Filing ID #10021632

# Financial Disclosure Report

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## Filer Information

**Name:** Hon. Hakeem S. Jeffries
**Status:** Member
**State/District:** NY08

## Filing Information

**Filing Type:** Annual Report
**Filing Year:** 2017
**Filing Date:** 05/15/2018

## Schedule A: Assets and "Unearned" Income

| Asset | Owner | Value of Asset | Income Type(s) | Income | Tx. > $1,000? |
|---|---|---|---|---|---|
| Bank of America Accounts [BA] | JT | $15,001 - $50,000 | Interest | $1 - $200 | |
| Bay Ridge Federal Credit Union Account [BA] | SP | $15,001 - $50,000 | Interest | $1 - $200 | |
| HSBC Accounts [BA] | | $50,001 - $100,000 | Interest | $201 - $1,000 | |
| HSBC Brokerage Account ⇒ Lord Abbett Floating Rate Fund Class C [OT] | | $100,001 - $250,000 | Dividends | $2,501 - $5,000 | ✓ |
| Lutheran Medical Center 401(k) ⇒ JHancock3 Disciplined Value 1 [PE] | SP | $1,001 - $15,000 | Tax-Deferred | | |
| Lutheran Medical Center 401(k) ⇒ PIMCO Total Ret. Instl. [PE] | SP | $1,001 - $15,000 | Tax-Deferred | | |
| Lutheran Medical Center 401(k) ⇒ VALIC Fixed Interest Option [PE] | SP | $15,001 - $50,000 | Tax-Deferred | | |
| Merrill Edge Guided Investing Traditional IRA ⇒ | | $1,001 - $15,000 | Dividends | $1 - | ✓ |

| Asset | Owner | Value of Asset | Income Type(s) | Income | Tx. > $1,000? |
|---|---|---|---|---|---|
| ISHARES Core S&P U.S. Growth ETF (IUSG) [EF] | | | | $200 | |
| Merrill Edge Guided Investing Traditional IRA ⇒ ISHARES Core S&P U.S. Value ETF (IUSV) [EF] | | $1,001 - $15,000 | Dividends | $1 - $200 | ☑ |
| Merrill Edge Guided Investing Traditional IRA ⇒ ISHARES IBOXX $ Invt Grade Corp Bond (LQD) [CS] | | $1,001 - $15,000 | Dividends | $1 - $200 | ☑ |
| Merrill Edge Guided Investing Traditional IRA ⇒ ISHARES U.S. Treasury Bond ETF (GOVT) [GS] | | $1,001 - $15,000 | Dividends | $1 - $200 | ☑ |
| Merrill Edge Guided Investing Traditional IRA ⇒ Vanguard FTSE Developed Markets ETF (VEA) [EF] | | $1,001 - $15,000 | Dividends | $1 - $200 | ☑ |
| Merrill Edge Guided Investing Traditional IRA ⇒ Vanguard Mortgage-Backed SEC (VMBS) [AB] | | $1,001 - $15,000 | Dividends | $1 - $200 | ☑ |
| Merrill Edge Investment Account-Non Retirement ⇒ SPDR US DVDND ARISTOCRAT ETF (SDY) [EF] | JT | $50,001 - $100,000 | Capital Gains, Dividends | $1,001 - $2,500 | ☐ |
| Merrill Edge Investment Account-Non Retirement ⇒ Vanguard REIT ETF (VNQ) [EF] | JT | $15,001 - $50,000 | Capital Gains, Dividends | $1,001 - $2,500 | ☐ |
| New York State Pension [PE] | | $15,001 - $50,000 | None | | ☐ |
| Northwestern Mutual Whole Life Insurance Policy [WU] | | $15,001 - $50,000 | None | | ☐ |
| Northwestern Mutual Whole Life Insurance Policy [WU] | SP | $15,001 - $50,000 | None | | ☐ |
| NY 529 Direct Plan (Dependent Child 1) Moderate Age Based Option: Conservative Growth Portfolio/Aggr [5P]<br>LOCATION: NY | | $50,001 - $100,000 | Tax-Deferred | | ☑ |
| NY 529 Direct Plan (Dependent Child 2) Moderate Age Based Option: Conservative Growth Portfolio/Aggr [5P]<br>LOCATION: NY | | $50,001 - $100,000 | Tax-Deferred | | ☑ |
| Russell Lifepoint Balanced Strategy Fund Class C (Northwestern Mutual) [MF] | JT | $1,001 - $15,000 | Capital Gains, Dividends | $201 - $1,000 | ☐ |
| Transamerica Custodial Traditional IRA Money Market Account [BA] | SP | $1,001 - $15,000 | None | | ☐ |

* 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

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > $200? |
|---|---|---|---|---|---|
| HSBC Brokerage Account ⇒<br>Lord Abbett Floating Rate Fund Class C [OT]<br>Location: US | | 08/15/2017 | P | $15,001 - $50,000 | |
| Merrill Edge Guided Investing Traditional IRA ⇒<br>ISHARES Core S&P U.S. Growth ETF (IUSG) [OT]<br>Location: US | | 08/15/2017 | P | $1,001 - $15,000 | |
| Merrill Edge Guided Investing Traditional IRA ⇒<br>ISHARES Core S&P U.S. Value ETF (IUSV) [OT]<br>Location: US | | 08/15/2017 | P | $1,001 - $15,000 | |
| Merrill Edge Guided Investing Traditional IRA ⇒<br>ISHARES IBOXX $ Invt Grade Corp Bond (LQD) [CS] | | 08/15/2017 | P | $1,001 - $15,000 | |
| Merrill Edge Guided Investing Traditional IRA ⇒<br>ISHARES U.S. Treasury Bond ETF (GOVT) [GS] | | 08/15/2017 | P | $1,001 - $15,000 | |
| Merrill Edge Guided Investing Traditional IRA ⇒<br>Vanguard FTSE Developed Markets ETF (VEA) [OT]<br>Location: US | | 08/15/2017 | P | $1,001 - $15,000 | |
| Merrill Edge Guided Investing Traditional IRA ⇒<br>Vanguard Mortgage-Backed SEC (VMBS) [AB] | | 08/15/2017 | P | $1,001 - $15,000 | |
| NY 529 Direct Plan (Dependent Child 1) Moderate Age Based Option: Conservative Growth Portfolio [5P]<br>Location: NY<br>Description: Reallocation of twenty percent of the portfolio from Moderate Age-Based Option: Conservative Growth Portfolio to Aggressive Age-Based Option: Moderate Growth Portfolio | | 05/30/2017 | E | $15,001 - $50,000 | |
| NY 529 Direct Plan (Dependent Child 2) Moderate Age Based Option: Conservative Growth Portfolio [5P]<br>Location: NY<br>Description: Reallocation of fifty percent of the portfolio from Moderate Age-Based Option: Conservative Growth Portfolio to Aggressive Age-Based Option: Moderate Growth Portfolio | | 05/30/2017 | E | $15,001 - $50,000 | |

* 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

| Source | Type | Amount |
|---|---|---|
| Worksite Medical Service PC | Spouse Salary | N/A |

## Schedule D: Liabilities

| Owner | Creditor | Date Incurred | Type | Amount of Liability |
|---|---|---|---|---|
| | HSBC | July 2015 | Primary Residence Mortgage | $250,001 - $500,000 |
| | BB&T | January 2017 | Mortgage on Washington, DC Residence | $50,001 - $100,000 |
| | Capitol Hill Tower Housing Corporation | January 2017 | Share of Coop Mortgage on Washington, DC Residence | $100,001 - $250,000 |

## Schedule E: Positions

None disclosed.

## Schedule F: Agreements

| Date | Parties To | Terms of Agreement |
|---|---|---|
| January 2007 | New York State Common Retirement Fund/ Hakeem S. Jeffries | Continued participation in a New York State pension plan. |

## 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

- HSBC Brokerage Account
  Location: US
- Lutheran Medical Center 401(k) (Owner: SP)
- Merrill Edge Guided Investing Traditional IRA
- Merrill Edge Investment Account-Non Retirement (Owner: JT)

Location: US

## 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

## 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. Hakeem S. Jeffries , 05/15/2018