	
UBS Financial Services- Member ⇒ PACE MONEY MARKET INVESTMENTS FUND		12/23/2013	P	\$1,001 - \$15,000	
UBS Financial Services- Member ⇒ PRINCIPAL HIGH YIELD FUND CLASS A		12/23/2013	P	\$100,001 - \$250,000	
UBS Financial Services- Member ⇒ PRINCIPAL INVESTORS PREF SEC FUND		12/23/2013	P	\$1,001 - \$15,000	
UBS Financial Services- Member ⇒ TETON WESTWOOD MIGHTY MITES FUND AAA		12/23/2013	P	\$15,001 - \$50,000	
UBS Financial Services- Member ⇒ WELLS FARGO ADVANTAGE GROWTH FUND		12/23/2013	P	\$50,001 - \$100,000	

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

SCHEDULE C: EARNED INCOME

Source	Type	Amount
State of NJ	Pension	\$
COMMENTS: Member waived all NJ Pension payments in 2013.		
John Hancock Life Insurance	Spouse Retirement Payment	N/A
American Funds Retirement Funds	Spouse Retirement Payment	N/A

SCHEDULE D: LIABILITIES

None disclosed.

SCHEDULE E: POSITIONS

None disclosed.

SCHEDULE F: AGREEMENTS

Date	Parties To	Terms of Agreement
December 2009	State of NJ and Leonard Lance (Member)	Pension Annuity (in 2013 Member waived all payments to himself).

SCHEDULE G: GIFTS

None disclosed.

SCHEDULE H: TRAVEL PAYMENTS AND REIMBURSEMENTS

None disclosed.

SCHEDULE I: PAYMENTS MADE TO CHARITY IN LIEU OF HONORARIA

None disclosed.

SCHEDULE A AND B ASSET CLASS DETAILS

<ul style="list-style-type: none"><li>o Candidate IRA</li><li>o Estate of Adele Rohrbach (50% Interest) (Owner: SP) LOCATION: US DESCRIPTION: SP 50% INTEREST IN THE ESTATE OF ADELE ROHRBACH</li><li>o Estate of Mae Anderson (50% Interest) LOCATION: Clinton, NJ, US DESCRIPTION: 50% INTEREST IN THE ESTATE OF MAE ANDERSON</li></ul>
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- Estate of Wesley Lance (50% Interest)  
LOCATION: Clinton, NJ, US  
DESCRIPTION: 50% interest in Estate of Wesley Lance
- JP MORGANCHASE 401k (Owner: SP)
- Spouse IRA (Owner: SP)
- UBS Financial Services- Member (100% Interest)  
LOCATION: Greenwich, CT, US  
DESCRIPTION: Mutual Fund Account

## 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

## 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:** Hon. Leonard Lance , 08/12/2014