2013 FINANCIAL DISCLOSURE STATEMENT UNITED STATES HOUSE OF REPRESENTATIVES IPO - Did you purchase any shares that were allocated as a part of an Initial Public Offering during the reporting period? If you answered "yes" to this question, please contact the Committee on Ethics for further guidance. E. Did you hold any reportable positions during the reporting period or in the current calendar year up through the date of filing? D. Did you, your spouse, or your dependent child have any reportable liability (more than \$10,000) at any point during the reporting period? C. Did you or your spouse have "earned" income (e.g., salaries, honoraria, or pension/IRA distributions) of \$200 or more during the B. Did you, your spouse, or your dependent child purchase, sell, or A. Did you, your spouse, or your dependent child PRELIMINARY INFORMATION - ANSWER EACH OF THESE QUESTIONS Name: EXEMPTION - Have you excluded from this report any other assets, "uneamed" 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. 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? IPO, EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION - ANSWER EACH OF THESE QUESTIONS reporting period? exceeding \$1,000 during the reporting period? exchange any securities or reportable real estate in a transaction REPORT TYPE FILER STATUS b. Make more than \$200 in unearned income from any reportable a. Own any reportable asset that was worth more than \$1,000 at the end of the reporting period? or Kichard E. Neal 2013 Annual (Due: May 15, 2014) U.S. House of Representatives Member of or Candidate for District State: Yes ž X Yes Yes Yes FIRST Daytime Telephone: (202) 775-560 Amendmen N O S 8 Š For Use by Members, Officers, and Employees F. Did you have any reportable agreement or arrangement with an outside entity during the reporting period or in the current calendar year up through the date of filing? G. Did you, your spouse, or your dependent child receive any reportable gift(s) totaling more than \$350 in value from a single ATTACH THE CORRESPONDING SCHEDULE IF YOU ANSWER "YES" Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article during the reportable travel or reimbursements for travel totaling more than \$350 in value from a single source during the reporting period? H. Did you, your spouse, or your dependent child receive any source during the reporting period? Form **Employee** Officer or **Employing Office** Termination Date LEGISLATIVE RESOURCE CENTER U.S. HOUSE OF REPRESENTATIVES HAND DELIVERED 2014 MAY 15 AM 10: 24 (Office Use Only) Ύes Ύes Yes ĕ ĕs ¥es Yes Z 중 Z 0 Š

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## SCHEDULE A - ASSETS & "UNEARNED INCOME"

Namo: Richard E. Neal

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Retrement Find	City of Springfield ma	Alliance Bank	Cong Fed Credit W Union	Springfield MA Count	Bank North	Cambridge Investors	ABC Hedge Fund X	Examples:	SP, SP Mega Corp. Stock EIF	Asset and/or Income Source identity (a) each asset held for investment or production of income and with a fair market value water (b) any other reportable asset or source of the more that generated more than \$200 in 'uneamed' (and (b) any other reportable asset or source of the income during the year.  Provide complete names of stocks and mutual funds (do not use only ticker symbols).  For all IRAs and other retirement plans (such as 401(k) plans) provide the value for each asset held in the excount that exceeds the reporting thresholds.  For bank and other cash accounts, if the total is over \$5,000, list every financial institution where there is more than \$1,000 in interest bearing accounts.  For rental and other real property held for investment, provide a complete address or description, e.g., 'rental property,' and a city and state.  For an ownership interest in a privately-held business that is not publicly traded, state the name of the business, the nature of its activities, and its geographic location in Block A.  Excludes: Your personal residence, including second homes and vacction homes (unless there was rental interest in, or income derived from, a federal informe during the reporting period); and any financial interest in, or income derived from, a federal retirement program, including the Thrift Savings Plan. If you have a privately-traded fund that is an Excepted Investment Fund, please check the 'EIF-box.  If you so choose, you may indicate that an asset or income detailed discussion of Schedule A requirements, please refer to the instruction booklet.
		X			X		×	Indefinite	×	None  Value of Asset  If you use a Check  Value perset  Column M is for assets held by your spouse or dependent child in which  If the assets held by your spouse or dependent child in which in which in the assets held by your spouse or dependent child in which i
allowance	anywest resonnet	×	X	X	X		Partnership	Royalties	X	Check all columns that apply. For accounts that opening that apply. For accounts that opening the process of the accounts that apply. For accounts that opening the accounts, you may check the Tax-Defender of the asset generated mointenest, and capital gains, and the asset generated no income during the reporting period.  TAX-DEFENSED  Other Type of Income (Specify: e.g., Partnership Income or Farm Income)
	X	×	X	X					X X X	Amount of Income  For assets for which you checked "Tax-Defended in Block C, you checked the "None" column, For all other assets indicate the category of income by checking the appropriate box below. Dividends, interest, and capital gains, even if reinvested, must be disclosed as knoome for assets held in taxable accounts. Check "None" if no income was earned or generated.  1
									S(part)	BLOCK E  Transaction Indicate if the asset had purchases (P), sales (S), or exchanges (E), exceeding \$1,000 in the reporting period in the reporting period exceeding \$1,000 in the solid please indicate as follows: (S (part)). Leave this column blank if there are no transactions that exceeded \$1,000.

Use additional sheets if more space is required.

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## SCHEDULE C - EARNED INCOME

Name: Richard F. Neal

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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 a 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.  [NCOME 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. In addition, certain types of income (notably honoraria, director's fees, and payments for professional services involving a fiduciary relationship) were totally prohibited.	Social Security Act. ensated at or above the "senior staff" rate re totally prohibited.	was \$26,955. In addition, certain
Source (include date of receipt for honoraria)	Туре	Amount
Examples: State of Maryland Civil War Roundtable (Oct. 2)	Approved Teaching Fee Legislative Pension Spouse Speech	\$6,000 \$18,000 \$1,000
Ontario County Board of Education	Spouse Salary	N/A
Commonwealth of Massachusetts	Approved teaching Fee	22, 713.08
Springfield, MA Retirement System	Annual Retrement Allowance	20,673.60
City of Springfield Park Department	Spouse Salary	NA
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## SCHEDULE D - LIABILITIES

Name: Kichard E. New

Page 5 잌  $\sigma$ 

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. 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 reporting period exceeded \$10,000. \*Column K is for liabilities held solely by your spouse or dependent child.

							Amount of	Amount of Liability	Amount of Liability
Бч Бч	Creditor	Date Liability Incurred MO/YR	Type of Liability	\$15,000 \$15,000 \$15,001- \$50,000	\$50,001 \$100,000	\$250,000	\$250,001- \$500,000 m	\$500,000 \$500,001 \$1,000,000 \$1,000,000 \$5,000,000	\$500,000 \$500,001- \$1,000,000
Example	tple First Bank of Wilmington, DE	5/98	Mortgage on Rental Property, Dover, DE		<b>で、</b> 第2章		×	×	×
97	Suntrust Bank	Feb 2008	South the Holy of Sold 8000 get	X					
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## SCHEDULE E - POSITIONS

Report all positions, compensated or uncompensated, held during the current or prior calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or

consultant of any corporation, firm, partnership, or other busin listed in Schedule C; positions held in any religious, social, fra Position	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.  Position  Name of Organization