

Financial Disclosure Statement - 2015

Filer Name: Kathleen Hochul

Primary Agency: Office of the Lieutenant Governor (01040)

1. Name

Responses

	First	M.I.	Last	Email
1)	Kathleen		Hochul	

2a. Position - Title

Responses

	Title
1)	Lieutenant Governor

2b. Position - Department

Responses

	Department/Agency/Gov. Entity
1)	Office of the Lieutenant Governor (01040)

2c. Position - Office Address

Responses

	Street 1	Street 2	City	State	Zip	Country
1)	State Capitol		Albany	NY	12224	US

2d. Position - Office Telephone

Responses

	Office Telephone
1)	518-402-2292

3a. Family - Marital Status

Responses

	Marital Status	Spouse's Name
1)	Married	William J. Hochul

3b. Family - Un-emancipated Children

Responses

Name
<i>None</i>

4a. Positions of Authority

List any office, trusteeship, directorship, partnership, or position of any nature, whether compensated or not, held by the reporting individual with any firm, corporation, association, partnership, or other organization other than the State of New York. Include compensated honorary positions; do NOT list membership or uncompensated honorary positions. If the listed entity was licensed by any state or local agency, was regulated by any state regulatory agency or local agency, or, as a regular and significant part of the business or activity of said entity, did business with, or had matters other than ministerial matters before, any state or local agency, list the name of any such agency.

Responses

Position	Organization	State or Local Agency
<i>None</i>		

4b. Positions of Authority - Spouse or Un-emancipated Child

List any office, trusteeship, directorship, partnership, or position of any nature, whether compensated or not, held by the reporting spouse or unemancipated child of the reporting individual with any firm, corporation, association, partnership, or other organization other than the State of New York. Include compensated honorary positions; do NOT list membership or uncompensated honorary positions. If the listed entity was licensed by any state or local agency, was regulated by any state regulatory agency or local agency, or, as a regular and significant part of the business or activity of said entity, did business with, or had matters other than ministerial matters before, any state or local agency, list the name of any such agency.

Responses

	Spouse, Child	Position	Organization	State or Local Agency
1)	United States Attorney (NYWD)	USDOJ	n/a	

5a. Outside Employment

List the name, address and description of any occupation, employment (other than the employment listed under Item 2 above), trade, business, or profession engaged in by the reporting individual. If such activity was licensed by any state or local agency, was regulated by any state regulatory agency or local agency, or, as a regular and significant part of the business or activity of said entity, did business with, or had matters other than ministerial matters before, any state or local agency, list the name of any such agency.

Responses

Position	Name of Organization	Street 1	Street 2	City	State	Zip	Country	Description	State or Local Agency
<i>None</i>									

5b. Outside Employment - Spouse or Unemancipated Child

If the spouse or un-emancipated child of the reporting individual was engaged in any occupation, employment, trade, business, or profession which activity was licensed by any state or local agency, was regulated by any state regulatory agency or local agency, or, as a regular and significant part of the business or activity of said entity, did business with, or had matters other than ministerial matters before, any state or local agency, list the name, address and description of such occupation, employment, trade, business or profession and the name of any such agency.

Responses

Spouse, Child	Position	Name of Organization	Street 1	Street 2	City	State	Zip	Country	Description	State or Local Agency
1) Spouse	US Attorney	United States Department of Justice	Office of the US Attorney	138 Delaware Avenue	Buffalo	NY	14202	US	US Attorney WDNY	NYS Office of Court Administration

6. Contracts

List any interest, in EXCESS of \$1,000, held by the reporting individual, such individual's spouse or un-emancipated child, or partnership of which any such person is a member, or corporation, 10% or more of the stock of which is owned or controlled by any such person, whether vested or contingent, in any contract made or executed by a state or local agency and include the name of the entity which holds such interest and the relationship of the reporting individual or such individual's spouse or such child to such entity and the interest in such contract.

Do NOT ... [click for more]

Responses

Self, Spouse, Child	Entity which held interest in Contract	Relationship to Entity and Interest in Contract	Contracting State or Local Agency	Category of Value of Contract (In Table II)
<i>None</i>				

7. Political Activities

List any position the reporting individual held as an officer of any political or political organization, as a member of any political party committee, or as a political party district leader. The term "party" shall have the same meaning as "party" in the election law. The term "political organization" means any party or independent body as defined in the election law or any organization that is affiliated with or a subsidiary of a party or independent body.

Responses

Position
<i>None</i>

8a. Licensed Professions and Business Relationships - Licensed Professions

If the reporting individual practices law, is licensed by the department of state as a real estate broker or agent or practices a profession licensed by the department of education, or works as a member or employee of a firm required to register pursuant to section one-e of the legislative law as a lobbyist, give a general description of the principal subject areas of matters undertaken by such individual. Additionally, if such an individual practices with a firm or corporation and is a partner or shareholder of the firm or corporation, give a general description of principal subject areas of matters undertaken by such firm or corporation.

Responses

Subject Areas	Description of Services
<i>None</i>	

Licensed Professions and Business Relationships

Responses

	Were services provided directly to clients?	Were services provided directly to a firm?
1)		

8b. Licensed Professions and Business Relationships

APPLICABLE ONLY TO NEW CLIENTS OR CUSTOMERS FOR WHOM SERVICES ARE PROVIDED ON OR AFTER JULY FIRST, TWO THOUSAND TWELVE AND BEFORE DECEMBER THIRTY-FIRST, TWO THOUSAND FIFTEEN, OR FOR NEW MATTERS FOR EXISTING CLIENTS OR CUSTOMERS WITH RESPECT TO THOSE SERVICES THAT ARE PROVIDED ON OR AFTER JULY FIRST, TWO THOUSAND TWELVE AND BEFORE DECEMBER THIRTY-FIRST, TWO THOUSAND FIFTEEN:

If the reporting individual personally provides services to any person or entity, or works as a member or employee of a partnership or corporation that provides such services (referred to hereinafter as a "firm"), then identify each client or customer to whom the reporting individual, or who was referred to the firm by the reporting individual or his or her firm earned fees in excess of \$10,000 during the reporting period for such services ... [click for more]

Responses

Client	Nature of Services
	<i>None</i>

8ba. Licensed Professions and Business Relationships

APPLICABLE ONLY TO NEW CLIENTS OR CUSTOMERS FOR WHOM SERVICES ARE PROVIDED ON OR AFTER DECEMBER THIRTY-FIRST, TWO THOUSAND FIFTEEN, OR FOR NEW MATTERS FOR EXISTING CLIENTS OR CUSTOMERS WITH RESPECT TO THOSE SERVICES THAT ARE PROVIDED ON OR AFTER DECEMBER THIRTY-FIRST, TWO THOUSAND FIFTEEN (FOR PURPOSES OF THIS QUESTION, "SERVICES" SHALL MEAN CONSULTATION, REPRESENTATION, ADVICE OR OTHER SERVICES):

If the reporting individual receives income from employment reportable in question 8(a) and personally provides services to any person or entity, or works as a member or employee of a partnership or corporation that provides such services (referred to hereinafter as a "firm"), the reporting individual shall identify each client or customer to whom the reporting individual personally provided services, or who was referred to the firm by the reporting individual, and from whom the reporting individual or his or her firm earned fees in excess of \$10,000 during ... [click for more]

Responses

Client Name	Matter	Nature of Services	Category of Value of Amount
			<i>None</i>

8bb. Licensed Professions and Business Relationships

APPLICABLE ONLY TO NEW CLIENTS OR CUSTOMERS FOR WHOM SERVICES ARE PROVIDED ON OR AFTER DECEMBER THIRTY-FIRST, TWO THOUSAND FIFTEEN, OR FOR NEW MATTERS FOR EXISTING CLIENTS OR CUSTOMERS WITH RESPECT TO THOSE SERVICES THAT ARE PROVIDED ON OR AFTER DECEMBER THIRTY-FIRST, TWO THOUSAND FIFTEEN (FOR PURPOSES OF THIS QUESTION "SERVICES" SHALL MEAN CONSULTATION, REPRESENTATION, ADVICE OR OTHER SERVICES):

(i) With respect to reporting individuals who receive ten thousand dollars or more from employment or activity reportable under question 8(a), for each client or customer NOT otherwise disclosed or exempted in question 8 or 13, disclose the name of each client or customer known to the reporting individual to whom the reporting ... [click for more]

Responses

Client	Services Actually Provided	Category of Value of Amount
<i>None</i>		

8bc. Licensed Professions and Business Relationships

FOLLOWING IS AN ILLUSTRATIVE, NON-EXCLUSIVE LIST OF EXAMPLES OF DESCRIPTIONS OF "SERVICES ACTUALLY PROVIDED":

- * REVIEWED DOCUMENTS AND CORRESPONDENCE;
- * REPRESENTED CLIENT (IDENTIFY CLIENT BY NAME) IN LEGAL PROCEEDINGS;
- * PROVIDED LEGAL ADVICE ON CLIENT MATTER (IDENTIFY CLIENT BY NAME);
- * CONSULTED WITH CLIENT OR CONSULTED WITH LAW PARTNERS/ASSOCIATES MEMBERS OF FIRM ON CLIENT MATTER (IDENTIFY CLIENT BY NAME);
- * PREPARED CERTIFIED FINANCIAL STATEMENT FOR CLIENT (IDENTIFY CLIENT BY NAME);
- * REFERRED INDIVIDUAL OR ENTITY (IDENTIFY CLIENT BY NAME) FOR REPRESENTATION OR CONSULTATION;
- * COMMERCIAL BROKERING SERVICES (IDENTIFY CUSTOMER BY NAME);
- * PREPARED CERTIFIED ARCHITECTURAL OR ENGINEERING RENDERINGS FOR CLIENT (IDENTIFY CUSTOMER BY NAME);
- * COURT APPOINTED GUARDIAN OR EVALUATOR (IDENTIFY COURT NOT CLIENT)

With respect to reporting individuals who disclosed in question 8(a) that the reporting individual did not provide services to a client but provided services to a firm or business, identify the category of amount received for providing such services and describe the services rendered. ... [click for more]

Responses

Description of Services Provided	Category of Value of Amount
<i>None</i>	

8c. Licensed Professions and Business Relationships

APPLICABLE ONLY TO NEW CLIENTS OR CUSTOMERS FOR WHOM SERVICES ARE PROVIDED ON OR AFTER DECEMBER THIRTY-FIRST, TWO THOUSAND FIFTEEN, OR FOR NEW MATTERS FOR EXISTING CLIENTS OR CUSTOMERS WITH RESPECT TO THOSE SERVICES THAT ARE PROVIDED ON OR AFTER DECEMBER THIRTY-FIRST, TWO THOUSAND FIFTEEN:

If the reporting individual receives income of ten thousand dollars or greater from any employment or activity reportable under question 8(a), identify each registered lobbyist who has directly referred to such individual a client who was successfully referred to the reporting individual's business and from whom the reporting individual or firm received a fee for services in excess of five thousand dollars. Report only those referrals that were made to a reporting individual by direct communication from a person known to such reporting individual to be a ... [click for more]

Responses

Client	Name of Lobbyist	Category of Value of Amount
<i>None</i>		

8d. Licensed Professions and Business Relationships

List the name, principal address and general description or the nature of the business activity of any entity in which the reporting individual or such individual's spouse had an investment in excess of \$1,000 excluding investments in securities and interests in real property.

Responses

Business Activity
<i>None</i>

9. Gifts

List each source of gifts, EXCLUDING campaign contributions, in EXCESS of \$1,000, received during the reporting period for which this statement is filed by the reporting individual or such individual's spouse or un-emancipated child from the same donor, EXCLUDING gifts from a relative. INCLUDE the name and address of the donor. The term "gifts" does not include reimbursements, which term is defined in item 10. Indicate the value and nature of each such gift.

Responses

Self, Spouse, Child	Name of Donor	Street 1	Street 2	City	State	Zip	Country	Nature of Gift	Category of Value of Contract (In Table II)
<i>None</i>									

10. Reimbursements

Identify and briefly describe the source of any reimbursements for expenditures, EXCLUDING campaign expenditures and expenditures in connection with official duties reimbursed by the state, in EXCESS of \$1,000 from each such source. For purposes of this item, the term "reimbursements" shall mean any travel-related expenses provided by non-governmental sources and for activities related to the reporting individual's official duties such as, speaking engagements, conferences, or fact-finding events. The term "reimbursements" does NOT include gifts reported under item 9.

Responses

Source	Description
<i>None</i>	

11. Retirement, Trust, Estates

List the identity and value, if reasonably ascertainable, of each interest in a trust, estate or other beneficial interest, including retirement plans (other than retirement plans of the state of New York or the city of New York), and deferred compensation plans (e.g., 401, 403(b), 457, etc.) established in accordance with the internal revenue code, in which the REPORTING INDIVIDUAL held a beneficial interest in EXCESS of \$1,000 at any time during the preceding year. Do NOT report interests in a trust, estate or other beneficial interest established by or for, or the estate of, a relative.

Responses

	Identity	Category of Value (In Table II)
1)	Oppenheimer Int'l Diversified A (OIDAX)	\$1,000 to under \$5,000
2)	Oppenheimer Main Street Select	\$5,000 to under \$20,000
3)	Oppenheimer Discovery (OPOCX)	\$1,000 to under \$5,000
4)	Fidelity Advisor Canada (FTCNX)	\$1,000 to under \$5,000
5)	Fidelity Advisors Consumer Staples (FDTGX)	\$5,000 to under \$20,000
6)	Fidelity Advisors Total Bond (FEPTX)	\$5,000 to under \$20,000
7)	Fidelity Advisors Total Int'l Equity (FTTEX)	\$1,000 to under \$5,000
8)	Fidelity Advisors New Insights (FNITX)	\$20,000 to under \$50,000
9)	Fidelity Advisors MidCap II	\$5,000 to under \$20,000
10)	Fidelity Advisors Small Cap Fund	\$5,000 to under \$20,000
11)	Fidelity Advisors Strategic Income Fund	\$5,000 to under \$20,000

12a. Employment Agreements

Describe the terms of, and the parties to, any contract, promise, or other agreement between the reporting individual and any person, firm, or corporation with respect to the employment of such individual after leaving office or position (other than a leave of absence).

Responses

Parties	Terms
<i>None</i>	

12b. Employment Agreements - Prior Employer

Describe the parties to and the terms of any agreement providing for continuation of payments or benefits to the REPORTING INDIVIDUAL in EXCESS of \$1,000 from a prior employer OTHER THAN the State. (This includes interests in or contributions to a pension fund, profit-sharing plan, or life or health insurance; buy-out agreements; severance payments; etc.)

Responses

Parties	Terms
<i>None</i>	

13. Income

List below the nature and amount of any income in EXCESS of \$1,000 from EACH SOURCE for the reporting individual and such individual's spouse for the taxable year last occurring prior to the date of filing. Nature of income includes, but is not limited to, all income (other than that received from the employment listed under Item 2 above) from compensated employment whether public or private, directorships and other fiduciary positions, contractual arrangements, teaching income, partnerships, honorariums, lecture fees, consultant fees, bank and bond interest, dividends, ... [click for more]

Responses

	Self, Spouse	Source	Nature	Category of Value of Contract (In Table I)
1)	Spouse	US Department of Justice	Salary	\$150,000 to under \$250,000

14. Income Due

List the sources of any deferred income (not retirement income) in EXCESS of \$1,000 from each source to be paid to the reporting individual following the close of the calendar year for which this disclosure statement is filed, other than deferred compensation reported in item 11 hereinabove. Deferred income derived from the practice of a profession shall be listed in the aggregate and shall identify as the source, the name of the firm, corporation, partnership or association through which the income was derived, but shall not identify individual clients.

Responses

Source	Category of Value of Contract (In Table I)
<i>None</i>	

15. Income Assignment/Asset Transfer

List each assignment of income in EXCESS of \$1,000, and each transfer other than to a relative during the reporting period for which this statement is filed for less than fair consideration of an interest in a trust, estate or other beneficial interest, securities or real property, by the reporting individual, in excess of \$1,000, which would otherwise be required to be reported herein and is not or has not been so reported.

Responses

Item Assigned or Transferred	Assigned or Transferred To	Category of Value (In Table I)
<i>None</i>		

16. Investments

List below the type and market value of securities held by the reporting individual or such individual's spouse from each issuing entity in EXCESS of \$1,000 at the **close of the taxable year last occurring** prior to the date of filing, including the name of the issuing entity exclusive of securities held by the reporting individual issued by a professional corporation. Whenever an interest in securities exists through a beneficial interest in a trust, the securities held in such trust shall be listed ONLY ... [click for more]

Responses

	Self, Spouse	Issuing Entity	Type of Security	Percentage of Corporate Stock Owned or Controlled (If more than 5% of publicly traded stock, or more than 10% if stock not publicly traded is held)	Category of market value as of the close of the taxable year last occurring prior to the filing of this statement (In Table II)
1)	Self, Spouse	Automatic Data Processing	Stock		\$20,000 to under \$50,000
2)	Self, Spouse	Johnson and Johnson	Stock		\$20,000 to under \$50,000
3)	Self, Spouse	Linear Tech Corp.	Stock		\$20,000 to under \$50,000
4)	Self, Spouse	3M Company	Stock		\$20,000 to under \$50,000
5)	Self, Spouse	Microsoft Corporation	Stock		\$20,000 to under \$50,000
6)	Self, Spouse	Paychex, Inc.	Stock		\$20,000 to under \$50,000
7)	Self, Spouse	Raytheon Company	Stock		\$20,000 to under \$50,000
8)	Self, Spouse	Exxon Mobil Corp.	Stock		\$20,000 to under \$50,000
9)	Self, Spouse	SPDR S&P Dividend ETF	Fund		\$5,000 to under \$20,000
10)	Self, Spouse	Blackrock Global Long (BDMIX)	Fund		\$20,000 to under \$50,000
11)	Self, Spouse	Gabelli ABC Fund	Fund		\$20,000 to under \$50,000
12)	Self, Spouse	Calamos Market Neutral Income Fund	Fund		\$20,000 to under \$50,000
13)	Self, Spouse	Lord Abbett Floating Rate Fund	Fund		\$5,000 to under \$20,000
14)	Self, Spouse	Blackrock Multi Asset Income Portfolio Institutional Fund	Fund		\$5,000 to under \$20,000

	Self, Spouse	Issuing Entity	Type of Security	Percentage of Corporate Stock Owned or Controlled (If more than 5% of publicly traded stock, or more than 10% if stock not publicly traded is held)	Category of market value as of the close of the taxable year last occurring prior to the filing of this statement (In Table II)
15)	Self, Spouse	Loomis Sayles Strategic Income Fund Cl Y	Fund		\$5,000 to under \$20,000
16)	Self, Spouse	The Merger Fund Cl N	Fund		\$20,000 to under \$50,000
17)	Self, Spouse	C. H. Robinson Worldwide	Stock		\$20,000 to under \$50,000
18)	Self, Spouse	Blackrock Global Long (BGCIX)	Fund		\$20,000 to under \$50,000
19)	Self, Spouse	Loomis Sayles Strategic Fund (LASIX)	Fund		\$5,000 to under \$20,000
20)	Self, Spouse	Lord Abbett Short (LDLFX)	Fund		\$5,000 to under \$20,000
21)	Self, Spouse	Allegion PLC SHS	Stock		\$20,000 to under \$50,000
22)	Self, Spouse	Barracuda Networks, Inc.	Stock		\$20,000 to under \$50,000
23)	Self, Spouse	Canadian National Railway Company	Stock		\$20,000 to under \$50,000
24)	Self, Spouse	Eaton Corp. PLC	Stock		\$20,000 to under \$50,000
25)	Self, Spouse	Thompson Reuters Corp.	Stock		\$20,000 to under \$50,000
26)	Self, Spouse	Consumer Discretionary SPDR	Fund		\$20,000 to under \$50,000
27)	Self, Spouse	Health Care Select SPDR	Fund		\$20,000 to under \$50,000
28)	Self, Spouse	iShares MSCI EAFE	Fund		\$20,000 to under \$50,000
29)	Self, Spouse	iShares iBoxx \$ Invest Grade Corporate Bond	Fund		\$5,000 to under \$20,000
30)	Self, Spouse	iShares Tips	Fund		\$5,000 to under \$20,000
31)	Self, Spouse	iShares 3-7 Year	Fund		\$5,000 to under \$20,000
32)	Self, Spouse	iShares MBS ETF	Fund		\$5,000 to under \$20,000

	Self, Spouse	Issuing Entity	Type of Security	Percentage of Corporate Stock Owned or Controlled (If more than 5% of publicly traded stock, or more than 10% if stock not publicly traded is held)	Category of market value as of the close of the taxable year last occurring prior to the filing of this statement (In Table II)
33)	Self, Spouse	IShares Inc Core MSCI	Fund		\$1,000 to under \$5,000
34)	Self, Spouse	Market Vectors J.P.	Fund		\$1,000 to under \$5,000
35)	Self, Spouse	Materials Select Sector	Fund		\$1,000 to under \$5,000
36)	Self, Spouse	Powershares Global	Fund		\$5,000 to under \$20,000
37)	Self, Spouse	Powershares Preferred	Fund		\$1,000 to under \$5,000
38)	Self, Spouse	Sector SPDR Consumer STPL	Fund		\$20,000 to under \$50,000
39)	Self, Spouse	Sector SPDR Energy	Fund		\$20,000 to under \$50,000
40)	Self, Spouse	Sector SPDR Industrials	Fund		\$20,000 to under \$50,000
41)	Self, Spouse	Sector SPDR Utilities	Fund		\$5,000 to under \$20,000
42)	Self, Spouse	SPDR Barclays	Fund		\$1,000 to under \$5,000
43)	Self, Spouse	Vanguard Financials ETF	Fund		\$20,000 to under \$50,000
44)	Self, Spouse	Vanguard Information	Fund		\$20,000 to under \$50,000
45)	Self, Spouse	Vanguard Telecom Services	Fund		\$5,000 to under \$20,000
46)	Self, Spouse	Vanguard Intermediate Term Bond ETF	Fund		\$20,000 to under \$50,000
47)	Self, Spouse	Vanguard Short Term Bond	Fund		\$5,000 to under \$20,000

17. Real Estate

List below the location, size, general nature, acquisition date, market value and percentage of ownership of any real property in which any vested or contingent interest in EXCESS of \$1,000 is held by the reporting individual or the reporting individual's spouse. Also list real property owned for investment purposes by a corporation more than fifty percent (50%) of the stock of which is owned or controlled by the reporting individual or such individual's spouse. Do NOT list any real property which is the primary or secondary personal residence of the reporting individual or the reporting individual's spouse, except where there is a co-owner who is other than a relative.

Responses

Self, Spouse, Corporation	Location	Size	General Nature	Acquisition Date	% of ownership	Category of market value as of the close of the taxable year last occurring prior to the filing of this statement (In Table II)
<i>None</i>						

18. Money Due

List below all notes and accounts receivable, other than from goods or services sold, held by the reporting individual at the close of the taxable year last occurring prior to the date of filing and other debts owed to such individual at the close of the taxable year last occurring prior to the date of filing, in EXCESS of \$1,000, including the name of the debtor, type of obligation, date due and the nature of the collateral securing payment of each, if any, excluding securities reported in item 16 hereinabove. Debts, notes and accounts receivable owed to the individual by a relative shall not be reported.

Responses

Name of Debtor	Type of Obligation	Due Date	Nature of Collateral	Category of amount (In Table II)
<i>None</i>				

19. Debts

List below all liabilities of the reporting individual and such individual's spouse, in EXCESS of \$10,000 as of the date of filing of this statement, other than liabilities to a relative. Do NOT list liabilities incurred by, or guarantees made by, the reporting individual or such individual's spouse or by any proprietorship, partnership or corporation in which the reporting individual or such individual's spouse has an interest, when incurred or made in the ordinary course of the trade, business or professional practice of the reporting individual or such individual's spouse. Include the name of the creditor and any collateral pledged by such individual to secure payment of ... [click for more]

Responses

Name of creditor or guarantor	Type of Liability and Collateral, if any	Category of amount (In Table II)
<i>None</i>		

20. Agreement

Responses

	I agree
1)	true