Filing ID #10003662

Financial Disclosure Report

Clerk of the House of Representatives • Legislative Resource Center • B-106 Cannon Building • Washington, DC 20515

Filer Information

Name: Mr. James A. Himes
Status: Member
State/District: CT04

Filing Information

Filing Type: Amendment Report
Filing Year: 2013
Filing Date: 07/16/2014

Schedule A: Assets and "Unearned" Income

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
Chase Money Market Savings	JT	$50,001 - $100,000	Interest	$1 - $200	☐
Chase Savings Account	DC	$1,001 - $15,000	None		☐
Chase Savings Account	DC	$1,001 - $15,000	None		☐
Chase Savings Account	JT	$1,001 - $15,000	None		☐
Chase Workplace Checking	JT	$1,001 - $15,000	Interest	$1 - $200	☐
DC1 ⇒ CT High Equity Option Location: CT Description: Connecticut Higher Education Trust	DC	$100,001 - $250,000	Tax-Deferred	None	☑
DC1 ⇒ Index Fixed Income Option Location: CT Description: Rebalanced 1/22/13 from High Equity Option, Connecticut Higher Education Trust	DC	$1,001 - $15,000	Tax-Deferred	None	☑

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
DC2 ⇒ CT High Equity Option LOCATION: CT DESCRIPTION: Connecticut Higher Education Trust	DC	$100,001 - $250,000	Tax-Deferred	None	☑
Fidelity Brokerage ⇒ Alcatel-Lucent (ALU)	JT	$1,001 - $15,000	Dividends	$1 - $200	☐
Fidelity Brokerage ⇒ Cisco Systems, Inc. (CSCO)	JT	$15,001 - $50,000	Dividends	$1,001 - $2,500	☐
Fidelity Brokerage ⇒ Columbia Value and Restructuring	JT	$50,001 - $100,000	Capital Gains, Dividends	$15,001 - $50,000	☐
Fidelity Brokerage ⇒ Facebook, Inc. - Class A (FB)	JT	$50,001 - $100,000	None		☑
Fidelity Brokerage ⇒ Fidelity Capital Appreciation	JT	$100,001 - $250,000	Capital Gains, Dividends	$15,001 - $50,000	☐
Fidelity Brokerage ⇒ Fidelity CT Municipal Money Mkt	JT	$500,001 - $1,000,000	Interest	$1 - $200	☐
Fidelity Brokerage ⇒ Fidelity International Discovery	JT	$100,001 - $250,000	Capital Gains, Dividends	$2,501 - $5,000	☐
Fidelity Brokerage ⇒ Fidelity International Small Cap	JT	$100,001 - $250,000	Capital Gains, Dividends	$2,501 - $5,000	☐
Fidelity Brokerage ⇒ Fidelity Intl Cap Appreciation	JT	$100,001 - $250,000	Capital Gains, Dividends	$1,001 - $2,500	☐
Fidelity Brokerage ⇒ Fidelity Intl Real Estate Fund	JT	$15,001 - $50,000	Dividends	$1,001 - $2,500	☐
Fidelity Brokerage ⇒ GS Asia Equity Class A	JT	$100,001 - $250,000	Capital Gains, Dividends	$201 - $1,000	☐
Fidelity Brokerage ⇒ GS Small Cap Value	JT	$100,001 - $250,000	Capital Gains, Dividends	$15,001 - $50,000	☐
Fidelity Brokerage ⇒ Intel Corporation (INTC)	JT	$50,001 - $100,000	Dividends	$1,001 - $2,500	☐

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
Fidelity Brokerage ⇒ Microsoft Corporation (MSFT)	JT	$15,001 - $50,000	Dividends	$201 - $1,000	☐
Fidelity Brokerage ⇒ Mondelez International, Inc. - Class A (MDLZ) Description: Contribution to Fidelity Charitable Trust	JT	$1,001 - $15,000	None		☑
Fidelity Brokerage ⇒ NGP Capital Resources Company - Closed End Fund (NGPC)	JT	$15,001 - $50,000	Dividends	$1,001 - $2,500	☐
Fidelity Brokerage ⇒ Spartan Total Mkt Index FID Advantage	JT	$1,000,001 - $5,000,000	Capital Gains, Dividends	$15,001 - $50,000	☐
Fidelity Rollover IRA ⇒ Fidelity Blue Chip Value		$50,001 - $100,000	Tax-Deferred	None	☐
Fidelity Rollover IRA ⇒ Fidelity Capital & Income		$50,001 - $100,000	Tax-Deferred	None	☐
Fidelity Rollover IRA ⇒ Fidelity Growth Strategies Fund		$50,001 - $100,000	Tax-Deferred	None	☐
Fidelity Rollover IRA ⇒ Fidelity Intl Cap Appreciation		$50,001 - $100,000	Tax-Deferred	None	☐
Fidelity Rollover IRA ⇒ Fidelity Real Estate Income		$50,001 - $100,000	Tax-Deferred	None	☐
Fidelity Rollover IRA ⇒ Fidelity Total Bond		$50,001 - $100,000	Tax-Deferred	None	☐
Fidelity Rollover IRA ⇒ Fidelity Value Discovery		$100,001 - $250,000	Tax-Deferred	None	☐
Fidelity Rollover IRA ⇒ Hennessy Cornerstone Growth Inv		$15,001 - $50,000	Tax-Deferred	None	☐
Fidelity Rollover IRA ⇒ Spartan Total Mkt Index FID Advantage		$50,001 - $100,000	Tax-Deferred	None	☐
Fidelity Self-Employed 401(k) ⇒ Columbia Select Large Cap Equity		$1,001 - $15,000	Tax-Deferred	None	☐
Fidelity Self-Employed 401(k) ⇒		$1,001 - $15,000	Tax-Deferred	None	☐

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
Fidelity Blue Chip Value					
Fidelity Self-Employed 401(k) ⇒ Fidelity Export and Multinational		$15,001 - $50,000	Tax-Deferred	None	
Fidelity Self-Employed 401(k) ⇒ LSI Corporation (LSI)		$1,001 - $15,000	Tax-Deferred	None	
Financial Tracking LLC Stock Description: Private Company based in Greenwich, CT		$50,001 - $100,000	Interest	$1,001 - $2,500	
Great West Money Market Fund IRA		$50,001 - $100,000	Tax-Deferred	None	
GS Cash Deposits	JT	$15,001 - $50,000	Interest	$1 - $200	
GS Funds ⇒ GS Capital Partners 2000 Employee LP Description: EIF	JT	$50,001 - $100,000	None		
GS Funds ⇒ GS Direct Investment Fund 2000 LP Description: EIF	JT	$1,001 - $15,000	None		
GS Funds ⇒ GS Distressed Opportunities Employee LP Description: EIF	JT	$15,001 - $50,000	Capital Gains, Dividends, Interest	$201 - $1,000	
GS Funds ⇒ GS Private Equity Partners 2002 LP Description: EIF	JT	$15,001 - $50,000	Capital Gains, Dividends, Interest	$1,001 - $2,500	
GS Funds ⇒ GS Vintage II Employee Fund LP Description: EIF	JT	$1,001 - $15,000	None		
GS Funds ⇒ Stone Street Asia Fund LP Description: Limited partnership dissolved, EIF	JT	None	None		
GS Funds ⇒ Stone Street PEP Technology Fund	JT	$15,001 - $50,000	None		

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
Description: EIF					
GS Funds ⇒ Stone Street Real Estate Fund 1999 Description: EIF	JT	$1,001 - $15,000	None		☐
GS Funds ⇒ Stone Street Real Estate Fund 2000 Description: EIF	JT	$1,001 - $15,000	Capital Gains, Dividends, Interest	$1,001 - $2,500	☐
GS Funds ⇒ Whitehall Street Global Employee Fund Description: EIF	JT	$1,001 - $15,000	Capital Gains, Dividends, Interest	$1,001 - $2,500	☐
Principal Bank Safe Harbor IRA Description: Conversion from Enterprise 401k-Jennison		$1,001 - $15,000	Tax-Deferred	None	☐
Spouse IRA ⇒ Fidelity Magellan	SP	$15,001 - $50,000	Tax-Deferred	None	☐

* Asset class details available at the bottom of this form.

Schedule B: Transactions

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > $200?
DC1 ⇒ High Equity Option DC1 Location: CT	DC	01/23/2013	P	$1,001 - $15,000	
DC1 ⇒ High Equity Option DC1 Location: CT Description: Rebalance within DC1 529 account, Connecticut Higher Education Trust	DC	01/22/2013	S (partial)	$1,001 - $15,000	☐
DC1 ⇒ Index Fixed Income Option Location: CT Description: Rebalance within DC1 529 account, Connecticut Higher Education Trust	DC	01/22/2013	P	$1,001 - $15,000	
DC2 ⇒ High Equity Option DC2	DC	01/24/2013	P	$1,001 - $15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > $200?
LOCATION: CT					
Fidelity Brokerage ⇒ Facebook, Inc. - Class A (FB) DESCRIPTION: Sale of position		08/26/2013	S	$100,001 - $250,000	☑
Fidelity Brokerage ⇒ Mondelez International, Inc. - Class A (MDLZ) DESCRIPTION: Contribution to Fidelity Charitable Trust	JT	10/28/2013	S	$1,001 - $15,000	☐
Fidelity Rollover IRA ⇒ Fidelity Real Estate Income DESCRIPTION: Reinvestment		12/13/2013	P	$1,001 - $15,000	
Fidelity Rollover IRA ⇒ Fidelity Real Estate Income DESCRIPTION: Reinvestment		09/6/2013	P	$1,001 - $15,000	
Fidelity Self-Employed 401(k) ⇒ Columbia Select Large Cap Equity DESCRIPTION: Reinvestment		12/9/2013	P	$1,001 - $15,000	
Fidelity Self-Employed 401(k) ⇒ Columbia Select Large Cap Equity DESCRIPTION: Reinvestment		06/25/2013	P	$1,001 - $15,000	
Fidelity Self-Employed 401(k) ⇒ Fidelity Export and Multinational DESCRIPTION: Reinvestment		10/4/2013	P	$1,001 - $15,000	
GS Funds ⇒ Stone Street Asia Fund LP DESCRIPTION: Dissolution of Limited Partnership	JT	06/30/2014	S	$	☐

* Asset class details available at the bottom of this form.

SCHEDULE C: EARNED INCOME

None disclosed.

SCHEDULE D: LIABILITIES

Owner	Creditor	Date Incurred	Type	Amount of Liability
JT	JP Morgan Chase	October 1998	Mortgage on 197 Valley Rd., Cos Cob, CT	$250,001 - $500,000

Schedule E: Positions

None disclosed.

Schedule F: Agreements

None disclosed.

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

- DC1 (Owner: DC)
  Location: CT
- DC2 (Owner: DC)
  Location: CT
- Fidelity Brokerage (Owner: JT)
  Location: US
- Fidelity Rollover IRA
- Fidelity Self-Employed 401(k)
- GS Funds (Owner: JT)
  Location: US
  Description: EIF
- Spouse 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

Comments

This Amendment is responsive to the Committee's letter of 6/18 requesting additional information for FD 2013.

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: Mr. James A. Himes , 07/16/2014