

# FINANCIAL DISCLOSURE REPORT

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#### FILER INFORMATION

Name: Hon. Seth Moulton

Status: Member State/District: MA06

### FILING INFORMATION

**Filing Type:** Amendment Report

Filing Year: 2017

**Filing Date:** 09/14/2018

# SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Liz: America Funds Roth IRA ⇒ American Funds 2045 Target Date Retirement Fund® Class A [MF]	SP	\$1,001 - \$15,000	None		
Liz: Eagle Fund IRA ⇒  AMG Yacktman Focused Fund Class N [MF]  DESCRIPTION: Partial sale listed in Schedule B	SP	\$1,001 - \$15,000	Tax-Deferred		<b>▽</b>
Liz: Eagle Fund IRA $\Rightarrow$ AQR Long-Short Equity Fund Class N [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		
Liz: Eagle Fund IRA $\Rightarrow$ BND Vanguard BD Index Fund [MF]	SP	\$1,001 - \$15,000	None		П
Liz: Eagle Fund IRA ⇒ Fidelity Government Money Market Fund [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		
Liz: Eagle Fund IRA ⇒ iShares S&P 500 Index [EF]	SP	\$15,001 - \$50,000	Tax-Deferred		П
Liz: Eagle Fund IRA ⇒ Metropolitan West Total Return Bond Fund Class I [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Liz: Eagle Fund IRA $\Rightarrow$ MG Managers Fairpointe Mid Cap Fund Class I [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		П
Liz: Eagle Fund IRA ⇒ Oakmark International Fund Investor Class [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		
Liz: Eagle Fund IRA $\Rightarrow$ Oppenheimer Developing Markets Fund Class A [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		
Liz: Eagle Fund IRA $\Rightarrow$ Parnassus Core Equity Fund - Institutional Shares [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		
Liz: Eagle Fund IRA $\Rightarrow$ T. Rowe Price Institutional Floating Rate Fund [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		
Liz: Eagle Fund IRA $\Rightarrow$ TCW Emerging Markets Income Fund Class Institutional [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		
Liz: Eagle Fund IRA ⇒ Vanguard Growth [EF]	SP	\$1,001 - \$15,000	Tax-Deferred		
Liz: Eagle Fund IRA ⇒ Vanguard Mid-Cap [EF]	SP	\$1,001 - \$15,000	Tax-Deferred		
Liz: Eagle Fund IRA ⇒ VANGUARD TAX-MA/FTSE DEVELOPED MKTS [EF]	SP	\$1,001 - \$15,000	Tax-Deferred		
Liz: Eagle Fund IRA ⇒ Vanguard Total Bond Market ETF [EF]	SP	\$1,001 - \$15,000	Tax-Deferred		
Liz: Eagle Fund IRA ⇒ Wasatch Small Cap Growth Fund® Investor Class [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		
Liz: Transfer on Death Account ⇒ AMG Yacktman Focused Fund Class N [MF]	SP	\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	
Liz: Transfer on Death Account ⇒ Deutsche Managed Municipal Bond Fund Institutional Class [MF]	SP	\$15,001 - \$50,000	Capital Gains, Dividends	\$201 - \$1,000	
Liz: Transfer on Death Account ⇒ Government Money Market Fund Daily Money Class Fund [MF]	SP	\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Liz: Transfer on Death Account ⇒ IShares corps MSP500 [EF]	SP	\$15,001 - \$50,000	None		<u>~</u>
DESCRIPTION: The partial sale listed in schedule B					
Liz: Transfer on Death Account ⇒ iShares S&P 500 Index [EF]	SP	\$1,001 - \$15,000	Capital Gains, Dividends	\$201 - \$1,000	
Liz: Transfer on Death Account ⇒ John Hancock Funds Disciplined Value Mid Cap Fund Class A [MF]	SP	\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	П
Liz: Transfer on Death Account ⇒ MFS® Emerging Markets Debt Fund Class A [MF]	SP	None	Capital Gains, Dividends	\$201 - \$1,000	
Liz: Transfer on Death Account ⇒ Oakmark International Fund Investor Class [MF]	SP	\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	
Liz: Transfer on Death Account ⇒ Oakmark Select Fund Investor Class [MF]	SP	\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	
Liz: Transfer on Death Account ⇒ Oppenheimer Developing Markets Fund Class A [MF]	SP	\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	П
Liz: Transfer on Death Account ⇒ Parnassus Core Equity Fund - Institutional Shares [MF]	SP	\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	
Liz: Transfer on Death Account ⇒ SPDR Nuveen Barclays Short Term Municipal Bond [EF]	SP	\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	
Liz: Transfer on Death Account ⇒ T. Rowe Price Institutional Floating Rate Fund [MF]	SP	\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	
Liz: Transfer on Death Account ⇒ T. Rowe Price Tax Free Income Fund [MF]	SP	\$15,001 - \$50,000	Capital Gains, Dividends	\$1,001 - \$2,500	
Liz: Transfer on Death Account $\Rightarrow$ TCW Emerging Markets Income Fund Class Institutional [MF]	SP	\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	
Liz: Transfer on Death Account ⇒ Vanguard Mid-Cap ETF [EF]	SP	\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	
Liz: Transfer on Death Account ⇒ VANGUARD TAX-MA/FTSE DEVELOPED MKTS [EF]	SP	\$1,001 - \$15,000	Capital Gains, Dividends	\$201 - \$1,000	

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Liz: Transfer on Death Account ⇒ Wells Fargo High Yield Municipal Bond Fund - Class Inst [MF]	SP	\$1,001 - \$15,000	Capital Gains, Dividends	\$201 - \$1,000	П
Liz: Transfer on Death Account ⇒ Wells Fargo Short-Term Municipal Bond Fund - Class A [MF]	SP	\$1,001 - \$15,000	Capital Gains, Dividends	\$201 - \$1,000	
Liz: Variable Life Insurace ⇒ MainStay Moderate Growth Allocation Fund [OT]  DESCRIPTION: Life insurance policy, no transactions	SP	\$100,001 - \$250,000	None		П
Niece's 529 Account ⇒ American Funds College 2033 Fund [MF]		\$1,001 - \$15,000	Tax-Deferred		П
PNC Bank Growth Account [BA]	SP	\$1,001 - \$15,000	None		
PNC Checking Account [BA]		\$50,001 - \$100,000	Interest	\$1 - \$200	
Seth: American Funds IRA ⇒ American Funds 2050 Target Date Retirement Fund [MF]		\$1,001 - \$15,000	Tax-Deferred		П
Seth: Eagle Strategies Roth IRA ⇒ AMG Managers Fairpointe Mid Cap Fund;I [MF]		\$1,001 - \$15,000	Tax-Deferred		П
Seth: Eagle Strategies Roth IRA ⇒ AMG Yacktman Focused Fund;N [MF]		\$1,001 - \$15,000	Tax-Deferred		П
Seth: Eagle Strategies Roth IRA ⇒ AQR Long-Short Equity Fund;N [MF]		\$1,001 - \$15,000	Tax-Deferred		П
Seth: Eagle Strategies Roth IRA ⇒ DBX ETF TR MSCI EAFE [EF]  DESCRIPTION: Partial sale listed on Schedule B		\$1,001 - \$15,000	None		<b>▽</b>
Seth: Eagle Strategies Roth IRA ⇒ Fidelity Government Money Market Fund [MF]		\$1,001 - \$15,000	Tax-Deferred		
Seth: Eagle Strategies Roth IRA ⇒ iShares Core S&P 500 ETF [EF]		\$1,001 - \$15,000	Tax-Deferred		П
Seth: Eagle Strategies Roth IRA ⇒ Metropolitan West Total Return Bond Fund;I [MF]		\$1,001 - \$15,000	Tax-Deferred		

Asset	Owner Val	lue of Asset	Income Type(s)	Income	Tx. > \$1,000?
Seth: Eagle Strategies Roth IRA ⇒ Oakmark International Fund [MF]	\$1,0	001 - \$15,000	Tax-Deferred		
Seth: Eagle Strategies Roth IRA ⇒ Oakmark Select Fund [MF]	\$1,0	001 - \$15,000	Tax-Deferred		
Seth: Eagle Strategies Roth IRA ⇒ Oppenheimer Developing Markets Fund;A [MF]	\$1,0	001 - \$15,000	Tax-Deferred		
Seth: Eagle Strategies Roth IRA ⇒ Parnassus Core Equity Fund;Institutional [MF]	\$1,0	001 - \$15,000	Tax-Deferred		
Seth: Eagle Strategies Roth IRA $\Rightarrow$ Vanguard FTSE Developed Markets ETF WATCH LIST CREATE VEA [EF]	\$1,0	001 - \$15,000	Tax-Deferred		П
Seth: Eagle Strategies Roth IRA ⇒ Vanguard Growth ETF [EF]	\$1,0	001 - \$15,000	Tax-Deferred		
Seth: Eagle Strategies Roth IRA ⇒ Vanguard Mid-Cap ETF [EF]	\$1,0	001 - \$15,000	Tax-Deferred		
Seth: Eagle Strategies Roth IRA ⇒ Wasatch Small Cap Growth Fund;Investor [MF]	\$1,0	001 - \$15,000	Tax-Deferred		
Seth: Eagle Strategies Roth IRA ⇒ Xtrackers MSCI EAFE Hedged Equity ETF [EF]	\$1,0	001 - \$15,000	Tax-Deferred		
USAA Checking [BA]	\$15,	,001 - \$50,000	Interest	\$1 - \$200	

<sup>\*</sup> Asset class details available at the bottom of this form. For the complete list of asset type abbreviations, please visit  $\underline{\text{https://fd.house.gov/reference/asset-type-codes.aspx}}.$ 

# SCHEDULE B: TRANSACTIONS

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Liz: Eagle Fund IRA ⇒ AMG Yacktman Focused N [MF]	SP	05/5/2017	S (partial)	\$1,001 - \$15,000	
Liz: Eagle Fund IRA ⇒ BND Vangaurd BD Index [EF]	SP	05/5/2017	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Liz: Eagle Fund IRA ⇒ Fidelity Small Cap Value [MF]	SP	05/5/2017	S	\$1,001 - \$15,000	
Liz: Eagle Fund IRA $\Rightarrow$ John Hancock Funds Disciplined Value Mid Cap Fund Class A [MF]	SP	05/5/2017	S	\$1,001 - \$15,000	П
Liz: Eagle Fund IRA ⇒ Metropolitan West Total Return [MF]	SP	05/5/2017	P	\$1,001 - \$15,000	
Liz: Eagle Fund IRA ⇒ MFS Emerging Markets Debt [MF]	SP	05/5/2017	S	\$1,001 - \$15,000	П
Liz: Eagle Fund IRA ⇒ Neuberg Berman [MF]	SP	05/5/2017	S	\$1,001 - \$15,000	П
Liz: Eagle Fund IRA ⇒ Oakmark International Investor [MF]	SP	05/5/2017	S (partial)	\$1,001 - \$15,000	П
Liz: Eagle Fund IRA ⇒ Parnassus Equity [MF]	SP	05/5/2017	P	\$1,001 - \$15,000	
Liz: Eagle Fund IRA ⇒ TCW Emerging Markets [MF]	SP	05/5/2017	P	\$1,001 - \$15,000	
Liz: Eagle Fund IRA ⇒ Vanguard Index FDS Vanguard Growth [EF]	SP	05/5/2017	P	\$1,001 - \$15,000	
Liz: Eagle Fund IRA ⇒ Wasatch small cap growth [MF]	SP	05/5/2017	P	\$1,001 - \$15,000	
Liz: Transfer on Death Account ⇒ AMG Yachtman focused N [MF]	SP	05/15/2017	S (partial)	\$1,001 - \$15,000	П
Liz: Transfer on Death Account ⇒ AMG Yachtman focused N [MF]	SP	05/11/2017	S (partial)	\$1,001 - \$15,000	П
Liz: Transfer on Death Account ⇒ AMG Yacktman Focus [MF]	SP	09/15/2017	S (partial)	\$1,001 - \$15,000	П
Liz: Transfer on Death Account ⇒ Fidelity Small Cap Value Position [MF]	SP	09/15/2017	S	\$1,001 - \$15,000	П
Liz: Transfer on Death Account ⇒	SP	12/28/2017	S	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
iShares corps SMP500 [EF]			(partial)		
Liz: Transfer on Death Account ⇒ iShares S&P 500 Index [EF]	SP	05/15/2017	S (partial)	\$1,001 - \$15,000	
Liz: Transfer on Death Account ⇒ iShares S&P 500 Index [EF]	SP	05/11/2017	S (partial)	\$1,001 - \$15,000	
Liz: Transfer on Death Account ⇒ John Hancock Funds Disciplined Value Mid Cap Fund Class A [MF]	SP	09/15/2017	S (partial)	\$1,001 - \$15,000	П
Liz: Transfer on Death Account ⇒ John Hancock Funds Disciplined Value Mid Cap Fund Class A [MF]	SP	05/15/2017	S (partial)	\$1,001 - \$15,000	П
Liz: Transfer on Death Account ⇒ John Hancock Funds Disciplined Value Mid Cap Fund Class A [MF]	SP	05/11/2017	S (partial)	\$1,001 - \$15,000	П
Liz: Transfer on Death Account ⇒ MFS emerging markets debt [MF]	SP	09/15/2017	S	\$1,001 - \$15,000	П
Liz: Transfer on Death Account ⇒ MFS emerging markets debt [MF]	SP	05/11/2017	S (partial)	\$1,001 - \$15,000	
Liz: Transfer on Death Account ⇒ Neuberger Berman High Income Bond [MF]	SP	09/15/2017	S (partial)	\$1,001 - \$15,000	П
Liz: Transfer on Death Account ⇒ Neuberger Berman High Income Bond [MF]	SP	09/15/2017	S (partial)	\$1,001 - \$15,000	
Liz: Transfer on Death Account ⇒ Neuberger Berman High Income Bond [MF]	SP	05/11/2017	S (partial)	\$1,001 - \$15,000	П
Liz: Transfer on Death Account ⇒ Oakmark Intl Investor [MF]	SP	05/15/2017	S (partial)	\$1,001 - \$15,000	П
Liz: Transfer on Death Account ⇒ Oakmark Intl Investor [MF]	SP	05/11/2017	S (partial)	\$1,001 - \$15,000	
Liz: Transfer on Death Account ⇒ Oakmark Intl Investor [MF]	SP	09/15/2017	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Liz: Transfer on Death Account ⇒ Oppenheimer Developing Markets [MF]	SP	07/28/2017	S (partial)	\$1,001 - \$15,000	
Liz: Transfer on Death Account ⇒ Oppenheimer Developing Markets [MF]	SP	05/15/2017	S (partial)	\$1,001 - \$15,000	П
Liz: Transfer on Death Account ⇒ Oppenheimer Developing Markets [MF]	SP	05/11/2017	S (partial)	\$1,001 - \$15,000	
Liz: Transfer on Death Account ⇒ Parnassus Equity [MF]	SP	09/15/2017	P	\$1,001 - \$15,000	
Liz: Transfer on Death Account ⇒ T Rowe Price INSTL Floating Rate Fund [MF]	SP	09/15/2017	P	\$1,001 - \$15,000	
Liz: Transfer on Death Account ⇒ T Rowe Price Tax Free Income ADV [MF]	SP	05/30/2017	S (partial)	\$1,001 - \$15,000	П
Liz: Transfer on Death Account ⇒ T Rowe Price Tax Free Income ADV [MF]	SP	05/15/2017	S (partial)	\$1,001 - \$15,000	
Liz: Transfer on Death Account ⇒ T Rowe Price Tax Free Income ADV [MF]	SP	05/11/2017	S (partial)	\$1,001 - \$15,000	
Liz: Transfer on Death Account ⇒ TCW Emerging Markets [MF]	SP	09/18/2017	P	\$1,001 - \$15,000	
Liz: Transfer on Death Account ⇒ Vanguard FTSE developed market [EF]	SP	05/15/2017	S (partial)	\$1,001 - \$15,000	П
Liz: Transfer on Death Account ⇒ Vanguard FTSE developed market [EF]	SP	09/15/2017	S (partial)	\$1,001 - \$15,000	П
Liz: Transfer on Death Account ⇒ Vanguard Index FDS Vanguard Midcap [EF]	SP	09/15/2017	S (partial)	\$1,001 - \$15,000	П
Liz: Transfer on Death Account ⇒ Vanguard Index FDS Vanguard Midcap [EF]	SP	05/15/2017	S (partial)	\$1,001 - \$15,000	
Liz: Transfer on Death Account ⇒ Vanguard Index FDS Vanguard Midcap [EF]	SP	05/11/2017	S (partial)	\$1,001 - \$15,000	П
Liz: Transfer on Death Account ⇒ Wells Fargo Short Term Muni Bond [MF]	SP	05/15/2017	S (partial)	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Liz: Transfer on Death Account ⇒ Wells Fargo Short Term Muni Bond [MF]	SP	05/11/2017	S (partial)	\$1,001 - \$15,000	П
Seth: Eagle Strategies Roth IRA ⇒ AMG Yacktman Focused N [MF]		05/5/2017	S (partial)	\$1,001 - \$15,000	
Seth: Eagle Strategies Roth IRA ⇒ DBX ETF TR MSCI EAFE [EF]		05/5/2017	S (partial)	\$1,001 - \$15,000	П
Seth: Eagle Strategies Roth IRA ⇒ Fidelity Small Cap Value [MF]		05/5/2017	S	\$1,001 - \$15,000	П
Seth: Eagle Strategies Roth IRA ⇒ John Hancock Disciplined Value Mid Cap [MF]		05/5/2017	S	\$1,001 - \$15,000	Г
Seth: Eagle Strategies Roth IRA ⇒ Parnassus Core Equity [MF]		05/5/2017	P	\$1,001 - \$15,000	
Seth: Eagle Strategies Roth IRA ⇒ Vanguard Index FDS Vanguard Growth ETF [EF]		05/5/2017	P	\$1,001 - \$15,000	

<sup>\*</sup> Asset class details available at the bottom of this form. For the complete list of asset type abbreviations, please visit  $\underline{\text{https://fd.house.gov/reference/asset-type-codes.aspx}}.$ 

## SCHEDULE C: EARNED INCOME

Source	Туре	Amount
Korn Ferry International	spouse salary	\$694,087.45

## SCHEDULE D: LIABILITIES

Owner	Creditor	Date Incurred	Туре	Amount of Liability
JT	Beverly Bank	May 2017	Personal residence mortgage	\$500,001 - \$1,000,000

## SCHEDULE E: Positions

Position	Name of Organization
Director	Millenium Train Project

Position	Name of Organization
Board Member	Salem YMCA

#### SCHEDULE F: AGREEMENTS

None disclosed.

#### SCHEDULE G: GIFTS

None disclosed.

#### SCHEDULE H: TRAVEL PAYMENTS AND REIMBURSEMENTS

Trip Details					Inclusions		
Source	Start Date	End Date	Itinerary	Days at Own Exp.	Lodging?	Food?	Family?
Washington Office on Latin America	02/20/2017	02/22/2017	Miami, FL - Havana, Cuba - Boston, MA	0	<u> </u>	<u> </u>	
American Enterprise Institute	03/10/2017	03/11/2017	Washington, DC - Sea Island, GA - Austin, TX	0	<u> </u>	<u> </u>	

#### SCHEDULE I: PAYMENTS MADE TO CHARITY IN LIEU OF HONORARIA

None disclosed.

#### SCHEDULE A AND B ASSET CLASS DETAILS

0	Liz: Ameri	.ca Fund	s Roth	ı IRA (	Owner: S	P)
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• Liz: Eagle Fund IRA (Owner: SP)

• Liz: Transfer on Death Account (Owner: SP)
Location: US

• Liz: Variable Life Insurace (Owner: SP)

• Niece's 529 Account Location: MA

o Seth: American Funds IRA

• Seth: Eagle Strategies Roth IRA

## EXCLUSIONS OF SPOUSE, DEPENDENT, OR TRUST INFORMATION

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



**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?

C 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?

C 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. Seth Moulton, 09/14/2018