



Filing ID #10009946

# FINANCIAL DISCLOSURE REPORT

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## FILER INFORMATION

**Name:** Hon. Nita M. Lowey  
**Status:** Member  
**State/District:** NY17

## FILING INFORMATION

**Filing Type:** Annual Report  
**Filing Year:** 2015  
**Filing Date:** 05/11/2016

## SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
57 West 70th Development LLC	SP	\$1,000,001 - \$5,000,000	None		<input type="checkbox"/>
LOCATION: New York, NY, US					
649 C. Street SE, Apt 209	JT	\$250,001 - \$500,000	Rent	\$15,001 - \$50,000	<input type="checkbox"/>
LOCATION: Washington, DC, US					
Arbiter Partners		\$1,000,001 - \$5,000,000	Capital Gains	\$100,001 - \$1,000,000	<input type="checkbox"/>
DESCRIPTION: EIF					
Arbiter Partners	SP	\$1,000,001 - \$5,000,000	Capital Gains	\$100,001 - \$1,000,000	<input type="checkbox"/>
DESCRIPTION: EIF					
Brownstone Investment Opportunities	SP	\$1,000,001 - \$5,000,000	Capital Gains, ordinary income	\$100,001 - \$1,000,000	<input type="checkbox"/>
LOCATION: New York, NY, US					
DESCRIPTION: Holding company that holds a specialized broker-dealer.					
Chase Bank (checking)	JT	\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Citibank Checking and Savings	JT	\$1,000,001 - \$5,000,000	Interest	\$1,001 - \$2,500	<input type="checkbox"/>
Diker Micro-Value Fund	SP	None	Capital Gains	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
DESCRIPTION: EIF					
Federated Kaufmann Mid Cap Fund (Federated Kaufmann IRA)	SP	\$1,000,001 - \$5,000,000	Capital Gains	\$50,001 - \$100,000	<input type="checkbox"/>
DESCRIPTION: Funds were rolled over to this fund from the Lowey Dannenberg Bemporad & Sellinger profit sharing plan upon retirement.					
Federated Kaufmann Small Cap Fund (Federated Kaufmann IRA)	SP	\$1,000,001 - \$5,000,000	Capital Gains	\$100,001 - \$1,000,000	<input type="checkbox"/>
Fidelity Institutional Money Market Fund Portfolio Class I (Fidelity IRA)	SP	\$500,001 - \$1,000,000	Interest	\$2,501 - \$5,000	<input type="checkbox"/>
Fidelity Institutional Money Market Portfolio Class I	JT	\$1,001 - \$15,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Ingalls & Snyder Value Fund	SP	None	Capital Gains	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
DESCRIPTION: EIF					
Lowey Dannenberg Cohen and Hart PC Note Receivable to Spouse	SP	\$50,001 - \$100,000	Interest, Payments on Promissory Note.	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
DESCRIPTION: Income is primarily payments on Promissory Note payable over four years, agreed to upon sale of ownership interest in law firm.					
M.D. Sass/Macquarie Financial Strategies	SP	\$500,001 - \$1,000,000	Capital Gains	\$15,001 - \$50,000	<input type="checkbox"/>
DESCRIPTION: EIF					
New Silk Route Fund	SP	\$250,001 - \$500,000	None		<input type="checkbox"/>
DESCRIPTION: EIF					
New York State and Local Retirement System		Undetermined	Pension	\$5,001 - \$15,000	<input type="checkbox"/>
Oppenheimer & Spence Investment Pp.		\$1,000,001 - \$5,000,000	Capital Gains	\$15,001 - \$50,000	<input type="checkbox"/>
DESCRIPTION: EIF					
P. Oppenheimer Investment Partnership		\$1,000,001 -	Capital Gains	\$100,001 -	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
DESCRIPTION: EIF		\$5,000,000		\$1,000,000	
	P. Oppenheimer Investment Partnership (Oppenheimer & Close IRA)	\$100,001 - \$250,000	Capital Gains	\$1,001 - \$2,500	<input type="checkbox"/>
Parkstone Capital III LP PEF (formerly referred to as Parkstone Capital)	SP	\$250,001 - \$500,000	None		<input checked="" type="checkbox"/>
	DESCRIPTION: EIF. Added to investment in response to Capital call.				
Santa Monica Partners	SP	\$1,000,001 - \$5,000,000	Capital Gains	\$100,001 - \$1,000,000	<input type="checkbox"/>
	DESCRIPTION: EIF				
Stable Income Fund (NYS Deferred Compensation Plan)		\$15,001 - \$50,000	Capital Gains	\$1 - \$200	<input type="checkbox"/>
Vanguard Inst Index Inst Pls Large Cap (NYS Deferred Compensation Plan)		\$50,001 - \$100,000	Capital Gains, Dividends, Interest	\$5,001 - \$15,000	<input type="checkbox"/>

SCHEDULE B: TRANSACTIONS

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Diker Micro-Value Fund	SP	12/31/2015	S	\$250,001 - \$500,000	<input checked="" type="checkbox"/>
Ingalls & Snyder Value Fund	SP	12/31/2015	S	\$1,000,001 - \$5,000,000	<input checked="" type="checkbox"/>
Lowey Dannenberg Cohen and Hart PC Note Receivable to Spouse	SP	Quarterly	P	\$1,001 - \$15,000	
	LOCATION: US DESCRIPTION: Promissory Note payable over four years, agreed to upon sale of ownership interest in law firm.				
Parkstone Capital III LP PEF	SP	03/2/2015	P	\$15,001 - \$50,000	
COMMENTS: Spouse provided funds in response to a capital call based on an investment commitment at a prior date.					

SCHEDULE C: EARNED INCOME

Source	Type	Amount
New York State and Local Retirement System	Monthly Pension Payments	\$10,864

SCHEDULE D: LIABILITIES

None disclosed.

SCHEDULE E: POSITIONS

None disclosed.

SCHEDULE F: AGREEMENTS

Date	Parties To	Terms of Agreement
January 1988	New York State and Local Retirement System	Monthly Pension Payments

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?
Aspen Institute	02/17/2015	02/22/2015	NYC - Panama City - NYC	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.

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. Nita M. Lowey , 05/11/2016