

# Financial Disclosures

## Annual Report for Calendar 2016

The Honorable Charles E Schumer (Schumer, Charles E.)

 Filed 05/15/2017 @ 11:19 AM

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	Self	Salary	US Senate Washington, DC	\$174,000.00
2	Spouse	Salary	The New York Public Library New York, NY	> \$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**

	Asset Asset	Asset Type Asset Type	Owner Owner	Value Value	Income Income Type	Income Income
1	<b>Value Line Funds</b> (New York, NY) Type: Money Market Account,	Bank Deposit	Self	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
2	<b>Morgan Stanley</b> (New York, NY) Type: Money Market Account,	Bank Deposit	Self	\$100,001 - \$250,000	Interest,	\$201 - \$1,000
3	<b>Morgan Stanley</b> (New York, NY) Type: Money Market Account,	Bank Deposit	Joint	\$15,001 - \$50,000	Interest,	None (or less than \$201)
4	<b>Congressional Federal Credit Union</b> (Washington, DC) Type: Certificate of Deposit, Savings,	Bank Deposit	Joint	\$50,001 - \$100,000	Interest,	\$201 - \$1,000
5	<b>Municipal Credit Union</b> (New York, NY) Type: Checking, Savings,	Bank Deposit	Spouse	\$1,001 - \$15,000	Interest,	None (or less than \$201)
6	<b>Teachers Retirement System Deferred Compensation</b> Company: Craig James Financial Servies, LLC (Melville, NY) Description: deferred compensation	Deferred Compensation	Spouse	\$50,001 - \$100,000	Excepted Investment Fund,	None (or less than \$201)
7	<b>Pleasantville, NY General Obligation Bonds, Series B</b> Rate/Coupon: 4% Matures: 06/15/2023	Government Securities Municipal Security	Self	\$1,001 - \$15,000	Interest,	\$201 - \$1,000
8	<b>New York State Voluntary Defined Contribution Program</b>	Retirement Plans Defined Contribution Pension Plan	Spouse			
8.1	<b>TIAA Traditional</b> Provider: TIAA-CREF	Annuity Fixed	Spouse	\$15,001 - \$50,000	Interest, Excepted Investment Fund.	None (or less than \$201)

8.2	<b>TIAA Acc-D&amp;C Intl Stk T1</b> Asset	Mutual Funds Mutual Fund	Spouse Owner	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201) Income
8.3	<b>TIAA Acc-VAN SmCpVa Ix T1</b>	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
8.4	<b>CREF Inf-Linked Bond R3</b>	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
8.5	<b><u>QCMMIX</u> - CREF Money Market Account - R3</b>	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
8.6	<b>TIAA Acc-VAN Wellingt n T1</b>	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
8.7	<b><u>QCGRIX</u> - CREF Growth Account - R3</b>	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
8.8	<b><u>QREARX</u> - TIAA Real Estate Account</b>	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
8.9	<b>TIAA Acc Lg-Cap Val Ix T1</b>	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
8.10	<b><u>QCBMIX</u> - CREF Bond Market Account - R3</b>	Mutual Funds Mutual Fund	Spouse	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
9	<b>Pensco Trust Company IRA</b>	Retirement Plans IRA	Self			
9.1	<b>Pensco Trust Company</b> (San Francisco, CA) Type: IRA Cash Accounts,	Bank Deposit	Self	\$1,001 - \$15,000	Interest,	None (or less than \$201)
10	<b>Pensco Trust Company IRA</b>	Retirement Plans	Spouse			

		IRA				
10.1	<b>Rensco Trust Company</b> (San Francisco, CA) Type: IRA Cash Accounts,	Bank Deposit Asset Type	Spouse Owner	\$1,001 - \$15,000 Value	Income Interest, Type	None (or less than \$201) Income
11	<b>City University of New York Tax Deferred Annuity Plan</b>	Retirement Plans Defined Contribution Pension Plan	Spouse			
11.1	<b>TIAA Traditional</b> Provider: TIAA-CREF	Annuity Fixed	Spouse	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
11.2	<b>TIAA Acc Lg-Cap Val Ix T1</b>	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
11.3	<b>TIAA Acc Sm-Cap BI Ix T1</b>	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
11.4	<b>TIAA Acc-AF WaMu Inv T1</b>	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
11.5	<b>TIAA Acc-AF EuroPac Gr T1</b>	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
11.6	<b><u>QREARX</u> - TIAA Real Estate Account</b>	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
11.7	<b><u>QCBMIX</u> - CREF Bond Market Account - R3</b>	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
11.8	<b>CREF Inf-Linked Bond R3</b>	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
11.9	<b>TIAA Acc-WAM Cr PI Bd T1</b>	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)

11.10	<b>QCSCIX-CREF Social Choice Account - R3</b> Asset	Mutual Funds Mutual Fund Asset Type	Spouse Owner	\$1,001 - \$15,000 Value	Excepted Investment Fund,	None (or less than \$201) Income
12	<b>New York Public Library TDA Plan</b>	Retirement Plans Defined Contribution Pension Plan	Spouse			
12.1	<b>TIAA Traditional</b> <i>Provider: TIAA-CREF</i>	Annuity Fixed	Spouse	\$100,001 - \$250,000	Excepted Investment Fund,	None (or less than \$201)
12.2	<b><u>QCGRPX</u> - CREF Growth Account - R2</b>	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
12.3	<b>T-C Intl Eq-Rtmt</b>	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
12.4	<b>T-C Lg-Cap Val-Rtmt</b>	Mutual Funds Mutual Fund	Spouse	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
12.5	<b>T-C Mid-Cap Val-Rtmt</b>	Mutual Funds Mutual Fund	Spouse	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
12.6	<b>T-C Lg-Cap Val Idx-Rtmt</b>	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
12.7	<b>T-C Sm-Cap Eq-Rtmt</b>	Mutual Funds Mutual Fund	Spouse	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
12.8	<b>T-C Emrg Mrkts Eq- Rtmt</b>	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
12.9	<b><u>QREARX</u> - TIAA Real Estate Account</b>	Mutual Funds Mutual Fund	Spouse	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)

12.10	<b>T-C High-Yield-Rtmt</b> Asset	Mutual Funds Mutual Fund Asset Type	Spouse Owner	\$15,001 - \$50,000 Value	Excepted Investment Fund, Income Type,	None (or less than \$201) Income
12.11	<b>T-C Short-Term Bond-Rtmt</b>	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
12.12	<b>T-C Infl-Lnkd Bond-Rtmt</b>	Mutual Funds Mutual Fund	Spouse	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
12.13	<b>T-C Bond-Rtmt</b>	Mutual Funds Mutual Fund	Spouse	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
12.14	<b>T-C Soc Choice Bond-Rtmt</b>	Mutual Funds Mutual Fund	Spouse	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$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? **No**

#### 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**? **Yes**

#	Date(s)	Traveler(s)	Travel Type	Itinerary	Reim-bursed For	Who Paid	Comment
1	02/19/2016 to 02/22/2016	Self , Spouse	Personal friendship	Self: Dallas to Cancun and return to Houston Spouse: New York to Cancun and return	Hotel, meals, airfare Amount: \$8,235.11	Claire McCaskill Kirkwood, MO	

### Part 7. Liabilities

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

#	In-curred	Debtor	Type	Points	Rate (Term)	Amount	Creditor	Comments
1	2012	Joint	Mortgage	0	3.375% (10 years)	\$50,001 - \$100,000	Citibank New York, NY	Mortgage on primary residence

### Part 8. Positions

Did you hold any outside positions during the reporting period? **No**

### Part 9. Agreements

Did you have any reportable agreement or arrangement with an outside entity? **Yes**

#	Date	Parties Involved	Type	Status and Terms
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#	Date	Parties Involved	Type	Status and Terms
1	Jan 2008	Rodale, Inc. Emmaus, PA	Royalty Agreement	Pursuant to agreement with Rodale, Inc., in 2007 Senator Schumer authored a book entitled "Positively American." Under the terms of the agreement the Senator received an advance (disclosed in 2007 report) against royalties and is entitled to receive ongoing standard royalties. The above agreement was reviewed and approved by the Senate Ethics Committee in advance.

#### 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.*

#### Comments

Catskill, NY Central School District Bonds were called early by the issuer, which is why they no longer appear on this report.