



Filing ID #10016723

FINANCIAL DISCLOSURE REPORT

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

FILER INFORMATION

Name: Hon. Kathleen Rice
Status: Member
State/District: NY04

FILING INFORMATION

Filing Type: Annual Report
Filing Year: 2016
Filing Date: 05/15/2017

SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Chase Bank Account		\$1,001 - \$15,000	Interest	\$1 - \$200	<input type="checkbox"/>
IRA Rollover Account - American Portfolios ⇒ Dreyfus Ins Deposit -Brokerage Money Market		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
IRA Rollover Account - American Portfolios ⇒ First Eagle Global Fund Class I (SGIIX)		\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
IRA Rollover Account - American Portfolios ⇒ Franklin Income Fund Advisor Class (FRIAX)		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
IRA Rollover Account - American Portfolios ⇒ Leader Total Return Fund (LCTIX)		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
IRA Rollover Account - American Portfolios ⇒ Mutual Global Discovery Fund - Class Z (MDISX)		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
New York State and Local Retirement System		Undetermined	None		<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?
IRA Rollover Account - American Portfolios ⇒ American Funds Investment Company of America (ICAFX)		04/29/2016	S	\$15,001 - \$50,000	<input type="checkbox"/>
IRA Rollover Account - American Portfolios ⇒ American Funds New Perspective F2 (ANWFX)		04/29/2016	S	\$15,001 - \$50,000	<input type="checkbox"/>
IRA Rollover Account - American Portfolios ⇒ Congress Large Cap Growth (CMLIX)		04/29/2016	S	\$15,001 - \$50,000	<input type="checkbox"/>
IRA Rollover Account - American Portfolios ⇒ First Eagle Global Fund Class I (SGIIX)		04/29/2016	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
IRA Rollover Account - American Portfolios ⇒ Mutual Global Discovery Fund - Class Z (MDISX)		04/29/2016	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>

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

SCHEDULE C: EARNED INCOME

None disclosed.

SCHEDULE D: LIABILITIES

Owner	Creditor	Date Incurred	Type	Amount of Liability
	JP Morgan Chase NA	February 2011	Mortgage on Personal Residence	\$100,001 - \$250,000
	American Express	Balance at close of the reporting period.	Revolving charge account.	\$50,001 - \$100,000

SCHEDULE E: POSITIONS

Position	Name of Organization
Member, Board of Governors	Touro Law Center

SCHEDULE F: AGREEMENTS

Date	Parties To	Terms of Agreement
January 2006	Kathleen Rice and New York State	Pension system participant - New York State and Local Retirement System

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?
The Ripon Society and the Franklin Center for Global Policy	11/9/2016	11/14/2016	Washington DC - London, England - Washington, DC	0	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

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"> IRA Rollover Account - American Portfolios
--

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. Kathleen Rice , 05/15/2017