Filing ID #10047503

Financial Disclosure Report

Clerk of the House of Representatives • Legislative Resource Center • 135 Cannon Building • Washington, DC 20515

Filer Information

Name: Hon. John M. Katko
Status: Member
State/District: NY24

Filing Information

Filing Type: Annual Report
Filing Year: 2021
Filing Date: 07/15/2022

Schedule A: Assets and "Unearned" Income

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
American Century Equity Income Fund (TWEIX) [MF]	JT	$15,001 - $50,000	Capital Gains, Dividends	$1,001 - $2,500	✓
BlackRock Event Driven Equity Fund Institutional Shares (BILPX) [MF]	JT	$1,001 - $15,000	None		✓
Fidelity Advisor Floating Rate High Income Fund (FFRIX) [MF]	JT	$1,001 - $15,000	Dividends	$1 - $200	✓
Guggenheim Total Return Bond Fund Institutional Class (GIBIX) [MF]	JT	$15,001 - $50,000	Capital Gains, Dividends	$201 - $1,000	✓
iShares Russell 2000 ETF (IWM) [EF]	JT	$1,001 - $15,000	Dividends	$1 - $200	✓
Laudus Trust - Schwab Select Large Cap Growth Fund (LGILX) [MF]	JT	$1,001 - $15,000	Capital Gains	$1,001 - $2,500	✓
PGIM Short-Term Corporate Bond Fund (PIFZX) [MF]	JT	$15,001 - $50,000	Dividends	$1 - $200	✓
Spouse Beneficiary IRA ⇒ American Beacon SiM High Yld Opps Fund (SHOIX) [MF]	SP	$15,001 - $50,000	Tax-Deferred		

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
Spouse Beneficiary IRA ⇒ American Funds New World Fund (NFFFX) [MF]	SP	$15,001 - $50,000	Tax-Deferred		✓
Spouse Beneficiary IRA ⇒ Brokerage Sweep Account [BA]	SP	$1,001 - $15,000	Tax-Deferred		☐
Spouse Beneficiary IRA ⇒ Dodge & Cox Stock Fund (DODGX) [MF]	SP	$15,001 - $50,000	Tax-Deferred		☐
Spouse Beneficiary IRA ⇒ Fidelity Advisor Floating Rate High Income Fund (FFRIX) [MF]	SP	$15,001 - $50,000	Tax-Deferred		✓
Spouse Beneficiary IRA ⇒ Frost Total Return Bond Fund Class Institutional (FIJEX) [MF]	SP	$15,001 - $50,000	Tax-Deferred		☐
Spouse Beneficiary IRA ⇒ Guggenheim Total Return Bond Fund Institutional Class (GIBIX) [MF]	SP	$15,001 - $50,000	Tax-Deferred		✓
Spouse Beneficiary IRA ⇒ iShares Russell 2000 ETF (IWM) [EF]	SP	$1,001 - $15,000	Tax-Deferred		✓
Spouse Beneficiary IRA ⇒ iShares Russell Mid-Cap ETF (IWR) [EF]	SP	$15,001 - $50,000	Tax-Deferred		☐
Spouse Beneficiary IRA ⇒ Janus Henderson Global Equity Income Fund (HFQIX) [MF]	SP	$15,001 - $50,000	Tax-Deferred		✓
Spouse Beneficiary IRA ⇒ John Hancock Funds Strategic Income Opportunities Fund (JIPIX) [MF]	SP	$15,001 - $50,000	Tax-Deferred		☐
Spouse Beneficiary IRA ⇒ Laudus Trust - Schwab Select Large Cap Growth Fund (LGILX) [MF]	SP	$50,001 - $100,000	Tax-Deferred		✓
Spouse Beneficiary IRA ⇒ MFS Growth Fund (MFEIX) [MF]	SP	$15,001 - $50,000	Tax-Deferred		☐
Spouse Beneficiary IRA ⇒ MFS International Growth Fund Class I (MQGIX) [MF]	SP	$15,001 - $50,000	Tax-Deferred		✓

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
Spouse Beneficiary IRA ⇒ Putnam Diversified Income Trust (PDVYX) [MF]	SP	$15,001 - $50,000	Tax-Deferred		☐
Spouse Beneficiary IRA ⇒ T. Rowe Price Dividend Growth Fund, Inc. (PRDGX) [MF]	SP	$50,001 - $100,000	Tax-Deferred		☑
Spouse Beneficiary IRA ⇒ Touchstone Mid Cap Fund Class Y (TMCPX) [MF]	SP	$15,001 - $50,000	Tax-Deferred		☑
Spouse Beneficiary IRA ⇒ Western Asset Core Plus Bond Fund (WACPX) [MF]	SP	$15,001 - $50,000	Tax-Deferred		☐
Summit Federal Credit Union savings account [BA]	JT	$1,001 - $15,000	Interest	$1 - $200	☐
T. Rowe Price Dividend Growth Fund, Inc. (PRDGX) [MF]	JT	$1,001 - $15,000	Capital Gains, Dividends	$1 - $200	☑
Touchstone Mid Cap Fund Class Y (TMCPX) [MF]	JT	$1,001 - $15,000	Capital Gains, Dividends	$201 - $1,000	☑
UBS Bank Sweep Account [BA]	JT	$100,001 - $250,000	Interest	$1 - $200	☐

* 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?
American Century Equity Income Fund (TWEIX) [MF]	JT	12/22/2021	P	$1,001 - $15,000	
American Century Equity Income Fund (TWEIX) [MF]	JT	11/9/2021	P	$15,001 - $50,000	
BlackRock Event Driven Equity Fund Institutional Shares (BILPX) [MF]	JT	11/9/2021	P	$1,001 - $15,000	
Fidelity Advisor Floating Rate High Income Fund (FFRIX) [MF]	JT	11/3/2021	P	$1,001 - $15,000	
Guggenheim Total Return Bond Fund Institutional Class (GIBIX) [MF]	JT	11/3/2021	P	$15,001 - $50,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > $200?
iShares Russell 2000 ETF (IWM) [EF]	JT	12/3/2021	P	$1,001 - $15,000	
iShares Russell 2000 ETF (IWM) [EF]	JT	10/27/2021	P	$1,001 - $15,000	
iShares Russell 2000 ETF (IWM) [EF]	JT	11/16/2021	P	$1,001 - $15,000	
Laudus Trust - Schwab Select Large Cap Growth Fund (LGILX) [MF]	JT	12/3/2021	P	$1,001 - $15,000	
Laudus Trust - Schwab Select Large Cap Growth Fund (LGILX) [MF]	JT	12/17/2021	P	$1,001 - $15,000	
Laudus Trust - Schwab Select Large Cap Growth Fund (LGILX) [MF]	JT	11/9/2021	P	$1,001 - $15,000	
PGIM Short-Term Corporate Bond Fund (PIFZX) [MF]	JT	11/9/2021	P	$15,001 - $50,000	
Spouse Beneficiary IRA ⇒ American Funds New World Fund (NFFFX) [MF]	SP	12/17/2021	P	$1,001 - $15,000	
Spouse Beneficiary IRA ⇒ American Funds New World Fund (NFFFX) [MF]	SP	11/9/2021	P	$15,001 - $50,000	
Spouse Beneficiary IRA ⇒ Delaware Group Adviser Funds - Delaware Diversified Income Fund (DPFFX) [MF]	SP	11/9/2021	S	$15,001 - $50,000	☐
Spouse Beneficiary IRA ⇒ Fidelity Advisor Floating Rate High Income Fund (FFRIX) [MF]	SP	11/9/2021	P	$15,001 - $50,000	
Spouse Beneficiary IRA ⇒ Guggenheim Total Return Bond Fund Institutional Class (GIBIX) [MF]	SP	10/28/2021	P	$50,001 - $100,000	
Spouse Beneficiary IRA ⇒ Hartford Floating Rate Fund Class I (HFLIX) [MF]	SP	11/9/2021	S	$15,001 - $50,000	☐
Spouse Beneficiary IRA ⇒ Invesco FTSE RAFI Emerging Markets ETF (PXH) [EF]	SP	11/9/2021	S	$15,001 - $50,000	☐
Spouse Beneficiary IRA ⇒ iShares iBoxx $ Investment Grade Corporate Bond ETF (LQD) [EF]	SP	10/28/2021	S	$15,001 - $50,000	☐

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > $200?
Spouse Beneficiary IRA ⇒ iShares Micro-Cap ETF (IWC) [EF]	SP	11/9/2021	S	$15,001 - $50,000	✓
Spouse Beneficiary IRA ⇒ iShares Russell 2000 ETF (IWM) [EF]	SP	11/10/2021	P	$1,001 - $15,000	
Spouse Beneficiary IRA ⇒ iShares Russell 2000 ETF (IWM) [MF]	SP	11/16/2021	P	$1,001 - $15,000	
Spouse Beneficiary IRA ⇒ Janus Henderson Global Equity Income Fund (HFQIX) [MF]	SP	11/16/2021	P	$15,001 - $50,000	
Spouse Beneficiary IRA ⇒ Laudus Trust - Schwab Select Large Cap Growth Fund (LGILX) [MF]	SP	12/17/2021	P	$1,001 - $15,000	
Spouse Beneficiary IRA ⇒ Laudus Trust - Schwab Select Large Cap Growth Fund (LGILX) [MF]	SP	11/9/2021	P	$15,001 - $50,000	
Spouse Beneficiary IRA ⇒ Laudus Trust - Schwab Select Large Cap Growth Fund (LGILX) [MF]	SP	11/16/2021	P	$15,001 - $50,000	
Spouse Beneficiary IRA ⇒ MFS International Growth Fund Class I (MQGIX) [MF]	SP	12/10/2021	P	$1,001 - $15,000	
Spouse Beneficiary IRA ⇒ MFS International Growth Fund Class I (MQGIX) [MF]	SP	11/9/2021	P	$15,001 - $50,000	
Spouse Beneficiary IRA ⇒ Morgan Stanley Institutional Fund Trust Ultra-Short Income Portfolio Class IR (MULSX) [MF]	SP	11/10/2021	S	$1,001 - $15,000	☐
Spouse Beneficiary IRA ⇒ Pear Tree Polaris Foreign Value Small Cap Fund Institutional Class (QUSIX) [MF]	SP	11/10/2021	S	$15,001 - $50,000	☐
Spouse Beneficiary IRA ⇒ T. Rowe Price Dividend Growth Fund, Inc. (PRDGX) [MF]	SP	11/16/2021	P	$15,001 - $50,000	
Spouse Beneficiary IRA ⇒ T. Rowe Price Dividend Growth Fund, Inc. (PRDGX) [MF]	SP	10/28/2021	P	$15,001 - $50,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > $200?
Spouse Beneficiary IRA ⇒ Touchstone Mid Cap Fund Class Y (TMCPX) [MF]	SP	11/10/2021	P	$15,001 - $50,000	
Spouse Beneficiary IRA ⇒ Touchstone Mid Cap Fund Class Y (TMCPX) [MF]	SP	11/16/2021	P	$1,001 - $15,000	
Spouse Beneficiary IRA ⇒ Vanguard Short-Term Treasury Index Fund (VGSH) [EF]	SP	10/28/2021	S	$15,001 - $50,000	☐
Spouse Beneficiary IRA ⇒ Vanguard Tax Managed Small Cap Fund (VTMSX) [EF]	SP	10/28/2021	S	$15,001 - $50,000	☐
Spouse Beneficiary IRA ⇒ Vanguard Total Intl Stock Idx Fund (VTSNX) [MF]	SP	11/16/2021	S	$15,001 - $50,000	☑
Spouse Beneficiary IRA ⇒ Vanguard Total Stock Market Index Fund (VITSX) [MF]	SP	11/16/2021	S	$15,001 - $50,000	☑
Spouse Beneficiary IRA ⇒ Vanguard World Fund - Vanguard International Growth Fund (VWILX) [MF]	SP	11/10/2021	S	$15,001 - $50,000	☐
Spouse Beneficiary IRA ⇒ Virtus Private Credit ETF (VPC) [EF]	SP	10/28/2021	S	$15,001 - $50,000	☐
Spouse Beneficiary IRA ⇒ WisdomTree Emerging Markets High Dividend Fund (DEM) [EF]	SP	11/10/2021	S	$15,001 - $50,000	☐
T. Rowe Price Dividend Growth Fund, Inc. (PRDGX) [MF]	JT	11/9/2021	P	$1,001 - $15,000	
Touchstone Mid Cap Fund Class Y (TMCPX) [MF]	JT	11/9/2021	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

Owner	Creditor	Date Incurred	Type	Amount of Liability
JT	NBT Bank	January 2016	Home mortgage	$100,001 - $250,000
	NBT Bank COMMENTS: $0 balance as of 12/31/2021	January 2016	Home equity loan	$15,001 - $50,000

Schedule E: Positions

None disclosed.

Schedule F: Agreements

None disclosed.

Schedule G: Gifts

None disclosed.

Schedule H: Travel Payments and Reimbursements

Trip Details					Inclusions		
Source	Start Date	End Date	Itinerary	Days at Own Exp.	Lodging?	Food?	Family?
The Ripon Society & The Franklin Center for Global Policy	10/7/2021	10/8/2021	Syracuse, NY - Charlottesville, VA - Syracuse, NY	0	☑	☑	☐

Schedule I: Payments Made to Charity in Lieu of Honoraria

None disclosed.

Schedule A and B Asset Class Details

- Spouse Beneficiary IRA (Owner: SP)

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. John M. Katko , 07/15/2022