

# FINANCIAL DISCLOSURE REPORT

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#### FILER INFORMATION

Name: Mrs. Carolyn McCarthy

Status: Member State/District: NY04

#### FILING INFORMATION

**Filing Type:** Amendment Report

Filing Year: 2013

**Filing Date:** 06/23/2014

## SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner Value of	Asset Income Type(s)	Income	Tx. > \$1,000?
529 College Savings Plan-Funds ⇒ NY's 529 College Savings-granchild 1 Aggressive Age- Based Option-Moderate Growth Portfolio  LOCATION: NY	\$1,001 - \$	15,000 Tax-Deferred	l None	
529 College Savings Plan-Funds ⇒ NY's 529 College Savings-grandchild 1 Aggressive Growth Portfolio Location: NY	\$1,001 - \$	15,000 Tax-Deferred	l None	
529 College Savings Plan-Funds ⇒ NY's 529 College Savings-grandchild 1- Bond Market Index Portfolio Location: NY	\$1,001 - \$	15,000 Tax-Deferred	l None	
529 College Savings Plan-Funds ⇒ NY's 529 College Savings-grandchild 1- Conservative Growth Portfolio Location: NY	\$1,001 - \$	15,000 Tax-Deferred	l None	
529 College Savings Plan-Funds ⇒ NY's 529 College Savings-grandchild 1- Income Portfolio Location: NY	\$1,001 - \$	15,000 Tax-Deferred	l None	

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
529 College Savings Plan-Funds ⇒ NY's 529 College Savings-grandchild 1- Inflation Protected Securities Portfolio  Location: NY		\$1,001 - \$15,000	Tax-Deferred	None	П
BOCATION, IVI					
529 College Savings Plan-Funds ⇒ NY's 529 College Savings-grandchild 1 Moderate Age- Based Option: Conservative Growth Portfolio  Location: NY		\$1,001 - \$15,000	Tax-Deferred	None	
529 College Savings Plan-Funds ⇒ NY's 529 College Savings-grandchild 1-Developed Markets Index Portfolio  Location: NY		\$1,001 - \$15,000	Tax-Deferred	None	П
529 College Savings Plan-Funds ⇒ NY's 529 College Savings-grandchild 2- Aggressive Age- Based Option: Moderate Growth Portfolio  Location: NY		\$1,001 - \$15,000	Tax-Deferred	None	-
529 College Savings Plan-Funds ⇒ NY's 529 College Savings-grandchild 2- Aggressive Growth Portfolio Location: NY		\$1,001 - \$15,000	Tax-Deferred	None	
529 College Savings Plan-Funds ⇒ NY's 529 College Savings-grandchild 2- Bond Market Index Portfolio Location: NY		\$1,001 - \$15,000	Tax-Deferred	None	
529 College Savings Plan-Funds ⇒ NY's 529 College Savings-grandchild 2- Conservative Growth Portfolio Location: NY		\$1,001 - \$15,000	Tax-Deferred	None	
529 College Savings Plan-Funds ⇒ NY's 529 College Savings-grandchild 2- Developed Markets Index Portfolio Location: NY		\$1,001 - \$15,000	Tax-Deferred	None	Е
529 College Savings Plan-Funds ⇒ NY's 529 College Savings-grandchild 2- Income Portfolio Location: NY		\$1,001 - \$15,000	Tax-Deferred	None	
529 College Savings Plan-Funds ⇒ NY's 529 College Savings-grandchild 2- Inflation Protected Securities Portfolio		\$1,001 - \$15,000	Tax-Deferred	None	П

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Location: NY					
529 College Savings Plan-Funds ⇒ NY's 529 College Savings-grandchild 2- Moderate Age- Based Option: Conservative Growth Portfolio Location: NY		\$1,001 - \$15,000	Tax-Deferred	None	П
529 College Savings Plan-Funds ⇒ NY's 529 College Savings-grandchild 2- Value Stock Index Portfolio Location: NY		\$1,001 - \$15,000	Tax-Deferred	None	
Aberdeen Asia-Pac PR Inc FD		\$1,001 - \$15,000	Dividends	\$1 - \$200	П
Allianz NFJ Divid Int		\$1,001 - \$15,000	Dividends	\$1 - \$200	
Alps Sector Div Dogs		\$15,001 - \$50,000	Dividends	\$1 - \$200	<u>~</u>
ATP Oil & Gas Corporation (ATPAQ)		None	None		
Blackrock NY Muni Inc Trust		None	Dividends	\$1,001 - \$2,500	<b>∀</b>
C.H. Robinson Worldwide, Inc. (CHRW)		\$1,001 - \$15,000	Dividends	\$1 - \$200	<u>~</u>
CH Robinson Worldwide		None	Capital Gains	\$201 - \$1,000	
Description: Call, \$60, August 2013					
Coach Inc  Description: Call, \$55, Nov 2013		None	Capital Gains	\$201 - \$1,000	
Coach, Inc. (COH)		\$1,001 - \$15,000	Dividends	\$1 - \$200	<u> </u>
Cohen and Steers Infrastructure FD		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	П
Congressional Federal Credit Union Accounts		\$50,001 - \$100,000	Interest	\$201 - \$1,000	П
Cons Staples Sel Sect SPDR		\$1,001 - \$15,000	Dividends	\$1 - \$200	

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Covidien plc. Ordinary Shares (COV)		\$1,001 - \$15,000	Dividends	\$1 - \$200	<u> </u>
DWS Muni Incm TR		\$1,001 - \$15,000	Dividends	\$1 - \$200	
Eaton Vance Tax-Mngd Glbl		\$1,001 - \$15,000	Dividends	\$1 - \$200	
Eaton Vance Tax-Mngd Glbl		\$1,001 - \$15,000	Dividends	\$1 - \$200	
Energy Sel Sect SPDR		None	Capital Gains, Dividends	\$2,501 - \$5,000	<b> </b> ✓
Exxon Mobil Corp  Description: Call, \$90, Jan 2013		None	Capital Gains	\$201 - \$1,000	
Exxon Mobil Corporation (XOM)		\$1,001 - \$15,000	Capital Gains, Dividends	\$2,501 - \$5,000	<u> </u>
GlaxoSmithKline PLC (GSK)		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	
Goldcorp  Description: Call, \$40, April 2013		None	Capital Gains	\$1 - \$200	
Goldcorp  Description: Call, \$40, July 2013		None	Capital Gains	\$201 - \$1,000	П
Goldcorp Inc. (GG)		None	Dividends	\$1 - \$200	<u></u>
Government Pptys Inc TR		\$1,001 - \$15,000	Dividends	\$1 - \$200	
House-11A Brushy Neck Lane  Location: Westhampton, NY, US		\$1,000,001 - \$5,000,000	Rent	\$15,001 - \$50,000	П
IRA-Cash ⇒ Morgan Stanley Bank		\$15,001 - \$50,000	None		
IRA-Funds ⇒ Blackrock Intl Grwth & Inc TR		\$1,001 - \$15,000	None		

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
IRA-Funds ⇒ Eaton Vance Tax Mgd Div Equ FD		\$1,001 - \$15,000	None		
IRA-Funds ⇒ Eaton Vance Tax-Mngd Global		\$1,001 - \$15,000	None		
IRA-Funds ⇒ Energy Sel Sect SPDR FD		\$1,001 - \$15,000	None		П
IRA-Funds ⇒ Guggenheim S&P 500		\$1,001 - \$15,000	None		
IRA-Funds ⇒ Ishares 10+ Year Credit Bond		\$1,001 - \$15,000	None		
IRA-Funds ⇒ Ishares Dow Jones Epac Sel		\$1,001 - \$15,000	None		
IRA-Funds ⇒ Ishares Iboxx \$ H/Y Corp Bnd		\$1,001 - \$15,000	None		-
IRA-Funds ⇒ Ishares S&P Grow Allocation		\$1,001 - \$15,000	None		
IRA-Funds ⇒ Vanguard Dividend Apprec		\$1,001 - \$15,000	None		
IRA-Funds ⇒ Vanguard Index Fds S&P 500		\$1,001 - \$15,000	None		
IRA-Funds ⇒ Wisdomtree Tot Div		\$1,001 - \$15,000	None		
IRA-Stocks ⇒ American Tower Corporation (AMT)		\$15,001 - \$50,000	None		
IRA-Stocks ⇒ Duke Energy Corporation (DUK)		\$1,001 - \$15,000	None		
IRA-Stocks ⇒ Ford Motor Company (F)		\$1,001 - \$15,000	None		
IRA-Stocks ⇒		\$1,001 - \$15,000	None		

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Great Plains Energy Incorporated (GXP)					
IRA-Stocks ⇒ INVESCO MORTGAGE CAPITAL INC (IVR)		\$1,001 - \$15,000	None		
IRA-Stocks ⇒ JPMorgan Chase Capital XVI JP Morgan Alerian MLP ETN (AMJ)		\$1,001 - \$15,000	None		
IRA-Stocks ⇒ Procter & Gamble Company (PG)		\$15,001 - \$50,000	None		
IRA-Stocks ⇒ U.S. Bancorp (USB)		\$1,001 - \$15,000	None		
Ishares Barclays AGG BD FD		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	
Ishares China Large		None	Capital Gains	\$1 - \$200	
Description: Call, \$44, November 2013					
Ishares China Large Cap ETF		\$1,001 - \$15,000	Dividends	\$1 - \$200	
Ishares Europe ETF		\$1,001 - \$15,000	Dividends	\$1 - \$200	<b>▽</b>
Ishares Iboxx \$ H/Y Cor BD ETF		None	Capital Gains, Dividends	\$1,001 - \$2,500	<b>▽</b>
Ishares Iboxx Invest Gr Cor BD		None	Capital Gains, Dividends	\$1,001 - \$2,500	<b>▽</b>
Ishares MSCI Japan ETF		\$1,001 - \$15,000	Dividends	\$1 - \$200	П
Ishares N Amer Nat Res ETF		\$1,001 - \$15,000	Dividends	\$1 - \$200	
Ishares Nat AMT-FRE Mun BD ETF		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	П
Ishares S&P Mid-Cap 400 ETF		\$1,001 - \$15,000	Dividends	\$1 - \$200	П
Ishares S&P Smll-Cap 600 V ETF		\$1,001 - \$15,000	Dividends	\$1 - \$200	

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Ishares Tips Bond ETF		\$1,001 - \$15,000	Dividends	\$1 - \$200	
Ishares US Basic Materials ETF		\$1,001 - \$15,000	Dividends	\$1 - \$200	
Ishares US Technology ETF		\$1,001 - \$15,000	Dividends	\$1 - \$200	
JP Morgan Chase		None	Capital Gains	\$1 - \$200	
DESCRIPTION: Call, \$62.50, March 2013					
JP Morgan Chase & Co. (JPM)		\$1,001 - \$15,000	Dividends	\$1 - \$200	<b>▽</b>
KeyCorp (KEY)		\$1,001 - \$15,000	Capital Gains, Dividends	\$201 - \$1,000	<u></u>
Mallinckrodt plc Ordinary Shares (MNK)		\$1,001 - \$15,000	None		
DESCRIPTION: Stock Dividend from Covidien PLC New					
Market Vectors High Yield Muni		\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	
Market Vectors High Yield Muni		\$1,001 - \$15,000	Dividends	\$1 - \$200	
Monroe Cnty NY Pub Impt		\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	
Morgan Stanley Bank		\$50,001 - \$100,000	Interest	\$1 - \$200	
MTA Rev Ser-A		\$1,001 - \$15,000	Interest	\$201 - \$1,000	
Neuberger Berman Real Est		None	Dividends	\$1 - \$200	<b>▽</b>
New York NY		\$1,001 - \$15,000	Interest	\$201 - \$1,000	П
New York NY City IDA Rev		\$15,001 - \$50,000	Interest	\$201 - \$1,000	
New York State Dorm Auth		\$15,001 - \$50,000	Interest	\$201 -	

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
				\$1,000	
New York State TWY Auth		\$50,001 - \$100,000	Interest	\$1,001 - \$2,500	
Nuveen Eqty Premium Opportunity FD		\$1,001 - \$15,000	Dividends	\$1 - \$200	
Pfizer, Inc. (PFE)		\$1,001 - \$15,000	Capital Gains, Dividends	\$201 - \$1,000	<b>V</b>
Pioneer Muni Hi Incm Adv TR		\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500	
Powershares DB Comm Trk		\$1,001 - \$15,000	None		
Powershares ETF TR II Build		\$1,001 - \$15,000	Dividends	\$1 - \$200	П
Powershares Insured Natl Muni Bd		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	
Powershares Insured NY Muni Bnd		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	
Powershares Insured NY Muni Bnd		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	
Powershares KBW High Dividend		\$1,001 - \$15,000	Dividends	\$1 - \$200	<u>~</u>
QUALCOMM Incorporated (QCOM)		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<b>V</b>
Revenueshares Large Cap ETF		\$1,001 - \$15,000	Capital Gains, Dividends	\$201 - \$1,000	
Revenueshares Mid Cap ETF		\$1,001 - \$15,000	Capital Gains, Dividends	\$1,001 - \$2,500	<b>▽</b>
Revenueshares Small Cap ETF		\$1,001 - \$15,000	Capital Gains, Dividends	\$1,001 - \$2,500	<b>▽</b>
Source Capital Inc		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
SPDR DJ Wilshire Intl Real Est		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	П
SPDR S&P Dividend		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<b>∀</b>
United States Natural Gas FD		None	Capital Gains	\$201 - \$1,000	<u></u>
United States Treasury Bond		\$1,001 - \$15,000	Interest	\$201 - \$1,000	
United States Treasury Bond		\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	
Vacant Land, Lot 7 Golf Terrace Dr. Olde Point  LOCATION: Hampstead, NC, US		None	Capital Gains	\$50,001 - \$100,000	<u> </u>
Vacant Land,20% Interest, Unit 17, Blk 263, Lot 12 LOCATION: Silver Springs Shores, FL, US		\$1 - \$1,000	None		
Vanguard Dividend Appreciation		\$1,001 - \$15,000	Dividends	\$1 - \$200	
Vanguard Index Fds S&P 500 ETF		None	Capital Gains, Dividends	\$1,001 - \$2,500	<b>▽</b>
Vanguard Large Cap ETF		\$15,001 - \$50,000	Dividends	\$1 - \$200	V
Vanguard Mega Cap Value ETF		\$1,001 - \$15,000	Dividends	\$1 - \$200	
Vanguard Total Bond Market		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	
Wisdomtree Trust Emrg Mkt Eqt		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<u>~</u>

<sup>\*</sup> Asset class details available at the bottom of this form.

# SCHEDULE B: TRANSACTIONS

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Alps Sector Dividend DOGS		10/22/2013	P	\$15,001 - \$50,000	
Blackrock NY Muni Inc Trust		12/4/2013	S	\$15,001 - \$50,000	П
C.H. Robinson Worldwide, Inc. (CHRW)		02/5/2013	P	\$1,001 - \$15,000	
Coach, Inc. (COH)		04/15/2013	P	\$1,001 - \$15,000	
Covidien plc. Ordinary Shares (COV)		02/12/2013	P	\$1,001 - \$15,000	
Energy Sel Sect SPDR FD		09/19/2013	S	\$1,001 - \$15,000	<b>▽</b>
Exxon Mobil Corporation (XOM)		07/31/2013	P	\$1,001 - \$15,000	
Exxon Mobil Corporation (XOM)		07/19/2013	S	\$15,001 - \$50,000	<u>~</u>
Goldcorp Inc. (GG)		12/4/2013	S	\$1,001 - \$15,000	
Ishares Europe ETF		08/7/2013	P	\$1,001 - \$15,000	
Ishares Iboxx \$ H/Y Cor Bd ETF		10/8/2013	S	\$1,001 - \$15,000	<b>✓</b>
Ishares Iboxx Invest Gr Cor BD		10/8/2013	S	\$1,001 - \$15,000	<u>~</u>
JP Morgan Chase & Co. (JPM)		07/31/2013	P	\$1,001 - \$15,000	
KeyCorp (KEY)		01/16/2013	P	\$1,001 - \$15,000	
KeyCorp (KEY)		06/21/2013	S (partial)	\$1,001 - \$15,000	✓
Neuberger Berman Real Est		12/4/2013	S	\$1,001 - \$15,000	
Pfizer, Inc. (PFE)		05/8/2013	S (partial)	\$1,001 - \$15,000	<b>✓</b>
Powershares KBW High Dividend		05/8/2013	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
QUALCOMM Incorporated (QCOM)		02/12/2013	P	\$1,001 - \$15,000	
Revenueshares Mid Cap ETF		10/8/2013	S (partial)	\$1,001 - \$15,000	<u></u>
Revenueshares Small Cap ETF		10/8/2013	S (partial)	\$1,001 - \$15,000	<b>∀</b>
SPDR S&P Dividend		10/22/2013	P	\$1,001 - \$15,000	
United States Natural Gas FD		07/19/2013	S	\$1,001 - \$15,000	<b>~</b>
Vacant Land,Lot 7 Golf Terrace Dr, Olde Point  LOCATION: Hampstead, NC, US		12/6/2013	S	\$50,001 - \$100,000	<b>▽</b>
Vanguard Index FDS S&P		10/8/2013	E	\$1,001 - \$15,000	
Vanguard Large Cap ETF		10/22/2013	P	\$15,001 - \$50,000	
Vanguard S&P 500 ETF		10/8/2013	S (partial)	\$1,001 - \$15,000	<b>▽</b>
Vanguard S&P 500 ETF		10/8/2013	E	\$1,001 - \$15,000	
Wisdomtree Trust Emrg Mkt Eqt		08/7/2013	S (partial)	\$1,001 - \$15,000	

## SCHEDULE C: EARNED INCOME

None disclosed.

# SCHEDULE D: LIABILITIES

Owner Creditor	Date Incurred	Туре	Amount of Liability
Wells Fargo Bank	May 2002	Mortgage on personal residence, 493 Nancy Road, Mineola, NY	\$250,001 - \$500,000

# SCHEDULE E: Positions

Position	Name of Organization
Honorary Board Member	New Yorkers Against Gun Violence
Honorary Board Member	Long Island Blood Service

#### SCHEDULE F: AGREEMENTS

None disclosed.

#### 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

0	529 College Savings Plan-Funds
	Location: NY

- IRA-Cash
- IRA-Funds
- IRA-Stocks

### 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: Mrs. Carolyn McCarthy , 06/23/2014