Filing ID #10016842

Financial Disclosure Report

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Filer Information

Name: Hon. Leonard Lance
Status: Member
State/District: NJ07

Filing Information

Filing Type: Annual Report
Filing Year: 2016
Filing Date: 08/9/2017

Schedule A: Assets and "Unearned" Income

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
AT&T Inc. (T)		$50,001 - $100,000	Dividends	$2,501 - $5,000	
Description: Transferred from Estate of Mae Anderson in 2014					
Bank Of America Checking		$1,001 - $15,000	None		
Bank of America Corporation (BAC)		$15,001 - $50,000	Dividends	$201 - $1,000	
Comments: 2176 shares BAC transferred to Congressman Lance from Estate of Wesley Lance in 2014.					
BANK OF AMERICA MMA		$1,001 - $15,000	Interest	None	
Candidate IRA ⇒ VANGUARD CAPITAL OPP GROWTH INV		$50,001 - $100,000	Dividends	$2,501 - $5,000	
Candidate IRA ⇒ VANGUARD EMERGING MKTS STOCK INDEX		$15,001 - $50,000	Dividends	$201 - $1,000	
Candidate IRA ⇒ VANGUARD ENERGY FUND ADMIRAL		$50,001 - $100,000	Dividends	$5,001 - $15,000	

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
Candidate IRA ⇒ VANGUARD EXPLORER FUND INVESTMENT		$1,001 - $15,000	Dividends	$201 - $1,000	☐
Candidate IRA ⇒ VANGUARD EXPLORER VALUE FUND		$1,001 - $15,000	Dividends	$1 - $200	☐
Candidate IRA ⇒ VANGUARD PRECIOUS METALS & MINING		$1,001 - $15,000	Dividends	None	☐
Candidate IRA ⇒ VANGUARD PRIMECAP INVESTOR FUND		$1,001 - $15,000	Dividends	$201 - $1,000	☐
Candidate IRA ⇒ VANGUARD WINDSOR II FUND INVESTMENT		$1,001 - $15,000	Dividends	$201 - $1,000	☐
CHASE BANK	SP	$1 - $1,000	None		☐
Comcast Corporation - Class A (CMCSA) DESCRIPTION: Transferred from Estate of Mae Anderson in 2014		$1,001 - $15,000	Dividends	$201 - $1,000	☐
Estate of Mae Anderson ⇒ Deutsche Assets COMMENTS: DWS Mutual Fund holding is now called Deutsche Assets. An executor's fee has reduced the value of this asset.		$15,001 - $50,000	Dividends	$201 - $1,000	☐
Estate of Mae Anderson ⇒ Dreyfus Mututal Fund COMMENTS: Asset sold 2016		None	Dividends	None	☑
Estate of Mae Anderson ⇒ Putnam Mutual Fund COMMENTS: An executor's fee has reduced the value of this asset.		$15,001 - $50,000	Dividends	$201 - $1,000	☐
Frontier Communications Corporation (FTR) DESCRIPTION: Transferred from Estate of Mae Anderson in 2014.		$1 - $1,000	Dividends	$1 - $200	☐
General Mills, Inc. (GIS) DESCRIPTION: Stock was transferred from Estate of Adele Rohrbach.	SP	$15,001 - $50,000	Dividends	$1,001 - $2,500	☐
JOHN HANCOCK VENTURE ANNUITY DESCRIPTION: SEE EARNED INCOME SCHEDULE UNDERLYING ASSET: MFC GLOBAL INVESTMENT MGMT LIFESTYLE BALANCE	SP	$50,001 - $100,000	Dividends	$5,001 - $15,000	☐

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
JP MORGAN RETIREMENT PLAN	SP	None	Interest	$201 - $1,000	☑
COMMENTS: Sold and proceeds used to purchase 4 Prudential AST Retirement Accounts 4/1/16.					
JP MORGANCHASE 401k ⇒ JP Morgan Chase & Co. (JPM)	SP	$100,001 - $250,000	Dividends	$15,001 - $50,000	☐
JP MORGANCHASE 401k ⇒ JPMC INTL LARGE CAP CORE FUND	SP	$50,001 - $100,000	Dividends	None	☐
JP MORGANCHASE 401k ⇒ JPMC LARGE CAP VALUE FUND	SP	$100,001 - $250,000	Dividends	None	☐
JP MORGANCHASE 401k ⇒ JPMC S&P 500 INDEX FUND	SP	$100,001 - $250,000	Dividends	$1,001 - $2,500	☐
JP MORGANCHASE 401k ⇒ JPMC SMALL CAP CORE FUND	SP	$100,001 - $250,000	Dividends	None	☐
JP MORGANCHASE 401k ⇒ JPMC ST FIXED INCOME FUND	SP	$100,001 - $250,000	Dividends	$201 - $1,000	☐
JP MORGANCHASE 401k ⇒ JPMC STABLE VALUE FUNDS	SP	$100,001 - $250,000	Dividends	$1,001 - $2,500	☐
MetLife, Inc. (MET)		$1 - $1,000	Dividends	$1 - $200	☐
DESCRIPTION: Transferred from the Estate of Wesley Lance in 2014.					
Nuveen		$1,001 - $15,000	Dividends	$1 - $200	☐
DESCRIPTION: Transferred from Estate of Mae Anderson in 2014.					
Office Building 36 Center ST		$100,001 - $250,000	None		☐
LOCATION: Clinton, NJ, US DESCRIPTION: 50% Ownership					
Prudential IRA Spouse ⇒ Prudential AST Advance Startegies Portfolio	SP	$100,001 - $250,000	Dividends	$1,001 - $2,500	☑
COMMENTS: Purchased 4/1/16 with proceeds from JP Morgan Retirement Plan					
Prudential IRA Spouse ⇒ Prudential AST Capital Growth Asset Alloc	SP	$100,001 - $250,000	Dividends	$1,001 - $2,500	☑
COMMENTS: Purchased 4/1/16 with proceeds from JP Morgan Retirement Plan					

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
Prudential IRA Spouse ⇒ Prudential AST Prud Growth Alloc COMMENTS: Purchased 4/1/16 with proceeds from JP Morgan Retirement Plan	SP	$100,001 - $250,000	Dividends	$1,001 - $2,500	✓
Prudential IRA Spouse ⇒ Prudential AST Schroeders Global Tactical Portfolio COMMENTS: Purchased 4/1/16 with proceeds from JP Morgan Retirement Plan	SP	$100,001 - $250,000	Dividends	$1,001 - $2,500	✓
SCOTTRADE MMA DESCRIPTION: DJIA 717 SALE		$15,001 - $50,000	Capital Gains, Interest	$2,501 - $5,000	✓
Spouse IRA ⇒ AMERICAN FUND CAP WORLD GROWTH & INCOME	SP	$15,001 - $50,000	Dividends	$201 - $1,000	
Spouse IRA ⇒ AMERICAN FUND INCOME FUND OF AMERICA A	SP	$15,001 - $50,000	Dividends	$201 - $1,000	
Spouse IRA ⇒ AMERICAN FUND INVESTMENT A	SP	$15,001 - $50,000	Dividends	$1,001 - $2,500	
Spouse IRA ⇒ AMERICAN FUNDS BOND FUND OF AMERICA A	SP	$15,001 - $50,000	Dividends	$1,001 - $2,500	
Spouse IRA ⇒ AMERICAN FUNDS CAP INCOME BUILDER A	SP	$1,001 - $15,000	Dividends	$201 - $1,000	
Spouse IRA ⇒ PRUDENTIAL IRA MMA COMMENTS: Holding account for Prudential Retirement Plan (SP).	SP	$1 - $1,000	None		
Spouse IRA ⇒ VANGUARD IRA DESCRIPTION: UNDERLYING ASSET: ADMIRAL ENERGY FUND	SP	$50,001 - $100,000	Dividends	$2,501 - $5,000	
UBS Financial Services- Member ⇒ ALLIANZGI INTL VALUE FUND		$15,001 - $50,000	Dividends	$201 - $1,000	
UBS Financial Services- Member ⇒ AMERICAN FUNDS FUNDAMENTAL INVESTORS		$15,001 - $50,000	Capital Gains	$201 - $1,000	
UBS Financial Services- Member ⇒ AMERICAN FUNDS GROWTH FUND OF AMERICA		$15,001 - $50,000	Capital Gains	$2,501 - $5,000	
UBS Financial Services- Member ⇒		$50,001 -	Dividends	$2,501 -	

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
AMERICAN FUNDS WASHINGTON MUTUAL INVESTORS		$100,000		$5,000	
UBS Financial Services- Member ⇒ CATALYST INSIDER BUYING CLASS A		$1,001 - $15,000	Dividends	None	
UBS Financial Services- Member ⇒ EATON VANCE LARGE CAP VALUE FUND CLASS A		$15,001 - $50,000	Dividends	$201 - $1,000	
UBS Financial Services- Member ⇒ FIRST EAGLE GLOBAL FUND CLASS A		$15,001 - $50,000	Dividends	$1,001 - $2,500	
UBS Financial Services- Member ⇒ FT GLOBAL BOND FUND		$15,001 - $50,000	Capital Gains	$201 - $1,000	
UBS Financial Services- Member ⇒ GROWTH FUND OF AMERICA CLASS F2		$50,001 - $100,000	Dividends	$1,001 - $2,500	
UBS Financial Services- Member ⇒ INVESCO VAN KEMPEN MID GROWTH FUND CL A		$50,001 - $100,000	Dividends	$1,001 - $2,500	
UBS Financial Services- Member ⇒ JP MORGAN MID CAP VALUE		$15,001 - $50,000	Dividends	$2,501 - $5,000	
UBS Financial Services- Member ⇒ MFS BOND FUND A		$50,001 - $100,000	Dividends	$2,501 - $5,000	
UBS Financial Services- Member ⇒ MFS INTL GROWTH		$50,001 - $100,000	Dividends	$201 - $1,000	
UBS Financial Services- Member ⇒ OPPENHEIMER DEVELOPING MARKETS		$15,001 - $50,000	Dividends	$1 - $200	
UBS Financial Services- Member ⇒ OPPENHEIMER SR FLOATING RATE FUND		$15,001 - $50,000	Dividends	$1,001 - $2,500	
UBS Financial Services- Member ⇒ PACE MONEY MARKET INVESTMENT FUND CLASS P		$1,001 - $15,000	None		
UBS Financial Services- Member ⇒ Principal Funds Global Dividend Income Fund		$15,001 - $50,000	Dividends	None	
UBS Financial Services- Member ⇒ PRINCIPAL HIGH YIELD FUND CLASS A		$15,001 - $50,000	Dividends	$1,001 - $2,500	

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
UBS Financial Services- Member ⇒ PRINCIPAL INVESTORS PREF SECURITIES FUND		$15,001 - $50,000	Dividends	$1,001 - $2,500	☐
UBS Financial Services- Member ⇒ WELLS FARGO ADVANTAGE GROWTH A		$100,001 - $250,000	Dividends	$15,001 - $50,000	☐
Verizon Communications Inc. (VZ) DESCRIPTION: Transferred from Estate of Mae Anderson in 2014.		$15,001 - $50,000	Dividends	$201 - $1,000	☐
Vodafone Group Plc - American Depositary Shares each representing ten Ordinary Shares (VOD)		$15,001 - $50,000	Dividends	$1 - $200	☐
Xcel Energy Inc. (XEL) DESCRIPTION: Transferred from Estate of Mae Anderson in 2014.		$1,001 - $15,000	Dividends	$201 - $1,000	☐

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

SCHEDULE B: TRANSACTIONS

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > $200?
DJIA 717 DESCRIPTION: SCOTTRADE PUT OPTION- DJIA 717		07/15/2016	S	$1,001 - $15,000	☑
Estate of Mae Anderson ⇒ Dreyfus Mutual Fund		05/20/2016	S	$15,001 - $50,000	☐
JP Morgan Retirement Plan	SP	04/1/2016	S	$250,001 - $500,000	☐
Prudential IRA Spouse ⇒ Prudential AST Advance Strategies Portfolio COMMENTS: Purchased from proceeds of JP Morgan Retirement Plan (SP)	SP	04/1/2016	P	$100,001 - $250,000	
Prudential IRA Spouse ⇒ Prudential AST Capital Growth Asset Alloc COMMENTS: Purchased from proceeds of JP Morgan retirement Plan (SP)	SP	04/1/2016	P	$100,001 - $250,000	
Prudential IRA Spouse ⇒ Prudential AST Prud Growth Alloc COMMENTS: Purchased from proceeds of JP Morgan Retirement Plan (SP)	SP	04/1/2016	P	$100,001 - $250,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > $200?
Prudential IRA Spouse ⇒ Prudential AST Schroeders Global Tactical Portfolio Comments: Purchased from proceeds of JP Morgan Retirement Plan (SP)	SP	04/1/2016	P	$100,001 - $250,000	
UBS Financial Services- Member ⇒ Principal Small Cap Fund		08/31/2016	P	$50,001 - $100,000	

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

Schedule C: Earned Income

None disclosed.

Schedule D: Liabilities

None disclosed.

Schedule E: Positions

None disclosed.

Schedule F: Agreements

Date	Parties To	Terms of Agreement
December 2009	State of NJ and Leonard Lance (Member)	Pension Annuity (in 2016 Member waived all payments to himself).

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

- Candidate IRA
- Estate of Mae Anderson (50% Interest)
  Location: Clinton, NJ, US
  Description: 50% INTEREST IN THE ESTATE OF MAE ANDERSON

- JP MORGANCHASE 401k (Owner: SP)
- Prudential IRA Spouse (Owner: SP)
  Comments: Purchased from proceeds of JP Morgan Retirement Plan (SP)
- Spouse IRA (Owner: SP)
- UBS Financial Services- Member (100% Interest)
  Location: Greenwich, CT, US
  Description: Mutual Fund Account

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. Leonard Lance , 08/9/2017