



Filing ID #10041918

# FINANCIAL DISCLOSURE REPORT

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## FILER INFORMATION

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

## FILING INFORMATION

**Filing Type:** Annual Report  
**Filing Year:** 2020  
**Filing Date:** 08/2/2021

## SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income Tx. > \$1,000?
Chase Bank Account [BA]		\$1,001 - \$15,000	Interest	\$1 - \$200 <input type="checkbox"/>
IRA Rollover Account - American Portfolios ⇒ American Beacon Ark Disruptive Innovation Fund Class Y (ADNYX) [MF]		\$15,001 - \$50,000	Tax-Deferred	<input checked="" type="checkbox"/>
IRA Rollover Account - American Portfolios ⇒ Baron Growth Fund Institutional Class (BGRIX) [MF]		\$1,001 - \$15,000	Tax-Deferred	<input checked="" type="checkbox"/>
IRA Rollover Account - American Portfolios ⇒ Dreyfus Ins Deposit -Brokerage Money Market [IH]		\$1,001 - \$15,000	Tax-Deferred	<input type="checkbox"/>
IRA Rollover Account - American Portfolios ⇒ Franklin Income Fund Advisor Class (FRIAX) [MF]		\$1,001 - \$15,000	Tax-Deferred	<input type="checkbox"/>
New York State and Local Retirement System [PE]		Undetermined	None	<input type="checkbox"/>

\* 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

<b>Asset</b>	<b>Owner</b>	<b>Date</b>	<b>Tx. Type</b>	<b>Amount</b>	<b>Cap. Gains &gt; \$200?</b>
IRA Rollover Account - American Portfolios ⇒ American Beacon Ark Disruptive Innovation Fund Class Y (ADNYX) [MF]		03/3/2020	P	\$1,001 - \$15,000	
IRA Rollover Account - American Portfolios ⇒ Baron Growth Fund Institutional Class (BGRIX) [MF]		03/3/2020	P	\$1,001 - \$15,000	

\* 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

<b>Owner</b>	<b>Creditor</b>	<b>Date Incurred</b>	<b>Type</b>	<b>Amount of Liability</b>
JP Morgan Chase NA		February 2011	Mortgage on Personal Residence	\$50,001 - \$100,000
	COMMENTS: Paid in full 1/6/2020 due to refinancing			
American Express		December 2020	Revolving charge account	\$10,000 - \$15,000
Quicken Loans LLC		January 2020	Mortgage on personal residence	\$100,001 - \$250,000
	COMMENTS: Refinanced JP Morgan Chase mortgage			

#### SCHEDULE E: POSITIONS

<b>Position</b>	<b>Name of Organization</b>
Member, Board of Governors	Touro Law Center

#### SCHEDULE F: AGREEMENTS

<b>Date</b>	<b>Parties To</b>	<b>Terms of Agreement</b>
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**

None disclosed.

## **SCHEDULE I: PAYMENTS MADE TO CHARITY IN LIEU OF HONORARIA**

None disclosed.

## **SCHEDULE A AND B ASSET CLASS DETAILS**

- 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

## **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. Kathleen Rice , 08/2/2021