



Filing ID #10016103

# FINANCIAL DISCLOSURE REPORT

---

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

---

## FILER INFORMATION

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

## FILING INFORMATION

**Filing Type:** Annual Report  
**Filing Year:** 2016  
**Filing Date:** 06/13/2017

## SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Chase Money Market Savings	JT	\$1,001 - \$15,000	Interest	\$1 - \$200	<input type="checkbox"/>
Chase Savings Account	DC	\$1,001 - \$15,000	Interest	\$1 - \$200	<input type="checkbox"/>
Chase Savings Account	DC	\$1,001 - \$15,000	Interest	\$1 - \$200	<input type="checkbox"/>
Chase Savings Account	JT	\$1,001 - \$15,000	Interest	\$1 - \$200	<input type="checkbox"/>
Chase Workplace Checking	JT	\$15,001 - \$50,000	Interest	\$1 - \$200	<input type="checkbox"/>
DC1 ⇒ CT High Equity Option  LOCATION: CT DESCRIPTION: Connecticut Higher Education Trust	DC	\$100,001 - \$250,000	Tax-Deferred		<input type="checkbox"/>
DC1 ⇒ Index Fixed Income Option  LOCATION: CT	DC	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
DC2 ⇒	DC	\$100,001 -	Tax-Deferred		<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
CT High Equity Option		\$250,000			
LOCATION: CT					
DESCRIPTION: Connecticut Higher Education Trust					
Fidelity Brokerage ⇒ Alcatel-Lucent (ALU)	JT	None	None		<input checked="" type="checkbox"/>
Fidelity Brokerage ⇒ Cisco Systems, Inc. (CSCO)	JT	None	Capital Gains	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
Fidelity Brokerage ⇒ Columbia Contrarian Core Fund	JT	\$50,001 - \$100,000	Capital Gains, Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
Fidelity Brokerage ⇒ Fidelity Capital Appreciation	JT	\$100,001 - \$250,000	Capital Gains, Dividends	\$5,001 - \$15,000	<input type="checkbox"/>
Fidelity Brokerage ⇒ Fidelity Government Money Market	JT	\$100,001 - \$250,000	Interest	\$1 - \$200	<input type="checkbox"/>
Fidelity Brokerage ⇒ Fidelity International Discovery	JT	\$100,001 - \$250,000	Capital Gains, Dividends	\$2,501 - \$5,000	<input type="checkbox"/>
Fidelity Brokerage ⇒ Fidelity International Small Cap	JT	\$100,001 - \$250,000	Capital Gains, Dividends	\$2,501 - \$5,000	<input type="checkbox"/>
Fidelity Brokerage ⇒ Fidelity Intl Cap Appreciation	JT	\$100,001 - \$250,000	Capital Gains, Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
Fidelity Brokerage ⇒ Fidelity Intl Real Estate Fund	JT	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
Fidelity Brokerage ⇒ Fidelity Total Mkt Index FID Advantage	JT	\$1,000,001 - \$5,000,000	Capital Gains, Dividends	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
Fidelity Brokerage ⇒ GS Asia Equity Class A	JT	\$100,001 - \$250,000	Capital Gains, Dividends	None	<input type="checkbox"/>
Fidelity Brokerage ⇒ GS Small Cap Value	JT	\$100,001 - \$250,000	Capital Gains, Dividends	\$5,001 - \$15,000	<input type="checkbox"/>
Fidelity Brokerage ⇒ Intel Corporation (INTC)	JT	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
Fidelity Brokerage ⇒ Microsoft Corporation (MSFT)	JT	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
DESCRIPTION: Transaction was a contribution of 100 shares to Fidelity Charitable Gift Fund.					
Fidelity Rollover IRA ⇒ Fidelity Blue Chip Value		\$100,001 - \$250,000	Tax-Deferred		<input type="checkbox"/>
Fidelity Rollover IRA ⇒ Fidelity Capital & Income		\$100,001 - \$250,000	Tax-Deferred		<input type="checkbox"/>
Fidelity Rollover IRA ⇒ Fidelity Growth Strategies Fund		\$100,001 - \$250,000	Tax-Deferred		<input type="checkbox"/>
Fidelity Rollover IRA ⇒ Fidelity Intl Cap Appreciation		\$50,001 - \$100,000	Tax-Deferred		<input type="checkbox"/>
Fidelity Rollover IRA ⇒ Fidelity Real Estate Income		\$50,001 - \$100,000	Tax-Deferred		<input type="checkbox"/>
Fidelity Rollover IRA ⇒ Fidelity Total Bond		\$50,001 - \$100,000	Tax-Deferred		<input type="checkbox"/>
Fidelity Rollover IRA ⇒ Fidelity Total Mkt Index FID Advantage		\$50,001 - \$100,000	Tax-Deferred		<input type="checkbox"/>
Fidelity Rollover IRA ⇒ Fidelity Value Discovery		\$100,001 - \$250,000	Tax-Deferred		<input type="checkbox"/>
Fidelity Rollover IRA ⇒ Hennessy Cornerstone Growth Inv		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Fidelity Self-Employed 401(k) ⇒ Columbia Select Large Cap Equity		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Fidelity Self-Employed 401(k) ⇒ Fidelity Blue Chip Value		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Fidelity Self-Employed 401(k) ⇒ Fidelity Cash Reserves		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Fidelity Self-Employed 401(k) ⇒ Fidelity Export and Multinational		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Financial Tracking LLC Stock		\$50,001 - \$100,000	Interest	\$1,001 - \$2,500	<input type="checkbox"/>
DESCRIPTION: Private Company based in Greenwich, CT					

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Great West Aggressive Fund		\$50,001 - \$100,000	Tax-Deferred		<input type="checkbox"/>
GS Cash Deposits	JT	\$50,001 - \$100,000	Interest	\$1 - \$200	<input type="checkbox"/>
GS Funds ⇒ GS Capital Partners 2000 Employee LP DESCRIPTION: EIF	JT	\$15,001 - \$50,000	Capital Gains, Dividends	\$2,501 - \$5,000	<input type="checkbox"/>
GS Funds ⇒ GS Direct Investment Fund 2000 LP DESCRIPTION: EIF	JT	\$1 - \$1,000	Capital Gains, Dividends, Interest	\$5,001 - \$15,000	<input type="checkbox"/>
GS Funds ⇒ GS Distressed Opportunities Employee LP DESCRIPTION: EIF	JT	\$1,001 - \$15,000	None		<input type="checkbox"/>
GS Funds ⇒ GS Private Equity Partners 2002 LP DESCRIPTION: EIF	JT	\$1,001 - \$15,000	Capital Gains, Dividends, Interest	\$1,001 - \$2,500	<input type="checkbox"/>
GS Funds ⇒ GS Vintage II Employee Fund LP DESCRIPTION: EIF	JT	\$1 - \$1,000	Capital Gains, Dividends, Interest	\$201 - \$1,000	<input type="checkbox"/>
GS Funds ⇒ Stone Street PEP Technology Fund DESCRIPTION: EIF	JT	\$1,001 - \$15,000	Dividends, Interest	\$2,501 - \$5,000	<input type="checkbox"/>
GS Funds ⇒ Stone Street Real Estate Fund 1999 DESCRIPTION: EIF	JT	\$1,001 - \$15,000	None		<input type="checkbox"/>
GS Funds ⇒ Stone Street Real Estate Fund 2000 DESCRIPTION: EIF	JT	\$1 - \$1,000	None		<input type="checkbox"/>
GS Funds ⇒ Whitehall Street Global Employee Fund DESCRIPTION: EIF	JT	\$1,001 - \$15,000	Capital Gains, Dividends, Interest	\$201 - \$1,000	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Principal Bank Safe Harbor IRA		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Spouse IRA ⇒ Fidelity Magellan	SP	\$50,001 - \$100,000	Tax-Deferred		<input type="checkbox"/>

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

SCHEDULE B: TRANSACTIONS

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Fidelity Brokerage ⇒ Cisco Systems, Inc. (CSCO)	JT	11/29/2016	S	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
Fidelity Brokerage ⇒ Fidelity CT Municipal Money Mkt	JT	03/18/2016	E	\$100,001 - \$250,000	
DESCRIPTION: Fidelity required a full exchange in Core Account from CT Municipal Money Mkt to Fidelity Government Money Mkt					
Fidelity Brokerage ⇒ Fidelity Total Mkt Index Premium	JT	11/29/2016	S (partial)	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
Fidelity Brokerage ⇒ Microsoft Corporation (MSFT)	JT	12/30/2016	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: This was a contribution of shares to Fidelity Charitable Gift Fund.					
Fidelity Rollover IRA ⇒ Fidelity Real Estate Income		12/16/2016	P	\$1,001 - \$15,000	
DESCRIPTION: Reinvestment of Dividend					
Fidelity Rollover IRA ⇒ Fidelity Real Estate Income		09/9/2016	P	\$1,001 - \$15,000	
DESCRIPTION: Reinvestment of Dividend Income					
Fidelity Rollover IRA ⇒ Fidelity Total Mkt Index		12/16/2016	P	\$1,001 - \$15,000	
DESCRIPTION: Reinvestment of Dividend Income					
Great-West Aggressive Fund	JT	03/31/2016	P	\$50,001 - \$100,000	
DESCRIPTION: Full rebalance from Great-West Money Market Fund					
Great-West Money Market Fund	JT	03/31/2016	S	\$50,001 - \$100,000	<input type="checkbox"/>
DESCRIPTION: Full rebalance from Great-West Money Market Fund to Great-West Aggressive Fund					

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?

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

SCHEDULE C: EARNED INCOME

Source	Type	Amount
Spouse Consulting Income	Spouse Consulting Business	N/A

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	\$100,001 - \$250,000

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?
Aspen Institute Congressional Program	04/30/2016	05/4/2016	NYC - Berlin, Germany - NYC	0	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Ripon Society	11/10/2016	11/14/2016	NYC - London, U.K. - NYC	0	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

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

## 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. James A. Himes , 06/13/2017