

# Financial Disclosures

## Annual Report for Calendar 2016

**The Honorable Tammy Duckworth (Duckworth, Tammy)**

Filed 07/13/2017 @ 6:28 PM

The following statements were checked before filing:

- I certify that the statements I have made on this form are true, complete and correct to the best of my knowledge and belief.
- I understand that reports cannot be edited once filed. To make corrections, I will submit an *electronic* amendment to this report.
- I omitted assets because they meet the three-part test for exemption.

### Part 1. Honoraria Payments or Payments to Charity in Lieu of Honoraria

Did any individual or organization pay you or your spouse more than \$200 or donate any amount to a charity on your behalf, for an article, speech, or appearance? **No**

### Part 2. Earned and Non-Investment Income

Did you or your spouse have reportable earned income or non-investment income? **Yes**

| # | Who Was Paid | Type   | Who Paid                                   | Amount Paid |
|---|--------------|--------|--------------------------------------------|-------------|
| 1 | Spouse       | Salary | Cartesian Inc<br>Overland Park, KS         | > \$1,000   |
| 2 | Spouse       | Salary | WideOpenWest Illinois LLC<br>Englewood, Co | > \$1,000   |
| 3 | Spouse       | Salary | TAD PGS, Inc<br>Burlington, MA             | > \$1,000   |

### Part 3. Assets

Did you, your spouse, or dependent child own any asset worth more than \$1000, have a deposit account with a balance over \$5,000, or receive income of more than \$200 from an asset? **Yes**

| <u>Asset</u> | <u>Asset Type</u>                | <u>Owner</u>                        | <u>Value</u> | <u>Income Type</u> | <u>Income</u> |
|--------------|----------------------------------|-------------------------------------|--------------|--------------------|---------------|
| 1            | <b>Edward Jones Brokerage #1</b> | eFD: Home Brokerage/Managed Account | Joint        |                    |               |

<https://efdsearch.senate.gov/search/home/>

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|     | <u>Asset</u>                                                                                 | <u>Asset Type</u>             | <u>Owner</u> | <u>Value</u>          | <u>Income Type</u> | <u>Income</u>                      |
|-----|----------------------------------------------------------------------------------------------|-------------------------------|--------------|-----------------------|--------------------|------------------------------------|
| 1.1 | <b>Edward Jones Investments</b><br>(Streamwood, IL)<br><i>Type: Brokerage Sweep Account,</i> | Bank Deposit                  | Joint        | \$1,001 -<br>\$15,000 | Interest,          | None<br>(or less<br>than<br>\$201) |
| 1.2 | <b><u>BBL</u> - BHP Billiton plc</b>                                                         | Corporate Securities<br>Stock | Joint        | \$1,001 -<br>\$15,000 | Dividends,         | None<br>(or less<br>than<br>\$201) |
| 1.3 | <b><u>CAT</u> - Caterpillar Inc.</b>                                                         | Corporate Securities<br>Stock | Joint        | \$1,001 -<br>\$15,000 | Dividends,         | None<br>(or less<br>than<br>\$201) |
| 1.4 | <b><u>DVMT</u> - Dell Technologies Inc.</b>                                                  | Corporate Securities<br>Stock | Joint        | \$1,001 -<br>\$15,000 | None,              | None<br>(or less<br>than<br>\$201) |
| 1.5 | <b><u>DD</u> - E. I. du Pont de Nemours and Company</b>                                      | Corporate Securities<br>Stock | Joint        | \$1,001 -<br>\$15,000 | Dividends,         | None<br>(or less<br>than<br>\$201) |
| 1.6 | <b><u>GE</u> - General Electric Company</b>                                                  | Corporate Securities<br>Stock | Joint        | \$1,001 -<br>\$15,000 | Dividends,         | \$201 -<br>\$1,000                 |
| 1.7 | <b><u>GS</u> - The Goldman Sachs Group, Inc.</b>                                             | Corporate Securities<br>Stock | Joint        | \$1,001 -<br>\$15,000 | Dividends,         | None<br>(or less<br>than<br>\$201) |
| 1.8 | <b><u>ITW</u> - Illinois Tool Works Inc.</b>                                                 | Corporate Securities<br>Stock | Joint        | \$15,001<br>-         | Dividends,         | \$201 -<br>\$1,000                 |
| 1.9 | <b><u>INTC</u> - Intel Corporation</b>                                                       | Corporate Securities<br>Stock | Joint        | \$1,001 -<br>\$15,000 | Dividends,         | \$201 -<br>\$1,000                 |

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|      | <u>Asset</u>                                                                                                                                                                                                                                                                                                | <u>Asset Type</u>             | <u>Owner</u> | <u>Value</u>                     | <u>Income Type</u>              | <u>Income</u>                      |
|------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------|--------------|----------------------------------|---------------------------------|------------------------------------|
| 1.10 | <b><u>JNJ</u> - Johnson &amp; Johnson</b>                                                                                                                                                                                                                                                                   | Corporate Securities<br>Stock | Joint        | \$1,001 -<br>\$15,000            | Dividends,                      | None<br>(or less<br>than<br>\$201) |
| 1.11 | <b><u>MDLZ</u> - Mondelez International, Inc.</b>                                                                                                                                                                                                                                                           | Corporate Securities<br>Stock | Joint        | \$1,001 -<br>\$15,000            | Dividends,                      | None<br>(or less<br>than<br>\$201) |
| 1.12 | <b><u>NEE</u> - NextEra Energy, Inc.</b>                                                                                                                                                                                                                                                                    | Corporate Securities<br>Stock | Joint        | \$1,001 -<br>\$15,000            | Dividends,                      | \$201 -<br>\$1,000                 |
| 1.13 | <b><u>VZ</u> - Verizon Communications Inc.</b>                                                                                                                                                                                                                                                              | Corporate Securities<br>Stock | Joint        | \$1,001 -<br>\$15,000            | Dividends,                      | \$201 -<br>\$1,000                 |
| 1.14 | <b><u>WBA</u> - Walgreens Boots Alliance, Inc.</b>                                                                                                                                                                                                                                                          | Corporate Securities<br>Stock | Joint        | \$1,001 -<br>\$15,000            | Dividends,                      | None<br>(or less<br>than<br>\$201) |
| 1.15 | <b><u>DIS</u> - The Walt Disney Company</b>                                                                                                                                                                                                                                                                 | Corporate Securities<br>Stock | Joint        | \$1,001 -<br>\$15,000            | Dividends,                      | None<br>(or less<br>than<br>\$201) |
| 1.16 | <b>Lincoln Shareholdrs Adv Old Contract<br/>#953048073</b><br><i>Provider: Edward Jones Investments Filer<br/>comment: Asset was listed separately on<br/>previous reports filed with the Clerk of the<br/>House, but is held in the Edward Jones<br/>Brokerage #1 acct. &amp; properly disclosed here.</i> | Annuity<br>Fixed              | Joint        | \$15,001<br>-<br>\$50,000        | None,                           | None<br>(or less<br>than<br>\$201) |
| 1.17 | <b><u>ABT</u> - Abbott Laboratories</b>                                                                                                                                                                                                                                                                     | Corporate Securities<br>Stock | Joint        | \$1,001 -<br>\$15,000            | Dividends,                      | None<br>(or less<br>than<br>\$201) |
| 1.18 | <b><u>CWGIX</u> - American Funds Capital World<br/>Gr&amp;Inc A</b>                                                                                                                                                                                                                                         | Mutual Funds<br>Mutual Fund   | Joint        | \$1,001 -<br>\$15,000<br>hide me | Excepted<br>Investment<br>Fund, | \$201 -<br>\$1,000                 |

|      | <u>Asset</u>                                                                           | <u>Asset Type</u>                                 | <u>Owner</u> | <u>Value</u>              | <u>Income Type</u>              | <u>Income</u>                      |
|------|----------------------------------------------------------------------------------------|---------------------------------------------------|--------------|---------------------------|---------------------------------|------------------------------------|
| 1.19 | <b>AMECX - American Funds Income Fund of Amer A</b>                                    | Mutual Funds<br>Mutual Fund                       | Joint        | \$15,001<br>-<br>\$50,000 | Excepted<br>Investment<br>Fund, | \$201 -<br>\$1,000                 |
| 1.20 | <b>AIVSX - American Funds Invmt Co of Amer A</b>                                       | Mutual Funds<br>Mutual Fund                       | Joint        | \$15,001<br>-<br>\$50,000 | Excepted<br>Investment<br>Fund, | \$201 -<br>\$1,000                 |
| 1.21 | <b>ANWPX - American Funds New Perspective A</b>                                        | Mutual Funds<br>Mutual Fund                       | Joint        | \$15,001<br>-<br>\$50,000 | Excepted<br>Investment<br>Fund, | \$201 -<br>\$1,000                 |
| 1.22 | <b>AFTEX - American Funds Tax-Exempt Bond A</b>                                        | Mutual Funds<br>Mutual Fund                       | Joint        | \$1,001 -<br>\$15,000     | Excepted<br>Investment<br>Fund, | None<br>(or less<br>than<br>\$201) |
| 1.23 | <b>Bright Start College Svgs Advisor 0-6 Yr</b><br><i>Institution: Illinois</i>        | Education Savings<br>Plans<br>529 Prepaid Tuition | Joint        | \$1,001 -<br>\$15,000     | Excepted<br>Investment<br>Fund, | None<br>(or less<br>than<br>\$201) |
| 2    | <b>IRA #1</b>                                                                          | Retirement Plans<br>IRA                           | Self         |                           |                                 |                                    |
| 2.1  | <b>DVMT - Dell Technologies Inc.</b>                                                   | Corporate Securities<br>Stock                     | Self         | \$1,001 -<br>\$15,000     | None,                           | None<br>(or less<br>than<br>\$201) |
| 2.2  | <b>MCD - McDonald's Corporation</b>                                                    | Corporate Securities<br>Stock                     | Self         | \$1,001 -<br>\$15,000     | None,                           | None<br>(or less<br>than<br>\$201) |
| 2.3  | <b>Edward Jones Investments</b><br>(Streamwood, IL)<br><i>Type: IRA Cash Accounts,</i> | Bank Deposit                                      | Self         | \$1,001 -<br>\$15,000     | None,                           | None<br>(or less<br>than<br>\$201) |

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|     | <u>Asset</u>                                                    | <u>Asset Type</u>           | <u>Owner</u> | <u>Value</u>              | <u>Income Type</u>              | <u>Income</u>                      |
|-----|-----------------------------------------------------------------|-----------------------------|--------------|---------------------------|---------------------------------|------------------------------------|
| 2.4 | <b><u>ABNDX</u> - American Funds Bond Fund of Amer A</b>        | Mutual Funds<br>Mutual Fund | Self         | \$1,001 -<br>\$15,000     | Excepted<br>Investment<br>Fund, | None<br>(or less<br>than<br>\$201) |
| 2.5 | <b><u>CWGIX</u> - American Funds Capital World Gr&amp;Inc A</b> | Mutual Funds<br>Mutual Fund | Self         | \$1,001 -<br>\$15,000     | Excepted<br>Investment<br>Fund, | None<br>(or less<br>than<br>\$201) |
| 2.6 | <b><u>AMECX</u> - American Funds Income Fund of Amer A</b>      | Mutual Funds<br>Mutual Fund | Self         | \$1,001 -<br>\$15,000     | Excepted<br>Investment<br>Fund, | None<br>(or less<br>than<br>\$201) |
| 2.7 | <b><u>AIVSX</u> - American Funds Invmt Co of Amer A</b>         | Mutual Funds<br>Mutual Fund | Self         | \$15,001<br>-<br>\$50,000 | Excepted<br>Investment<br>Fund, | None<br>(or less<br>than<br>\$201) |
| 2.8 | <b><u>ANWPX</u> - American Funds New Perspective A</b>          | Mutual Funds<br>Mutual Fund | Self         | \$15,001<br>-<br>\$50,000 | Excepted<br>Investment<br>Fund, | None<br>(or less<br>than<br>\$201) |
| 2.9 | <b><u>SMCWX</u> - American Funds SMALLCAP World A</b>           | Mutual Funds<br>Mutual Fund | Self         | \$1,001 -<br>\$15,000     | Excepted<br>Investment<br>Fund, | None<br>(or less<br>than<br>\$201) |
| 3   | <b>IRA #2</b>                                                   | Retirement Plans<br>IRA     | Self         |                           |                                 |                                    |
| 3.1 | <b><u>ABNDX</u> - American Funds Bond Fund of Amer A</b>        | Mutual Funds<br>Mutual Fund | Self         | \$1,001 -<br>\$15,000     | Excepted<br>Investment<br>Fund, | None<br>(or less<br>than<br>\$201) |

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|     | <u>Asset</u>                                               | <u>Asset Type</u>           | <u>Owner</u> | <u>Value</u>          | <u>Income Type</u>              | <u>Income</u>                      |
|-----|------------------------------------------------------------|-----------------------------|--------------|-----------------------|---------------------------------|------------------------------------|
| 3.2 | <b><u>AMECX</u> - American Funds Income Fund of Amer A</b> | Mutual Funds<br>Mutual Fund | Self         | \$1,001 -<br>\$15,000 | Excepted<br>Investment<br>Fund, | None<br>(or less<br>than<br>\$201) |
| 3.3 | <b><u>AIVSX</u> - American Funds Invmt Co of Amer A</b>    | Mutual Funds<br>Mutual Fund | Self         | \$1,001 -<br>\$15,000 | Excepted<br>Investment<br>Fund, | None<br>(or less<br>than<br>\$201) |
| 3.4 | <b><u>ANWPX</u> - American Funds New Perspective A</b>     | Mutual Funds<br>Mutual Fund | Self         | \$1,001 -<br>\$15,000 | Excepted<br>Investment<br>Fund, | None<br>(or less<br>than<br>\$201) |
| 4   | <b>IRA #3</b>                                              | Retirement Plans<br>IRA     | Spouse       |                       |                                 |                                    |
| 4.1 | <b><u>AMECX</u> - American Funds Income Fund of Amer A</b> | Mutual Funds<br>Mutual Fund | Spouse       | \$1,001 -<br>\$15,000 | Excepted<br>Investment<br>Fund, | None<br>(or less<br>than<br>\$201) |
| 4.2 | <b><u>AIVSX</u> - American Funds Invmt Co of Amer A</b>    | Mutual Funds<br>Mutual Fund | Spouse       | \$1,001 -<br>\$15,000 | Excepted<br>Investment<br>Fund, | None<br>(or less<br>than<br>\$201) |
| 4.3 | <b><u>ANWPX</u> - American Funds New Perspective A</b>     | Mutual Funds<br>Mutual Fund | Spouse       | \$1,001 -<br>\$15,000 | Excepted<br>Investment<br>Fund, | None<br>(or less<br>than<br>\$201) |
| 4.4 | <b><u>SMCWX</u> - American Funds SMALLCAP World A</b>      | Mutual Funds<br>Mutual Fund | Spouse       | \$1,001 -<br>\$15,000 | Excepted<br>Investment<br>Fund, | None<br>(or less<br>than<br>\$201) |
| 5   | <b>IRA #4</b>                                              | Retirement Plans<br>IRA     | Spouse       |                       |                                 |                                    |

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|         | <u>Asset</u>                                                                                    | <u>Asset Type</u>             | <u>Owner</u> | <u>Value</u>                         | <u>Income Type</u>              | <u>Income</u>                      |
|---------|-------------------------------------------------------------------------------------------------|-------------------------------|--------------|--------------------------------------|---------------------------------|------------------------------------|
| 5.1     | <b><u>AMECX</u> - American Funds Income Fund of Amer A</b>                                      | Mutual Funds<br>Mutual Fund   | Spouse       | \$1,001 -<br>\$15,000                | Excepted<br>Investment<br>Fund, | None<br>(or less<br>than<br>\$201) |
| 5.2     | <b><u>AIVSX</u> - American Funds Invmt Co of Amer A</b>                                         | Mutual Funds<br>Mutual Fund   | Spouse       | \$1,001 -<br>\$15,000                | Excepted<br>Investment<br>Fund, | None<br>(or less<br>than<br>\$201) |
| 5.3     | <b><u>ANWPX</u> - American Funds New Perspective A</b>                                          | Mutual Funds<br>Mutual Fund   | Spouse       | \$1,001 -<br>\$15,000                | Excepted<br>Investment<br>Fund, | None<br>(or less<br>than<br>\$201) |
| 5.4     | <b><u>SMCWX</u> - American Funds SMALLCAP World A</b>                                           | Mutual Funds<br>Mutual Fund   | Spouse       | \$1,001 -<br>\$15,000                | Excepted<br>Investment<br>Fund, | None<br>(or less<br>than<br>\$201) |
| 6       | <b>USAA Brokerage #2</b><br><i>Filer comment: Previously reported as "brokerage 3"</i>          | Brokerage/Managed<br>Account  | Joint        |                                      |                                 |                                    |
| 6.1     | <b><u>CAT</u> - Caterpillar Inc.</b>                                                            | Corporate Securities<br>Stock | Joint        | \$1,001 -<br>\$15,000                | Dividends,                      | \$201 -<br>\$1,000                 |
| 6.2     | <b><u>GLW</u> - Corning Incorporated</b>                                                        | Corporate Securities<br>Stock | Joint        | None<br>(or less<br>than<br>\$1,001) | Dividends,<br>Capital<br>Gains, | \$1,001 -<br>\$2,500               |
| 6.3     | <b><u>GME</u> - GameStop Corp.</b>                                                              | Corporate Securities<br>Stock | Joint        | \$1,001 -<br>\$15,000                | Dividends,                      | \$201 -<br>\$1,000                 |
| 6.4     | <b>USAA Investment Management</b><br>(San Antonio, TX)<br><i>Type: Brokerage Sweep Account,</i> | Bank Deposit                  | Joint        | \$1,001 -<br>\$15,000                | Interest,                       | None<br>(or less<br>than<br>\$201) |
| hide me |                                                                                                 |                               |              |                                      |                                 |                                    |

|     | <u>Asset</u>                                                                                                             | <u>Asset Type</u>           | <u>Owner</u> | <u>Value</u>          | <u>Income Type</u>              | <u>Income</u>                      |
|-----|--------------------------------------------------------------------------------------------------------------------------|-----------------------------|--------------|-----------------------|---------------------------------|------------------------------------|
| 7   | <b>Edward Jones Brokerage #3</b>                                                                                         | Brokerage/Managed Account   | Child        |                       |                                 |                                    |
| 7.1 | <b>CAIBX - American Funds Capital Income Bldr A</b><br><i>Filer comment: 2016 purchases were each less than \$1,000.</i> | Mutual Funds<br>Mutual Fund | Child        | \$1,001 -<br>\$15,000 | Excepted<br>Investment<br>Fund, | None<br>(or less<br>than<br>\$201) |
| 8   | <b>USAA</b><br>(San Antonio, TX)<br><i>Type: Money Market Account,</i>                                                   | Bank Deposit                | Joint        | \$1,001 -<br>\$15,000 | Dividends,                      | None<br>(or less<br>than<br>\$201) |
| 9   | <b>USAA</b><br>(San Antonio, TX)<br><i>Type: Checking,</i>                                                               | Bank Deposit                | Joint        | \$1,001 -<br>\$15,000 | Interest,                       | None<br>(or less<br>than<br>\$201) |

#### Part 4a. Periodic Transaction Report Summary

In this section, electronically filed periodic transaction report (PTR) transactions are displayed for you. Have you filed any paper-based PTRs in this period? **No**

#### Part 4b. Transactions

Did you, your spouse, or dependent child buy, sell, or exchange an asset that exceeded \$1,000? **Yes**

| # | Owner | Ticker      | Asset Name                              | Transaction Type | Transaction Date | Amount                | Comment                                                                                |
|---|-------|-------------|-----------------------------------------|------------------|------------------|-----------------------|----------------------------------------------------------------------------------------|
| 1 | Joint | <u>DVMT</u> | Dell Technologies Inc.                  | Exchange         | 09/07/2016       | \$1,001 -<br>\$15,000 | Shares received in exchange for EMC shares. Previously reported on PTR to House Ethics |
| 2 | Joint | <u>POT</u>  | Potash Corporation of Saskatchewan Inc. | Sale (Full)      | 12/09/2016       | \$1,001 -<br>\$15,000 | Previously Reported on PTR to House Ethics                                             |
| 3 | Joint | <u>GLW</u>  | Corning Incorporated                    | Sale (Full)      | 12/08/2016       | \$1,001 -<br>\$15,000 | Previously Reported on PTR to House Ethics                                             |

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### Part 5. Gifts

Did you, your spouse, or dependent child receive any reportable gift during the reporting period? **No**

### Part 6. Travel

Did you, your spouse, or dependent child receive any reportable travel or reimbursements for travel? **No**

### Part 7. Liabilities

Did you, your spouse, or dependent child have a liability worth more than \$10,000 at any time? **Yes**

| # | Incurred | Debtor | Type              | Points | Rate<br>(Term)      | Amount                  | Creditor                                      | Comments |
|---|----------|--------|-------------------|--------|---------------------|-------------------------|-----------------------------------------------|----------|
| 1 | 2016     | Joint  | Line of<br>Credit | -      | 5.25%<br>(3 years)  | \$15,001 -<br>\$50,000  | Edward Jones<br>Investments<br>Streamwood, IL | -        |
| 2 | 2011     | Joint  | Mortgage          | 0      | 5%<br>(30<br>years) | \$50,001 -<br>\$100,000 | USAA Federal Savings<br>Bank<br>Coppell, TX   | -        |

### Part 8. Positions

Did you hold any outside positions during the reporting period? **Yes**

| # | Position Dates       | Position Held  | Entity                                          | Entity Type | Comments |
|---|----------------------|----------------|-------------------------------------------------|-------------|----------|
| 1 | Aug 2011 to Sep 2016 | Other (Member) | Pacific First Health Solutions, LLC<br>Aiea, HI | Partnership |          |

### Part 9. Agreements

Did you have any reportable agreement or arrangement with an outside entity? **No**

### Part 10. Compensation

If this is your first report, or you are a candidate did you receive compensation of more than \$5,000 from a single source in the two prior years? This is not my first report.

### Attachments & Comments

No attachments added.  
No comments added.

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