

HAND  
DELIVERED

UNITED STATES HOUSE OF REPRESENTATIVES  
FINANCIAL DISCLOSURE STATEMENT

FORM B  
For New Members, Candidates, and New Employees

LEGISLATIVE RESOURCE CENTER  
2014 MAY 15 PM 4: 53

CC

Name: Matt Doherty Daytime Telephone: 315-405-8211

U.S. HOUSE OF REPRESENTATIVES

FILER STATUS	<input checked="" type="checkbox"/> New Member of or Candidate for U.S. House of Representatives	State: <u>New York</u> District: <u>21st</u>	<input type="checkbox"/> Check if Amendment	Period Covered: January 1, 2013 to May 2014	A \$200 penalty shall be assessed against any individual who files more than 30 days late.
	<input type="checkbox"/> Candidates - Date of Election: <u>June 24, 2014</u>				
<input type="checkbox"/> New Officer or Employee					
Employing Office: _____					

(Office Use Only)

PRELIMINARY INFORMATION - ANSWER EACH OF THESE QUESTIONS

A. Did you, your spouse, or your dependent child: a. Own any reportable asset that was worth more than \$1,000 at the end of the reporting period? or b. Make more than \$200 in unearned income from any reportable asset during the reporting period?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	E. Did you hold any reportable positions during the reporting period or in the current calendar year up through the date of filing?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
C. Did you or your spouse have "earned" income (e.g., salaries, honoraria, or pension/IRA distributions) of \$200 or more during the reporting period?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	F. Do you have any reportable agreements or arrangements with an outside entity?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
D. Did you, your spouse, or your dependent child have any reportable liability (more than \$10,000) at any point during the reporting period?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	J. Did you receive compensation of more than \$5,000 from a single source in the current year and two prior years?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>

ATTACH THE CORRESPONDING SCHEDULE IF YOU ANSWER "YES"  
THIS FORM INCLUDES ONLY THE SCHEDULES THAT YOU ARE REQUIRED TO COMPLETE

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION - ANSWER BOTH OF THESE QUESTIONS

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 that benefits you, your spouse, or dependent child?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
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? Do not answer "yes" unless you have first consulted with the Committee on Ethics.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>

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[illegible]

# **SCHEDULE A - ASSETS & "UNEARNED INCOME"**

Name: **Matt Doherty**

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BLOCK A		BLOCK B													BLOCK C								BLOCK D																									
Assets and/or Income Sources		Value of Asset													Type of Income								Amount of Income																									
SP, DC, JT	ASSET NAME	A	B	C	D	E	F	G	H	I	J	K	L	M	NONE	DIVIDENDS	INTEREST	CAPITAL GAINS	EXCEPTED/BLIND TRUST	TAX-DEFERRED	Other Type of Income (Specify: e.g., Partnership Income or Farm Income)	Current Year												Preceding Year														
		None	\$1-\$100	\$1,001-\$15,000	\$15,001-\$50,000	\$50,001-\$100,000	\$100,001-\$250,000	\$250,001-\$500,000	\$500,001-\$1,000,000	\$1,000,001-\$5,000,000	\$5,000,001-\$25,000,000	\$25,000,001-\$50,000,000	Over \$50,000,000	Spouse/DC Asset over \$1,000,000*									I	II	III	IV	V	VI	VII	VIII	IX	X	XI	None	I	II	III	IV	V	VI	VII	VIII	IX	X	XI			
	B&M Holdings LLC - real estate																																															
	Albionville, NY																																															
SP	Schwab High Yield Investor Checking																																															
SP	Schwab 401(k) - asset listed below:																																															
	S&P 500 Index																																															
	American Funds Europacific																																															
	Value Advantage																																															
SF	WFO 401(k) - assets listed below:																																															
	Allianz G1 NFJ Dividend Value																																															
	CRIM Mid Cap Value																																															
	Oppenheimer Small & Mid Cap																																															
	Vanguard Dev Mkts Index																																															
	Deutsche Bank Cash Pension																																															
	North County Capital LLC - lending firm																																															
	Madison A Doherty Retirement Plan - cash																																															
	Orick Retirement Plan - note 1																																															

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**Use additional sheets if more space is required.**

# SCHEDULE C - EARNED INCOME

Name: **Matt Doheny**

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List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. government) totaling \$200 or more during the reporting period. For both the filer and filer's spouse, list the source and amount of any honoraria. List only the source for other spouse earned income exceeding \$1,000. See examples below.  
**EXCLUDE:** Military pay (such as National Guard or Reserve pay), federal retirement programs, and benefits received under the Social Security Act.  
**INCOME LIMITS and PROHIBITED INCOME:** The 2013 limit on outside earned income for Members and employees compensated at or above the "senior staff" rate was \$26,955. It is unchanged in 2014. In addition, certain types of income (notably honoraria, director's fees, and payments for professional services involving a fiduciary relationship) are totally prohibited for Members and senior staff.

Source (include date of receipt for honoraria)	Type	Amount	
		Current Year to Filing	Preceding Year
<b>Examples:</b>			
ABC Trade Association, Baltimore, MD (July 15)	Honorarium	\$0	\$500
State of Maryland	Salary	\$50,000	\$75,000
Civil War Roundtable, Richmond, VA (Oct. 2)	Spouse Speech	\$0	\$1,000
Ontario County Board of Education	Spouse Salary	N/A	N/A
YRC Worldwide Inc	Director's fee	\$37,500	\$85,000
YRC Worldwide Inc	Director's stock grant	\$100,000	\$100,000
Eastman Kodak Co	Director's fee	\$25,000	\$25,000
Eastman Kodak Co	Director's stock grant	\$100,000	0
Bridgestone Worldwide Inc	Director's fee	0	\$40,000
Affinity Gaming LLC	Director's fee	\$25,000	\$50,000
Affinity Gaming LLC	Director's stock grant	\$100,000	\$50,000
Residential Capital Trust	Director's fee	\$15,000	0
RA Holdings Corp	Director's fee	\$35,000	\$40,000
North Country Capital LLC	President's fee	\$50,000	\$50,000
D.E. Shaw & Co., LP	Spouse salary	N/A	---
Millbank Tweed LLP	Spouse salary	---	N/A

Use additional sheets if more space is required.

# **SCHEDULE D - LIABILITIES**

Name: **Matt Doheny**

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Report liabilities of over \$10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or your dependent child. Mark the highest amount owed during the reporting period. New Members: Members are required to report all liabilities secured by real property including mortgages on their personal residence. Exclude: Any mortgage on your personal residence (unless you rent it out or are a Member); loans secured by automobiles, household furniture, or appliances; liabilities of a business in which you own an interest (unless you are personally liable); and liabilities owed to you by a spouse or the child, parent, or sibling of you or your spouse. Report a revolving charge account (i.e., credit card) only if the balance at the close of the reporting period exceeded \$10,000. \*Column K is for liabilities held solely by your spouse or dependent child.

SP, DC, JT	Creditor	Date Liability Incurred MO/YR	Type of Liability	Amount of Liability										
				A	B	C	D	E	F	G	H	I	J	K
				\$10,001-\$15,000	\$15,001-\$50,000	\$50,001-\$100,000	\$100,001-\$250,000	\$250,001-\$500,000	\$500,001-\$1,000,000	\$1,000,001-\$5,000,000	\$5,000,001-\$25,000,000	\$25,000,001-\$50,000,000	Over \$50,000,000	Over \$1,000,000* (Spouse/DC Only)
	Example First Bank of Wilmington, DE	5/98	Mortgage on Rental Property, Dover, DE				X							
	None													

# **SCHEDULE E - POSITIONS**

Report all positions, compensated or uncompensated, as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, nonprofit organization, labor organization, or educational or other institution other than the United States. Exclude: Positions listed in Schedule C; positions held in any religious, social, fraternal, or political entities (such as political parties and campaign organizations); and positions solely of an honorary nature. New Members and second-year candidates report positions held in the reporting period and the current calendar year. First-year candidates and new employees report positions held in the current calendar year and two previous years.

Position	Name of Organization
Trustee	Rosewell P. Flower Memorial Library
Managing Member	B&M Holdings LLC
Member	Buck Doh Capital Partners LP
President and Managing Member	North Country Capital LLC
Director	PA Holdings Corp
Director	Bridgestreet Worldwide Inc

# **SCHEDULE D - LIABILITIES**

Name: **Matt Doheny**

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Report liabilities of over \$10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or your dependent child. Mark the highest amount owed during the reporting period. **New Members:** Members are required to report all liabilities secured by real property including mortgages on their personal residence. **Exclude:** Any mortgage on your personal residence (unless you rent it out or are a Member); loans secured by automobiles, household furniture, or appliances; liabilities of a business in which you own an interest (unless you are personally liable); and liabilities owed to you by a spouse or the child, parent, or sibling of you or your spouse. Report a revolving charge account (i.e., credit card) only if the balance at the close of the reporting period exceeded \$10,000. \*Column K is for liabilities held solely by your spouse or dependent child.

SP, DC, JT	Creditor	Date Liability Incurred MO/YR	Type of Liability	Amount of Liability										
				A \$10,001- \$15,000	B \$15,001- \$50,000	C \$50,001- \$100,000	D \$100,001- \$250,000	E \$250,001- \$500,000	F \$500,001- \$1,000,000	G \$1,000,001- \$5,000,000	H \$5,000,001- \$25,000,000	I \$25,000,001- \$50,000,000	J Over \$50,000,000	K Over \$1,000,000* (Spouse/DC Liability)
Example	First Bank of Wilmington, DE	5/95	Mortgage on Rental Property, Dover, DE				X							

# **SCHEDULE E - POSITIONS**

Report all positions, compensated or uncompensated, as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, nonprofit organization, labor organization, or educational or other institution other than the United States. **Exclude:** Positions listed in Schedule C; positions held in any religious, social, fraternal, or political entities (such as political parties and campaign organizations); and positions solely of an honorary nature. **New Members** and second-year candidates report positions held in the reporting period and the current calendar year. **First-year candidates and new employees** report positions held in the current calendar year and two previous years.

Position	Name of Organization
Director	YRC Worldwide Inc
Director	Residential Capital LLC
Director	Eastman Kodak Co
Director	Affinity Gaming LLC

# **SCHEDULE F – AGREEMENTS**

Name: **Matt Doherty**

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Identify the date, parties to, and general terms of any agreement or arrangement that you have with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties to Agreement	Terms of Agreement
	Deutsche Bank	Deferred Vested Benefit Cash Account Pension Plan
	Ortick Herrington & Sutcliffe	Retirement Plan
	Matthew A Doherty	Retirement Plan

## **SCHEDULE J – COMPENSATION IN EXCESS OF \$5,000 PAID BY ONE SOURCE**

Report sources of compensation received by you or your business affiliation for services provided directly by you during the current year and two prior years. This includes the names of clients and customers of any corporation, firm, partnership, or other business enterprise if you directly provided the services generating a fee or payment of more than \$5,000. Exclude: Payments by the U.S. government and any information considered confidential as a result of a privileged relationship recognized by law. Do not repeat information listed on Schedule C.

Source (Name and City/State)	Brief Description of Duties
<i>Example:</i> Doe Jones & Smith, Hometown, Homestate	Accounting Services
See Schedule C	



Name: **Matt Doherty** Page **9** of **9**

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**Use additional sheets if more space is required.**

**Matthew A. Doheny – Financial Disclosure Statement Form B – Attachment to Schedule A**

The assets held by the Orrick Herrington & Sutcliffe Retirement Plan (“Plan”), reported on page 3, the total asset value of which is between \$15,001 and \$50,000, are the following:

71% of the Plan is invested in the Schwab Value Advantage Money Fund. Asset Value between \$15,001 and \$50,000. Income for Current Year is less than \$1,000 and Preceding Year is less than \$1,000. 29% of the Plan is invested in the following funds:

Name of fund	Asset Value	Current Yr	Preceding Yr
Chesapeake Core Growth Fund	Between \$1 and \$1,001	None or less than \$200	None or less than \$200
Oakmark Select Fund	Between \$1 and \$1,001	None or less than \$200	None or less than \$200
Primecap Odyssey Growth Fund	Between \$1 and \$1,001	None or less than \$200	None or less than \$200
Schwab Inst. Large Cap Value Trust Fund	Between \$1 and \$1,001	None or less than \$200	None or less than \$200
Schwab S&P 500 Select Fund	Between \$1 and \$1,001	None or less than \$200	None or less than \$200
Selected American Shares	Between \$1 and \$1,001	None or less than \$200	None or less than \$200
Wintergreen Fund	Between \$1 and \$1,001	None or less than \$200	None or less than \$200
Columbia Acorn Fund	Between \$1 and \$1,001	None or less than \$200	None or less than \$200
Artisan Mid Cap Value Fund	Between \$1 and \$1,001	None or less than \$200	None or less than \$200
FPA Capital Fund	Between \$1 and \$1,001	None or less than \$200	None or less than \$200
Primecap Odyssey Aggressive Growth Fund	Between \$1 and \$1,001	None or less than \$200	None or less than \$200
Westport Select Cap Fund	Between \$1 and \$1,001	None or less than \$200	None or less than \$200
Tweedy, Browne Global Value Fund	Between \$1 and \$1,001	None or less than \$200	None or less than \$200
Harbor International Fund	Between \$1 and \$1,001	None or less than \$200	None or less than \$200
FPA New Income Fund	Between \$1 and \$1,001	None or less than \$200	None or less than \$200
PIMCO Total Return Fund – Admin	Between \$1 and \$1,001	None or less than \$200	None or less than \$200
Vanguard Total Bond Market Index Fund	Between \$1 and \$1,001	None or less than \$200	None or less than \$200
Western Asset Core Plus Bond Fd – F1	Between \$1 and \$1,001	None or less than \$200	None or less than \$200