



Filing ID #10025072

FINANCIAL DISCLOSURE REPORT

Clerk of the House of Representatives • Legislative Resource Center • 135 Cannon Building • Washington, DC 20515

FILER INFORMATION

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

FILING INFORMATION

Filing Type: Terminated Filer Report
Filing Year: 2019
Filing Date: 01/29/2019

SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
AT&T Inc. (T) [ST]		\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000	<input type="checkbox"/>
DESCRIPTION: Transferred from Estate of Mae Anderson in 2014					
Bank Of America Checking [BA]		\$1,001 - \$15,000	None		<input type="checkbox"/>
Bank of America Corporation (BAC) [ST]		\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
COMMENTS: 2176 shares BAC transferred to Congressman Lance from Estate of Wesley Lance in 2014.					
BANK OF AMERICA MMA [BA]		\$1,001 - \$15,000	Interest	None	<input type="checkbox"/>
Candidate IRA ⇒ VANGUARD CAPITAL OPP GROWTH INV [MF]		\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000	<input type="checkbox"/>
Candidate IRA ⇒ VANGUARD EMERGING MKTS STOCK INDEX [MF]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Candidate IRA ⇒ VANGUARD ENERGY FUND ADMIRAL [MF]		\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Candidate IRA ⇒ VANGUARD EXPLORER FUND INVESTMENT [MF]		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Candidate IRA ⇒ VANGUARD EXPLORER VALUE FUND [MF]		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Candidate IRA ⇒ VANGUARD PRECIOUS METALS & MINING [MF]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Candidate IRA ⇒ VANGUARD PRIMECAP INVESTOR FUND [MF]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Candidate IRA ⇒ VANGUARD WINDSOR II FUND INVESTMENT [MF]		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
CHASE BANK [BA]	SP	\$1 - \$1,000	None		<input type="checkbox"/>
Chase Checking [BA]	SP	\$50,001 - \$100,000	None		<input type="checkbox"/>
DESCRIPTION: Proceeds from sale of Rohrbach house in NY					
Comcast Corporation - Class A (CMCSA) [ST]		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Transferred from Estate of Mae Anderson in 2014					
Estate of Mae Anderson ⇒ Deutsche Assets [MF]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
COMMENTS: DWS Mutual Fund holding is now called Deutsche Assets. An executor's fee has reduced the value of this asset.					
Estate of Mae Anderson ⇒ Putnam Mutual Fund [MF]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
COMMENTS: An executor's fee has reduced the value of this asset.					
Frontier Communications Corporation (FTR) [ST]		\$1 - \$1,000	Dividends	\$1 - \$200	<input type="checkbox"/>
DESCRIPTION: Transferred from Estate of Mae Anderson in 2014.					
General Mills, Inc. (GIS) [ST]	SP	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
DESCRIPTION: Stock was transferred from Estate of Adele Rohrbach.					
JOHN HANCOCK VENTURE ANNUITY [PE]	SP	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000	<input type="checkbox"/>
DESCRIPTION: SEE EARNED INCOME SCHEDULE UNDERLYING ASSET: MFC GLOBAL INVESTMENT MGMT LIFESTYLE BALANCE					

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
JP MORGANCHASE 401k ⇒ JP Morgan Chase & Co. (JPM) [ST]	SP	\$500,001 - \$1,000,000	Dividends	\$5,001 - \$15,000	<input type="checkbox"/>
JP MORGANCHASE 401k ⇒ JPMC INTL LARGE CAP CORE FUND [MF]	SP	\$50,001 - \$100,000	Dividends	\$5,001 - \$15,000	<input type="checkbox"/>
JP MORGANCHASE 401k ⇒ JPMC LARGE CAP VALUE FUND [MF]	SP	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000	<input type="checkbox"/>
JP MORGANCHASE 401k ⇒ JPMC S&P 500 INDEX FUND [MF]	SP	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
JP MORGANCHASE 401k ⇒ JPMC SMALL CAP CORE FUND [MF]	SP	\$100,001 - \$250,000	Dividends	\$15,001 - \$50,000	<input type="checkbox"/>
JP MORGANCHASE 401k ⇒ JPMC ST FIXED INCOME FUND [MF]	SP	\$100,001 - \$250,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
JP MORGANCHASE 401k ⇒ JPMC STABLE VALUE FUNDS [MF]	SP	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
MetLife, Inc. (MET) [ST]		\$1 - \$1,000	Dividends	\$1 - \$200	<input type="checkbox"/>
DESCRIPTION: Transferred from the Estate of Wesley Lance in 2014.					
Nuveen [MF]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
DESCRIPTION: Transferred from Estate of Mae Anderson in 2014.					
Office Building 36 Center ST [RP]		\$100,001 - \$250,000	None		<input type="checkbox"/>
LOCATION: Clinton, NJ, US DESCRIPTION: 50% Ownership					
Prudential IRA Spouse ⇒ Prudential AST Advance Startegies Portfolio [IH]	SP	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
COMMENTS: Purchased 4/1/16 with proceeds from JP Morgan Retirement Plan					
Prudential IRA Spouse ⇒ Prudential AST Capital Growth Asset Alloc [IH]	SP	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
COMMENTS: Purchased 4/1/16 with proceeds from JP Morgan Retirement Plan					
Prudential IRA Spouse ⇒ Prudential AST Prud Growth Alloc [IH]	SP	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
COMMENTS: Purchased 4/1/16 with proceeds from JP Morgan Retirement Plan					

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Prudential IRA Spouse ⇒ Prudential AST Schroeders Global Tactical Portfolio [IH]	SP	None	Dividends	None	<input checked="" type="checkbox"/>
COMMENTS: Terminated in 2018 with proceeds evenly distributed into 3 Prudential IRA Spouse Funds					
SCOTTRADE MMA [BA]		\$15,001 - \$50,000	Interest	\$1 - \$200	<input type="checkbox"/>
Spouse IRA ⇒ AMERICAN FUND CAP WORLD GROWTH & INCOME [MF]	SP	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Spouse IRA ⇒ AMERICAN FUND INCOME FUND OF AMERICA A [MF]	SP	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
Spouse IRA ⇒ AMERICAN FUND INVESTMENT A [MF]	SP	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
Spouse IRA ⇒ AMERICAN FUNDS BOND FUND OF AMERICA A [MF]	SP	\$15,001 - \$50,000	Dividends	None	<input type="checkbox"/>
Spouse IRA ⇒ AMERICAN FUNDS CAP INCOME BUILDER A [MF]	SP	None	Dividends	None	<input checked="" type="checkbox"/>
COMMENTS: Proceeds transferred to New Perspective Fund-A in 2018					
Spouse IRA ⇒ New Perspective Fund A [IH]	SP	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
COMMENTS: Purchased in 2018 with funds from American Funds CAP Income Builder A					
Spouse IRA ⇒ PRUDENTIAL IRA MMA [IH]	SP	None	None		<input type="checkbox"/>
COMMENTS: Holding account for Prudential Retirement Plan (SP). Transferred equally to 3 SP Prudential IRA accounts					
Spouse IRA ⇒ VANGUARD IRA [PE]	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 [MF]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
UBS Financial Services- Member ⇒ AMERICAN FUNDS FUNDAMENTAL INVESTORS [MF]		\$50,001 - \$100,000	Capital Gains	\$2,501 - \$5,000	<input type="checkbox"/>
UBS Financial Services- Member ⇒ AMERICAN FUNDS GROWTH FUND OF AMERICA [MF]		\$50,001 - \$100,000	Capital Gains	\$2,501 - \$5,000	<input type="checkbox"/>
UBS Financial Services- Member ⇒		\$50,001 -	Capital Gains	\$2,501 -	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
AMERICAN FUNDS WASHINGTON MUTUAL INVESTORS [MF]		\$100,000		\$5,000	
UBS Financial Services- Member ⇒ CATALYST INSIDER BUYING CLASS A [MF]		\$1,001 - \$15,000	Dividends	None	<input type="checkbox"/>
UBS Financial Services- Member ⇒ EATON VANCE LARGE CAP VALUE FUND CLASS A [MF]		\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000	<input type="checkbox"/>
UBS Financial Services- Member ⇒ FIRST EAGLE GLOBAL FUND CLASS A [MF]		\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
UBS Financial Services- Member ⇒ FT GLOBAL BOND FUND [MF]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
UBS Financial Services- Member ⇒ GROWTH FUND OF AMERICA CLASS F2 [MF]		\$50,001 - \$100,000	Dividends	\$5,001 - \$15,000	<input type="checkbox"/>
UBS Financial Services- Member ⇒ INVESCO VAN KEMPEN MID GROWTH FUND CL A [MF]		\$50,001 - \$100,000	Capital Gains	\$5,001 - \$15,000	<input type="checkbox"/>
UBS Financial Services- Member ⇒ JP MORGAN MID CAP VALUE [MF]		\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
UBS Financial Services- Member ⇒ MFS BOND FUND A [MF]		\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000	<input type="checkbox"/>
UBS Financial Services- Member ⇒ MFS INTL GROWTH [MF]		\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
UBS Financial Services- Member ⇒ OPPENHEIMER DEVELOPING MARKETS [MF]		\$15,001 - \$50,000	Dividends	\$1 - \$200	<input type="checkbox"/>
UBS Financial Services- Member ⇒ OPPENHEIMER SR FLOATING RATE FUND [MF]		\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
UBS Financial Services- Member ⇒ PACE MONEY MARKET INVESTMENT FUND CLASS P [MF]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
UBS Financial Services- Member ⇒ Principal Funds Global Diversified Income Fund [MF]		\$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 ⇒ PRINCIPAL HIGH YIELD FUND CLASS A [MF]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
UBS Financial Services- Member ⇒ PRINCIPAL INVESTORS PREF SECURITIES FUND [MF]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
UBS Financial Services- Member ⇒ Principal Small Cap Fund Class I [MF]		\$50,001 - \$100,000	Capital Gains, Dividends	\$5,001 - \$15,000	<input type="checkbox"/>
UBS Financial Services- Member ⇒ WELLS FARGO ADVANTAGE GROWTH A [MF]		\$100,001 - \$250,000	Capital Gains, Dividends	\$15,001 - \$50,000	<input type="checkbox"/>
Verizon Communications Inc. (VZ) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Transferred from Estate of Mae Anderson in 2014.					
Vodafone Group Plc - American Depositary Shares each representing ten Ordinary Shares (VOD) [ST]		\$15,001 - \$50,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Xcel Energy Inc. (XEL) [ST]		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Transferred from Estate of Mae Anderson in 2014.					

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

SCHEDULE B: TRANSACTIONS

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Prudential IRA Spouse ⇒ Prudential AST Schroeders Global Tactical Portfolio [IR]	SP	08/1/2018	S	\$100,001 - \$250,000	<input type="checkbox"/>
COMMENTS: Funds evenly disbursed in 3 SP Prudential IRA accounts					
Spouse IRA ⇒ American Funds CAP Income Builder A [IR]	SP	08/1/2018	S	\$15,001 - \$50,000	<input type="checkbox"/>
COMMENTS: Funds used to purchase New Perspective Fund A					
Spouse IRA ⇒ New Perspective Fund A [IR]	SP	08/1/2018	P	\$15,001 - \$50,000	
COMMENTS: Purchased in 2018 with funds from American Funds CAP Income Builder					

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

SCHEDULE C: EARNED INCOME

None disclosed.

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 2018 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">◦ Candidate IRA◦ Estate of Mae Anderson (50% Interest) LOCATION: Clinton, NJ, US DESCRIPTION: 50% INTEREST IN THE ESTATE OF MAE ANDERSON◦ JP MORGANCHASE 401k (Owner: SP)◦ Prudential IRA Spouse (Owner: SP) COMMENTS: Purchased from proceeds of JP Morgan Retirement Plan (SP)◦ Spouse IRA (Owner: SP)◦ UBS Financial Services- Member (100% Interest) LOCATION: Greenwich, CT, US DESCRIPTION: Mutual Fund Account
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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

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 , 01/29/2019