UNITED STATES HOUSE OF REPRESENTATIVES
CALENDAR YEAR 2012 FINANCIAL DISCLOSURE STATEMENT

FORM A
For use by Members, officers, and employees

LEGISLATIVE RESOURCE CENTER
2013 MAY 15 PM 4:19
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

HAND DELIVERED MC
(Office Use Only)

Carolyn McCarthy
(Full Name)

(Daytime Telephone)

Filer Status	☑ Member of the U.S. House of Representative — State: NY District: 4th	☐ Officer Or Employee	Employing Office:
Report Type	☑ Annual (May 15) ☐ Amendment	☐ Termination	Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? If yes, complete and attach Schedule I.	Yes ☐ No ☑
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If yes, complete and attach Schedule II.	Yes ☐ No ☑
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? If yes, complete and attach Schedule III.	Yes ☑ No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? If yes, complete and attach Schedule IV.	Yes ☑ No ☐
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? If yes, complete and attach Schedule V.	Yes ☑ No ☐
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $350 and not otherwise exempt)? If yes, complete and attach Schedule VI.	Yes ☐ No ☑
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $350 from one source)? If yes, complete and attach Schedule VII.	Yes ☐ No ☑
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? If yes, complete and attach Schedule VIII.	Yes ☑ No ☐
IX.	Did you have any reportable agreement or arrangement with an outside entity? If yes, complete and attach Schedule IX.	Yes ☐ No ☑

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

IPO and EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION – ANSWER EACH OF THESE QUESTIONS

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 ☑
Exemptions--	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 ☐ No ☑

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Carolyn McCarthy

BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other reportable asset or sources of income which generated more than $200 in "unearned" income during the year. Provide complete names of stocks and mutual funds (do not use ticker symbols.) For all IRAs and other retirement plans (such as 401(k) plans) provide the value for each asset held in the account that exceeds the reporting thresholds. For rental or other real property held for investment, provide a complete address or a 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. Exclude: Your personal residence, including second homes and vacation homes (unless there was rental income during the reporting period); any deposits totaling $5,000 or less in a personal checking or saving accounts; and any financial interest in, or income derived from, a federal retirement program, including the Thrift Savings Plan. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC), or is jointly held with your spouse (JT), in the optional column on the far left. For a detailed discussion of Schedule III requirements, please refer to the instruction booklet.	BLOCK B **Year-End Value of Asset** Indicate value of asset at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold during the reporting year and is included only because it generated income, the value should be "None." * This column is for assets held solely by your spouse or dependent child.	BLOCK C **Type of Income** Check all columns that apply. For retirement accounts that do not allow you to choose specific investments or that generate tax-deferred income (such as 401(k) plans or IRAs), you may check the "None" column. Dividends, interest, and capital gains, even if reinvested, must be disclosed as income. Check "None" if the asset generated no income during the reporting period.	BLOCK D **Amount of Income** For assets for which you checked "Tax-Deferred" in Block C, you may check 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 income. Check "None" if no income was earned or generated. * This column is for income generated by assets held solely by your spouse or dependent child.	BLOCK E **Transaction** Indicate if asset had purchases (P), sales (S), or exchanges (E) exceeding $1,000 in reporting year.
Cons Staples Sel Sect Spdr Fd	$1,001 - $15,000	DIVIDENDS	$1 - $200	
Eaton Vance Tax-Mngd Glbl	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
Energy Sel Sect Spdr Fd	$1,001 - $15,000	DIVIDENDS	$1 - $200	
Exxon Mobil Corp	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
GlaxoSmithKline PLC	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
Goldcorp Inc	$1,001 - $15,000	DIVIDENDS	$1 - $200	P

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Carolyn McCarthy

Ishares Barclays Agg.Bd Fd	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
Ishares Barclays Tips Bd Fd	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
Ishares DJ US Basic Mtls Sctr	$1,001 - $15,000	DIVIDENDS	$1 - $200	
Ishares DJ US Tech Index Fund	$1,001 - $15,000	DIVIDENDS	$1 - $200	
Ishares Ftse/China 25 Index Fd	$1,001 - $15,000	DIVIDENDS	$1 - $200	
Ishares Iboxx $ H/Y Corp Bnd	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
Ishares Iboxx Invest Gr Cor Fd	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
Ishares Msci Japan Index Fund	$1,001 - $15,000	DIVIDENDS	$1 - $200	
Ishares S&P Mid Cap 400 Value	$1,001 - $15,000	CAPITAL GAINS/DIVIDENDS	$1,001 - $2,500	S(part)
Ishares S&P Small Cap 600 Val	$1,001 - $15,000	CAPITAL GAINS/DIVIDENDS	$2,501 - $5,000	S(part)
Ishares Tr S&P Natl Mun Bd Fd	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
Market Vectors High Yield Muni	$15,001 - $50,000	CAPITAL GAINS/DIVIDENDS	$1,001 - $2,500	S(part)
Pfizer Inc	$1,001 - $15,000	DIVIDENDS	$1 - $200	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Carolyn McCarthy

Powershares Db Comm Trk Inc	$1,001 - $15,000	None	NONE	
Pwrshares Insured Natl Muni Bd	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
Pwrshares Insured NY Muni Bnd	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
Revenueshares Large Cap Etf	$1,001 - $15,000	DIVIDENDS	$1 - $200	
Revenueshares Mid Cap Etf	$1,001 - $15,000	DIVIDENDS	$1 - $200	
Revenueshares Small Cap Etf	$1,001 - $15,000	DIVIDENDS	$1 - $200	
S&P North Amer Nat Res Sector	$1,001 - $15,000	DIVIDENDS	$1 - $200	
Spdr DJ Wilshire Intl Real Est	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
United States Natural Gas Fd	$1,001 - $15,000	None	NONE	P
Vanguard Mega Cap 300 Value	$1,001 - $15,000	DIVIDENDS	$1 - $200	
Vanguard S&P 500 Etf	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
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	P
Anheuser Busch Inbev	None	CAPITAL GAINS/DIVIDENDS	$1,001 - $2,500	PS

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Carolyn McCarthy

Credit Suisse Group	None	CAPITAL GAINS	$1,001 - $2,500	PS
Companhia Siderurgica Ncnl Adr	None	None	NONE	PS
USG Corporation New	None	CAPITAL GAINS	$201 - $1,000	PS
ATP Oil & Gas Corp	$1 - $1,000	None	NONE	P
Facebook Inc	None	None	NONE	PS
AT&T Inc	None	CAPITAL GAINS/DIVIDENDS	$201 - $1,000	S
Valero Energy Cp Dela New	None	CAPITAL GAINS/DIVIDENDS	$201 - $1,000	S
Wal Mart Stores Inc	None	CAPITAL GAINS/DIVIDENDS	$201 - $1,000	S
Morgan Stanley Bank	$50,001 - $100,000	INTEREST	$1 - $200	
Aberdeen Asia-Pac	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
Blackrock NY Muni Inc Trust	$15,001 - $50,000	DIVIDENDS	$1,001 - $2,500	P
Cohen&Steers Infrastructure	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
DWS Muni Incm Tr	$1,001 - $15,000	DIVIDENDS	$1 - $200	P

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Carolyn McCarthy

Eaton Vance Tax-Mngd Glbl	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
Government Pptys Inc Tr	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
Market Vectors High Yield Muni	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
Neuberger Berman Real Est	$1,001 - $15,000	DIVIDENDS	$1 - $200	
NFJ Dividend Int & Pre Strgy	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	S(part)
Nuveen Eqty Premium Oppty Fd	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
Pioneer Muni Hi Incm Adv Tr	$15,001 - $50,000	DIVIDENDS	$1,001 - $2,500	P
Powershares Etf Tr II	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
Pwrshares Insured NY Muni Bnd	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	P
Source Capital Inc	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
Vanguard Dividend Appreciation	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
Monroe Cnty NY Pub Impt	$15,001 - $50,000	INTEREST	$1,001 - $2,500	
New York NY City Genl Oblig	$1,001 - $15,000	INTEREST	$201 - $1,000	
New York St Dorm Auth Sch Dist	$15,001 - $50,000	INTEREST	$201 - $1,000	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Carolyn McCarthy

Metropolitan Transn Auth NY Rev Ser A	$1,001 - $15,000	INTEREST	$201 - $1,000	
New York St Twy Auth Gen Rev Ser G	$50,001 - $100,000	INTEREST	$1,001 - $2,500	
New York NY City Indl Dev Agy Rev	$15,001 - $50,000	INTEREST	$201 - $1,000	
United States Treasury Bond	$15,001 - $50,000	INTEREST	$1,001 - $2,500	
United States Treasury Bond	$1,001 - $15,000	INTEREST	$201 - $1,000	
John Hancock Pfd Incm Fd	None	DIVIDENDS	$201 - $1,000	S
United States Treasury Note-Infl Index	None	INTEREST	$201 - $1,000	S
Metropolitan Transn Auth NY Trans	None	INTEREST/CAPITAL GAINS	$2,501 - $5,000	S
Morgan Stanley Bank	$1,001 - $15,000	None	NONE	
American Tower Reit Com	$15,001 - $50,000	None	NONE	P
Blackrock Intl Grwth & Inc Tr	$1,001 - $15,000	None	NONE	
Duke Energy Corp	$1,001 - $15,000	None	NONE	P
Eaton Vance Tax Mgd Div Equ Fd	$1,001 - $15,000	None	NONE	
Eaton Vance Tax-Mngd Glbl	$1,001 - $15,000	None	NONE	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Energy Sel Sect Spdr Fd	$1,001 - $15,000	None	NONE	
Ford Motor Co New	$1,001 - $15,000	None	NONE	
Great Plains Energy Inc	$1,001 - $15,000	None	NONE	
Guggenheim S&P 500, name changed from Rydex ETF Trust Utilities	$1,001 - $15,000	None	NONE	
Ishares 10+ Year Credit Bond	$1,001 - $15,000	None	NONE	P
Ishares Dow Jones Epac Sel Dv	$1,001 - $15,000	None	NONE	P
Ishares Iboxx $ H/Y Corp Bnd	$1,001 - $15,000	None	NONE	
Ishares S&P Grow Allocation	$1,001 - $15,000	None	NONE	
Procter & Gamble	$1,001 - $15,000	None	NONE	
U S Bancorp Com New	$1,001 - $15,000	None	NONE	
Vanguard Dividend Appreciation	$1,001 - $15,000	None	NONE	P
Vanguard S&P 500	$1,001 - $15,000	None	NONE	P
Wisdom Tree Tot Div	$1,001 - $15,000	None	NONE	
General Electric Co	None	None	NONE	S

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Carolyn McCarthy

* Please see following letter to Clerk's office regarding 529s.

NFJ Dividend Int & Pre Strgy	None	None	NONE	S
Invesco Mortgage Capital Inc	$1,001 - $15,000	None	NONE	P
JP Morgan Alerian MLP Index Etn	$1,001 - $15,000	None	NONE	
NY's 529 College Savings-grandchild 1 Aggressive Age-Based Option-Moderate Growth Portfolio	$1,001 - $15,000	None	NONE	
NY's 529 College Savings-grandchild 1-Developed Markets Index Portfolio	$1 - $1,000	None	NONE	
NY's 529 College Savings-grandchild 1-Bond Market Index Portfolio	$1 - $1,000	None	NONE	
NY's 529 College Savings-grandchild 1-Inflation-Protected Securities Portfolio	$1,001 - $15,000	None	NONE	
NY's 529 College Savings-grandchild 1-Moderate Age-Based Option-Conservative Growth	$1,001 - $15,000	None	NONE	
NY's 529 College Savings-grandchild 1-Aggressive Growth Portfolio	$1,001 - $15,000	None	NONE	
NY's 529 College Savings-grandchild 1-Conservative Growth Portfolio	$1,001 - $15,000	None	NONE	
NY's 529 College Savings-grandchild 1-Income Portfolio	$1,001 - $15,000	None	NONE	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Carolyn McCarthy

NY's 529 College Savings-grandchild 2-Aggressive Age-Based Option-Moderate Growth Portfolio	$1,001 - $15,000	None	NONE	
NY's 529 College Savings-grandchild 2-Moderate Age-Based Option-Conservative Growth Portfolio	$1,001 - $15,000	None	NONE	
NY's 529 College Savings-grandchild 2-Aggressive Growth Portfolio	$1,001 - $15,000	None	NONE	
NY's 529 College Savings-grandchild 2-Developed Markets Index Portfolio	$1,001 - $15,000	None	NONE	
NY's 529 College Savings-grandchild 2-Value Stock Index Portfolio	$1,001 - $15,000	None	NONE	
NY's 529 College Savings-grandchild 2-Conservative Growth Portfolio	$1,001 - $15,000	None	NONE	
NY's 529 College Savings-grandchild 2-Bond Market Index Portfolio	$1,001 - $15,000	None	NONE	
NY's 529 College Savings-grandchild 2-Inflation-Protected Securities Portfolio	$1,001 - $15,000	None	NONE	
NY's 529 College Savings-grandchild 2-Income Portfolio	$1,001 - $15,000	None	NONE	
Total Fina Elf SA name changed to Total SA Spon Adr	None	None	NONE	
Congressional Federal Credit Union accounts	$100,001 - $250,000	INTEREST	$201 - $1,000	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Carolyn McCarthy

House-11A Bushy Neck Lane, Westhampton NY 11977	$1,000,001 - $5,000,000	RENT	$50,001 - $100,000	
Vacant land, LT 7 Golf Terrace Village, Old Pointe NC	$50,001 - $100,000	None	NONE	
Vacant land, 20% interest, 138 Silver Springs Shores, FL-Unit 17, Blk 263, Lot 12	$1 - $1,000	None	NONE	

CAROLYN McCARTHY
4TH DISTRICT, NEW YORK

WASHINGTON OFFICE:
2346 RAYBURN HOUSE OFFICE BUILDING
WASHINGTON, DC 20515
(202) 225-5516
FAX: (202) 225-5758

DISTRICT OFFICE:
300 GARDEN CITY PLAZA, SUITE 200
GARDEN CITY, NY 11530
(516) 739-3008
FAX: (516) 739-2973

Congress of the United States
House of Representatives
Washington, DC 20515-3204

COMMITTEES:
FINANCIAL SERVICES
SUBCOMMITTEES:
FINANCIAL INSTITUTIONS AND CONSUMER CREDIT
HOUSING AND INSURANCE

EDUCATION AND THE WORKFORCE
SUBCOMMITTEES:
RANKING MEMBER, EARLY CHILDHOOD, ELEMENTARY, AND SECONDARY EDUCATION
HIGHER EDUCATION AND WORKFORCE TRAINING

Rep. Carolyn McCarthy
2346 Rayburn House Office Building
Washington, DC 20515

May 15, 2013

2013 MAY 15 PM 2:53

Ms. Karen Haas
Clerk of the House of Representatives
U.S. Capitol, Room H154
Washington, DC 20515

Dear Ms. Haas:

I am writing to you to apologize for my oversight in failing to include my grandchildren's 529 College Savings plans in my 2011 Financial Disclosure report. I was not aware that these funds should have been included in my report, since they are for the benefit of children who are not my dependents. I have been contributing small amounts to these accounts on a monthly basis. There were no periodic transactions exceeding $1,000 during 2011, so there are no transactions to report, pursuant to House Ethics guidelines. Below are the values of the accounts at the end of 2011. I have included a separate schedule for each grandchild's account. The accounts are maintained through New York's 529 College Savings Program, Direct Plan.

Investment	Market Value as of 12/31/2011
Aggressive Age-Based Option: Moderate	$5,362.28
Moderate Age-Based Option: Conservative	$2,661.30
Aggressive Growth Portfolio	$2,781.00
Developed Markets Index Portfolio	$ 795.66
Value Stock Index Portfolio	$ 900.71
Conservative Growth Portfolio	$1,267.04
Bond Market Index Portfolio	$ 931.32
Inflation-Protected Securities Portfolio	$ 962.38
Income Portfolio	$1,188.47

Investment	Market Value as of 12/31/2011
Aggressive Age-Based Option: Moderate	$5,114.37
Moderate Age-Based Option: Conservative	$2,586.16
Aggressive Growth Portfolio	$4,663.63

Developed Markets Index Portfolio	$ 477.42
Conservative Growth Portfolio	$1,267.04
Bond Market Index Portfolio	$ 633.12
Inflation-Protected Securities Portfolio	$ 692.95
Income Portfolio	$1,188.47

The value of a few of these funds exceeded $1,000 in prior years as well. Please advise me if I should provide a schedule of these ending values in addition.

Again, I apologize for this oversight and for any inconvenience that it may cause. Please note that all of these investments are included in my 2012 report. If you have any questions or need any further information, please do not hesitate to contact me.

Very Truly Yours,

Carolyn McCarthy

Carolyn McCarthy

SCHEDULE IV - TRANSACTIONS

Name Carolyn McCarthy

Report any purchase, sale, or exchange transactions by you, your spouse, or dependent child during the reporting period of any security or real property held for investment that exceeded $1,000. Include transactions that resulted in a capital loss. Provide a brief description of any exchange transaction. Exclude transactions between you, your spouse or dependent children, or the purchase or sale of your personal residence, unless it generates rental income. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below.
Capital Gains — if a sales transaction resulted in a capital gain in excess of $200, check the "capital gains" box and disclose this income on Schedule III.
*** This column is for assets solely held by your spouse or dependent child.**

SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of $200?	Date	Amount of Transaction
	Wisdomtree Trust Emrg Mkt Eqt	P	N/A	01-30-12	$1,001 - $15,000
	Anheuser Busch Inbev	S	Yes	09-21-12	$15,001 - $50,000
	Credit Suisse Group	S	Yes	12-21-12	$1,001 - $15,000
	Anheuser Busch Inbev	P	N/A	03-14-12	$1,001 - $15,000
	Credit Suisse Group	P	N/A	05-11-12	$1,001 - $15,000
	United States Natural Gas Fd	P	N/A	05-11-12	$1,001 - $15,000
	Companhia Siderurgica Ncnl Adr	S	No	11-08-12	$1,001 - $15,000
	Companhia Siderurgica Ncnl Adr	P	N/A	05-11-12	$1,001 - $15,000
	USG Corporation New	P	N/A	05-11-12	$1,001 - $15,000
	ATP Oil & Gas Corp	P	N/A	05-11-12	$1,001 - $15,000
	Facebook Inc	P	N/A	06-06-12	$1,001 - $15,000

SCHEDULE IV - TRANSACTIONS

Name Carolyn McCarthy

Report any purchase, sale, or exchange transactions by you, your spouse, or dependent child during the reporting period of any security or real property held for investment that exceeded $1,000. Include transactions that resulted in a capital loss. Provide a brief description of any exchange transaction. Exclude transactions between you, your spouse or dependent children, or the purchase or sale of your personal residence, unless it generates rental income. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below.
Capital Gains — if a sales transaction resulted in a capital gain in excess of $200, check the "capital gains" box and disclose this income on Schedule III.
* This column is for assets solely held by your spouse or dependent child.

SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of $200?	Date	Amount of Transaction
	Goldcorp Inc	P	N/A	06-14-12	$1,001 - $15,000
	Vanguard S&P 500 Etf	P	N/A	11-08-12	$1,001 - $15,000
	Ishares S&P Small Cap 600 Val	S(part)	Yes	03-16-12	$1,001 - $15,000
	Ishares S&P Mid Cap 400 Value	S(part)	Yes	03-16-12	$1,001 - $15,000
	Windstream Corp	S	No	03-16-12	$1,001 - $15,000
	Market Vectors High Yield Muni	S(part)	Yes	06-06-12	$1,001 - $15,000
	Wal Mart Stores Inc	S	Yes	06-14-12	$1,001 - $15,000
	Lockheed Martin Corp	S	No	06-14-12	$1,001 - $15,000
	Staples Inc	S	No	06-14-12	$1,001 - $15,000
	Facebook Inc	S	No	08-20-12	$1,001 - $15,000
	Royal Dutch Shell Plc	S	No	08-29-12	$1,001 - $15,000

SCHEDULE IV - TRANSACTIONS

Name Carolyn McCarthy

Report any purchase, sale, or exchange transactions by you, your spouse, or dependent child during the reporting period of any security or real property held for investment that exceeded $1,000. Include transactions that resulted in a capital loss. Provide a brief description of any exchange transaction. Exclude transactions between you, your spouse or dependent children, or the purchase or sale of your personal residence, unless it generates rental income. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below.
Capital Gains — if a sales transaction resulted in a capital gain in excess of $200, check the "capital gains" box and disclose this income on Schedule III.
*** This column is for assets solely held by your spouse or dependent child.**

SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of $200?	Date	Amount of Transaction
	AT&T Inc	S	Yes	08-29-12	$1,001 - $15,000
	Valero Energy Cp Dela	S	Yes	08-29-12	$1,001 - $15,000
	Cisco Sys Inc	S	No	11-08-12	$1,001 - $15,000
	Total S A Spon Adr	S	No	11-08-12	$1,001 - $15,000
	USG Corporation New	S	Yes	11-16-12	$1,001 - $15,000
	Aberdeen Asia-Pac	P	N/A	06-29-12	$1,001 - $15,000
	Blackrock NY Muni Inc Trust	P	N/A	11-08-12	$15,001 - $50,000
	DWS Muni Incm Tr	P	N/A	06-29-12	$1,001 - $15,000
	Government Pptys Inc Tr	P	N/A	06-29-12	$1,001 - $15,000
	Market Vectors High Yield Muni	P	N/A	06-29-12	$1,001 - $15,000
	Pioneer Muni Hi Incm Adv Tr	P	N/A	03-19-12	$1,001 - $15,000

SCHEDULE IV - TRANSACTIONS

Name Carolyn McCarthy

Report any purchase, sale, or exchange transactions by you, your spouse, or dependent child during the reporting period of any security or real property held for investment that exceeded $1,000. Include transactions that resulted in a capital loss. Provide a brief description of any exchange transaction. Exclude transactions between you, your spouse or dependent children, or the purchase or sale of your personal residence, unless it generates rental income. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below.
Capital Gains — if a sales transaction resulted in a capital gain in excess of $200, check the "capital gains" box and disclose this income on Schedule III.
*** This column is for assets solely held by your spouse or dependent child.**

SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of $200?	Date	Amount of Transaction
	Powershares Etf Tr II	P	N/A	06-29-12	$1,001 - $15,000
	Pwrshares Insured NY Muni Bnd	P	N/A	03-19-12	$1,001 - $15,000
	Pwrshares Insured NY Muni Bnd	P	N/A	06-29-12	$1,001 - $15,000
	Vanguard Dividend Appreciation	P	N/A	06-29-12	$1,001 - $15,000
	John Hancock Pfd Incm Fd	S	No	11-08-12	$1,001 - $15,000
	Market Vect Env Serv	S	No	11-08-12	$1,001 - $15,000
	Market Vectors Russia ETF	S	No	09-05-12	$1,001 - $15,000
	Metropolitan Transn Auth Ny Trans	S	Yes	06-29-12	$15,001 - $50,000
	NFJ Dividend Int & Pre Strgy	S(part)	No	09-05-12	$1,001 - $15,000
	United StatesTreasury Note-Infl Index	S	No	07-12-12	$15,001 - $50,000
	Van Eck Glbl Alternative Engy	S	No	09-05-12	$1,001 - $15,000

SCHEDULE IV - TRANSACTIONS

Name Carolyn McCarthy

Report any purchase, sale, or exchange transactions by you, your spouse, or dependent child during the reporting period of any security or real property held for investment that exceeded $1,000. Include transactions that resulted in a capital loss. Provide a brief description of any exchange transaction. Exclude transactions between you, your spouse or dependent children, or the purchase or sale of your personal residence, unless it generates rental income. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below.
Capital Gains — if a sales transaction resulted in a capital gain in excess of $200, check the "capital gains" box and disclose this income on Schedule III.
*** This column is for assets solely held by your spouse or dependent child.**

SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of $200?	Date	Amount of Transaction
	American Tower Reit Com	P	N/A	01-30-12	$1,001 - $15,000
	Duke Energy Corp	P	N/A	01-30-12	$1,001 - $15,000
	Invesco Mortgage Capital Inc	P	N/A	11-08-12	$1,001 - $15,000
	Ishares Dow Jones Epac Sel	P	N/A	03-16-12	$1,001 - $15,000
	Ishares 10+ Year Credit Bond	P	N/A	03-16-12	$1,001 - $15,000
	Vanguard Dividend Appreciation	P	N/A	11-08-12	$1,001 - $15,000
	Vanguard S&P 500	P	N/A	11-08-12	$1,001 - $15,000
	General Electric Co	S	N/A	11-08-12	$1,001 - $15,000
	NFJ Dividend Int & Pre Strgy	S	No	11-08-12	$1,001 - $15,000
	Motorola Solutions Inc	S	No	11-08-12	$1,001 - $15,000

SCHEDULE V - LIABILITIES

Name Carolyn McCarthy

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. 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 it is rented out or you 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 a spouse, or the child, parent, or sibling of you or your spouse. Report revolving charge accounts (i.e., credit cards) only if the balance at the close of the preceding calendar year exceeded $10,000. *This column is for liabilities held solely by your spouse or dependent child.

SP, DC, JT	Creditor	Date Liability Incurred	Type of Liability	Amount of Liability
	Wells Fargo Bank	May 2002	Mortgage on personal residence, 493 Nancy Road, Mineola, NY	$100,001 - $250,000
	Bridgehampton National Bank	May 2002	Mortgage on rental house, 11A Bushy Neck Lane, Westhampton, NY	$50,001 - $100,000

SCHEDULE VIII - POSITIONS

Name Carolyn McCarthy

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

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