



Filing ID #10005391

# FINANCIAL DISCLOSURE REPORT

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## FILER INFORMATION

**Name:** Hon. Zoe Lofgren  
**Status:** Member  
**State/District:** CA19

## FILING INFORMATION

**Filing Type:** Annual Report  
**Filing Year:** 2014  
**Filing Date:** 05/14/2015

## SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
California Public Employee Retirement System		\$250,001 - \$500,000	Interest	\$5,001 - \$15,000	<input type="checkbox"/>
Collins/Lofgren Family Trust ⇒ California State General Obligation Bond	JT	\$1,001 - \$15,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Collins/Lofgren Family Trust ⇒ Cash / Bank Deposit Sweep	JT	\$15,001 - \$50,000	Interest	\$1 - \$200	<input type="checkbox"/>
Collins/Lofgren Family Trust ⇒ Chevron Corporation (CVX)	JT	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Collins/Lofgren Family Trust ⇒ Industry Urban Development Agency Tax Allocation Municipal Bond	JT	\$1,001 - \$15,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Collins/Lofgren Family Trust ⇒ La Quinta Financing Authority Municipal Bond	JT	None	Capital Gains	\$5,001 - \$15,000	<input type="checkbox"/>
Collins/Lofgren Family Trust ⇒ Roseville Electric System Municipal Bond	JT	\$1,001 - \$15,000	Interest	\$201 - \$1,000	<input type="checkbox"/>

<b>Asset</b>	<b>Owner</b>	<b>Value of Asset</b>	<b>Income Type(s)</b>	<b>Income</b>	<b>Tx. &gt; \$1,000?</b>
Collins/Lofgren Family Trust ⇒ Southern Company (SO)	JT	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Collins/Lofgren Family Trust ⇒ Stockton Unified School District Municipal Bond	JT	\$1,001 - \$15,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Collins/Lofgren Family Trust ⇒ Tesla Motors, Inc. (TSLA)	JT	\$1,001 - \$15,000	None		<input type="checkbox"/>
Collins/Lofgren Family Trust ⇒ Wells Fargo & Company (WFC)	JT	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Collins/Lofgren Family Trust ⇒ Yosemite Community College District Municipal Bonds	JT	\$1,001 - \$15,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
ICMARC ⇒ ASTON/Fairpointe Mid Cap Fund I		\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
ICMARC ⇒ Fidelity Contrafund		\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
ICMARC ⇒ Fidelity Diversified Int'l		\$15,001 - \$50,000	None		<input type="checkbox"/>
ICMARC ⇒ T Rowe Price Small-Cp Stk		\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
ICMARC ⇒ T Rowe Price Small-Cp Value		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
ICMARC ⇒ Vanguard Institutional Index		\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
ICMARC ⇒ VantageTrust PLUS Fund		\$100,001 - \$250,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
ICMARC ⇒ Victory Established Value I		\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
John Marshall Collins Retirement Account ⇒ Alger Spectra I Fund	SP	\$50,001 - \$100,000	None		<input checked="" type="checkbox"/>
John Marshall Collins Retirement Account ⇒ Artisan Fund International Fund	SP	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
John Marshall Collins Retirement Account ⇒ Cash / Bank Deposit Sweep	SP	\$1,001 - \$15,000	Interest	\$1 - \$200	<input type="checkbox"/>
John Marshall Collins Retirement Account ⇒ Delaware Pooled Trust Diversified Income Fund Class A	SP	\$50,001 - \$100,000	Capital Gains, Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
John Marshall Collins Retirement Account ⇒ Dodge & Cox Funds International Stock Fund	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
John Marshall Collins Retirement Account ⇒ Dodge & Cox Income Fund	SP	\$15,001 - \$50,000	Capital Gains, Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
John Marshall Collins Retirement Account ⇒ Fleming Cap Mutual Fund Group JP Morgan Mid Cap Value Fund Class I	SP	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
John Marshall Collins Retirement Account ⇒ Gateway Fund	SP	\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
John Marshall Collins Retirement Account ⇒ Goldman Sachs Trust Strategic Growth Opportunities Fund Institutional	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
John Marshall Collins Retirement Account ⇒ Harbor Fund Cap Appreciation Fund Institutional Class	SP	\$15,001 - \$50,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
John Marshall Collins Retirement Account ⇒ Hartford Floating Rate Fund	SP	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
John Marshall Collins Retirement Account ⇒ Hartford Mutual Funds Cap Appreciation Fund Class A	SP	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
John Marshall Collins Retirement Account ⇒ Oppenheimer Developing Markets Fund Class Y	SP	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
John Marshall Collins Retirement Account ⇒ PIMCO Funds Total Return Fund Class P	SP	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
John Marshall Collins Retirement Account ⇒ PIMCO Funds Total Return Fund Institutional Class	SP	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
John Marshall Collins Retirement Account ⇒ PowerShares DB Commodity Index Tracking Fund ETF	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
John Marshall Collins Retirement Account ⇒	SP	\$100,001 -	Dividends	\$5,001 -	<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Principal Funds High Yield Institutional Class		\$250,000		\$15,000	
COMMENTS: On November 25, 2014 shares of Principal Funds High Yield Class P were exchanged for Principal Funds High Yield Institutional Class.					
John Marshall Collins Retirement Account ⇒ Royce Fund Pennsylvania Mutual Fund Investment Class	SP	\$15,001 - \$50,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
John Marshall Collins Retirement Account ⇒ RS Select Growth Y	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
John Marshall Collins Retirement Account ⇒ SPDR Index Shares Fund Dow Jones International Real Estate ETF	SP	\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
John Marshall Collins Retirement Account ⇒ Templeton Global Investment Trust Global Bond Fund Advisor Class	SP	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
John Marshall Collins Retirement Account ⇒ Vanguard REIT ETF	SP	\$50,001 - \$100,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
John Marshall Collins Retirement Account ⇒ Vanguard Short-Term Bond Index Fund	SP	\$50,001 - \$100,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
John Marshall Collins Retirement Account ⇒ Yacktman Fund Service Class A	SP	\$50,001 - \$100,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Wells Fargo Accounts	JT	\$250,001 - \$500,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Zoe Lofgren Trade IRA ⇒ Delaware Diversified Income Fund Class C		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<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?
John Marshall Collins Retirement Account ⇒ Alger Spectra I Fund	SP	05/12/2014	P	\$1,001 - \$15,000	
John Marshall Collins Retirement Account ⇒	SP	05/12/2014	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Artisan Fund International Fund					
John Marshall Collins Retirement Account ⇒ Delaware Pooled Trust Diversified Income Fund Class A	SP	05/12/2014	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
John Marshall Collins Retirement Account ⇒ Dodge & Cox Funds International Stock Fund	SP	05/13/2014	P	\$1,001 - \$15,000	
John Marshall Collins Retirement Account ⇒ Dodge & Cox Income Fund	SP	05/13/2014	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
John Marshall Collins Retirement Account ⇒ Fleming Cap Mutual Fund Group JP Morgan Mid Cap Value Fund Class I	SP	05/12/2014	P	\$1,001 - \$15,000	
John Marshall Collins Retirement Account ⇒ Goldman Sachs Trust Strategic Growth Opportunities Fund Institutional	SP	05/12/2014	P	\$1,001 - \$15,000	
John Marshall Collins Retirement Account ⇒ Goldman Sachs Trust Strategic Growth Opportunities Fund Institutional	SP	12/5/2014	P	\$1,001 - \$15,000	
John Marshall Collins Retirement Account ⇒ Harbor Fund Cap Appreciation Fund Institutional Class	SP	05/12/2014	P	\$1,001 - \$15,000	
John Marshall Collins Retirement Account ⇒ Hartford Floating Rate Fund	SP	05/12/2014	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
John Marshall Collins Retirement Account ⇒ Hartford Mutual Funds Cap Appreciation Fund Class A	SP	05/12/2014	P	\$1,001 - \$15,000	
John Marshall Collins Retirement Account ⇒ Hartford Mutual Funds Cap Appreciation Fund Class A	SP	12/15/2014	P	\$1,001 - \$15,000	
John Marshall Collins Retirement Account ⇒ Oppenheimer Developing Markets Fund Class Y	SP	05/12/2014	P	\$1,001 - \$15,000	
John Marshall Collins Retirement Account ⇒ PIMCO Funds Total Return Fund Class P	SP	05/12/2014	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
John Marshall Collins Retirement Account ⇒ PIMCO Funds Total Return Fund Institutional Class	SP	05/12/2014	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
John Marshall Collins Retirement Account ⇒ Principal Funds High Yield Class P	SP	05/12/2014	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
John Marshall Collins Retirement Account ⇒ Principal Funds High Yield Class P	SP	11/25/2014	E	\$1,001 - \$15,000	
John Marshall Collins Retirement Account ⇒ Royce Fund Pennsylvania Mutual Fund Investment	SP	05/12/2014	P	\$1,001 - \$15,000	
John Marshall Collins Retirement Account ⇒ RS Select Growth Y	SP	05/12/2014	P	\$1,001 - \$15,000	
John Marshall Collins Retirement Account ⇒ Templeton Global Investment Trust Global Bond Fund Advisor Class	SP	05/12/2014	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
John Marshall Collins Retirement Account ⇒ Vanguard Short-Term Bond Index Fund	SP	05/13/2014	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
John Marshall Collins Retirement Account ⇒ Yacktman Fund Service Fund A	SP	05/12/2014	P	\$1,001 - \$15,000	

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

SCHEDULE C: EARNED INCOME

Source	Type	Amount
John Marshall Collins PC	spouse salary	N/A
Santa Clara Law School	spouse salary	N/A

SCHEDULE D: LIABILITIES

Owner	Creditor	Date Incurred	Type	Amount of Liability
JT	UBS AG	January 2012	Current mortgage on primary residence (not rented)	\$250,001 - \$500,000
JT	PHH Mortgage Corporation	January 2012	Current mortgage on residence in Washington, D.C. (not rented)	\$250,001 - \$500,000

SCHEDULE E: POSITIONS

Position	Name of Organization
Board Member	Santa Clara University School of Law Board of Visitors
Board Member	Santa Clara University School of Law Dean's High Tech Advisory Council
Advisory Board Member	Santa Clara Computer & High Technology Law Journal, Santa Clara University
Advisory Board Member	Pacific Community Ventures
Advisory Board Member	Silicon Valley Education Foundation (formerly known as San Jose Education Foundation)
Advisory Board Member	SJ2020 Executive Committee

## SCHEDULE F: AGREEMENTS

Date	Parties To	Terms of Agreement
1981	California Public Employees Retirement System (through County of Santa Clara)	Continuing membership (vested) - no continuing contribution by employer or employee
1981	ICMARC (through County of Santa Clara)	Savings plan - no contribution by employer or employee

## 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 Congressional Program	02/18/2014	02/23/2014	Washington, D.C. - Cartagena, Columbia - San Jose, CA	0	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Aspen Institute Congressional Program	04/11/2014	04/18/2014	San Francisco, CA - Tokyo and Kyoto, Japan - San Francisco, CA	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

- o Collins/Lofgren Family Trust (Owner: JT)
- o ICMARC

- John Marshall Collins Retirement Account (Owner: SP)
- Zoe Lofgren Trade 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?

☐ 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. Zoe Lofgren , 05/14/2015