



Filing ID #10025025

FINANCIAL DISCLOSURE REPORT

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FILER INFORMATION

Name: Hon. Elizabeth H. Esty
Status: Member
State/District: CT05

FILING INFORMATION

Filing Type: Terminated Filer Report
Filing Year: 2019
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SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Accordia Life & Annuity [WU]	SP	\$50,001 - \$100,000	None		<input type="checkbox"/>
Boulder Point Associates LTD [RP]	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
LOCATION: St. Lawrence, NY, US DESCRIPTION: This company owns real estate, consisting of land and buildings, in Cranberry Lake, St. Lawrence County, New York.					
CGP Interest Holdings, LLC [HE]	SP	\$100,001 - \$250,000	Capital Gains	\$15,001 - \$50,000	<input type="checkbox"/>
DESCRIPTION: This company, in which my husband has a beneficial interest in a share of the profits, is located in Greenwich, Connecticut, in turn owns a profit interest in a general partnership that manages certain assets for Catterton Growth Partners. The company itself does not own any specific underlying assets.					
Constellation Research and Technology [OL]	SP	None	None		<input type="checkbox"/>
LOCATION: Belmont, MA, US DESCRIPTION: Start-up venture seeking to provide advanced Environmental/Social/Governance (ESG) metrics and analytics to sustainability-minded investors.					
Esty & Associates 401(k) ⇒ Invesco Equally Weighted S&P 500 Fd-Cl R [MF]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Fidelity Brokerage Joint Trust ⇒	JT	\$50,001 -	Dividends	\$2,501 -	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
American International Growth and Income Fund [MF]		\$100,000		\$5,000	
Fidelity Brokerage Joint Trust ⇒ American New World Class F1 [MF]	JT	\$50,001 - \$100,000	Capital Gains, Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
Fidelity Brokerage Joint Trust ⇒ Fidelity Advisor High Income Advanced CL 1 [EF]	JT	\$50,001 - \$100,000	Dividends	\$5,001 - \$15,000	<input type="checkbox"/>
Fidelity Brokerage Joint Trust ⇒ Fidelity Government Cash Reserves, FDRXX [MF]	JT	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Fidelity Brokerage Joint Trust ⇒ Fidelity Municipal Money Market Fund [MF]	JT	\$15,001 - \$50,000	None		<input type="checkbox"/>
Fidelity Brokerage Joint Trust ⇒ iShares 1-3 Yr Credit Bond ETF [EF]	JT	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
Fidelity Brokerage Joint Trust ⇒ iShares TIPS Bond ETF [EF]	JT	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Fidelity Brokerage Joint Trust ⇒ iShares TR Intl Sel Div ETF (IDV) [EF]	JT	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
Fidelity Brokerage Joint Trust ⇒ iShares Trust iShares Core High [EF]	JT	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000	<input type="checkbox"/>
Fidelity Brokerage Joint Trust ⇒ JP Morgan US Large CAP Core Plus CL A [MF]	JT	\$100,001 - \$250,000	Capital Gains, Dividends	\$15,001 - \$50,000	<input type="checkbox"/>
Fidelity Brokerage Joint Trust ⇒ SP DR S&P 500 ETF Trust Unit Ser 1 S&P [EF]	JT	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000	<input type="checkbox"/>
Fidelity Brokerage Joint Trust ⇒ Vanguard Bond Index FD Inc Short Term Bond ETF [EF]	JT	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Fidelity Brokerage Joint Trust ⇒ Vanguard Index FDS Vanguard Mid CAP Vipers [EF]	JT	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
Fidelity Brokerage Joint Trust ⇒ Vanguard Index FDS Vanguard Small CAP Vipers [EF]	JT	\$50,001 - \$100,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Fidelity Brokerage Joint Trust ⇒	JT	\$50,001 -	Dividends	\$201 - \$1,000	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Vanguard Index FDS Vanguard Total Stock Market (ETF) [EF]		\$100,000			
Fidelity Brokerage Joint Trust ⇒ Vanguard Total Intl Stock Index Admiral fka Signal [MF]	JT	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Gebhard Trust ⇒ Deco Products Co Ltd Partnership [OL] LOCATION: Decorah, IA, US DESCRIPTION: Zinc die cast manufacturer in Decorah, IA.		\$15,001 - \$50,000	Partnership income	\$5,001 - \$15,000	<input type="checkbox"/>
Gebhard Trust ⇒ Government Obligations Fund [GS]		\$15,001 - \$50,000	Interest	\$1 - \$200	<input type="checkbox"/>
Gebhard Trust ⇒ Vanguard Index Fund TOT STKIDX ADM [MF]		\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
HE-4 Trust ⇒ Deco Products Co Ltd Partnership [OL] LOCATION: Decorah, IA, US DESCRIPTION: Zinc die cast manufacturer in Decorah, IA.		\$15,001 - \$50,000	Partnership income	\$15,001 - \$50,000	<input type="checkbox"/>
HE-4 Trust ⇒ Government Obligations Fund [GS]		\$15,001 - \$50,000	Interest	\$1 - \$200	<input type="checkbox"/>
HE-4 Trust ⇒ Vanguard Index FDS TOT STKIDX ADM [MF]		\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000	<input type="checkbox"/>
HE-8 Trust ⇒ Deco Products Co Ltd Partnership [OL] LOCATION: Decorah, IA, US DESCRIPTION: Zinc die cast manufacturer in Decorah, IA.		\$50,001 - \$100,000	Partnership income	\$15,001 - \$50,000	<input type="checkbox"/>
HE-8 Trust ⇒ Government Obligations Fund [GS]		\$50,001 - \$100,000	Interest	\$1 - \$200	<input type="checkbox"/>
HE-8 Trust ⇒ Vanguard Index Fund TOT STKIDX ADM [MF]		\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000	<input type="checkbox"/>
Lincoln Choice Plus IRA- acct end 63 ⇒ Alliance Bernstein Global Thematic [MF]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
Lincoln Choice Plus IRA- acct end 63 ⇒ Alliance Bernstein Small Cap Value [MF]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Lincoln Choice Plus IRA- acct end 63 ⇒ LVIP American Growth [MF]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
Lincoln Choice Plus IRA- acct end 63 ⇒ LVIP American International [MF]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
Lincoln Choice Plus IRA- acct end 63 ⇒ LVIP Del Dv Fl [MF]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
Lincoln Choice Plus IRA- acct end 63 ⇒ LVIP Global Inc [MF]	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
Lincoln Choice Plus IRA- acct end 63 ⇒ LVIP Mon IT VA [MF]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
Lincoln Choice Plus IRA- acct end 63 ⇒ LVIP SSGA 500 [MF]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
Lincoln Choice Plus IRA acct end 66 ⇒ Alliance Bernstein Global Thematic [MF]	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
Lincoln Choice Plus IRA acct end 66 ⇒ Alliance Bernstein Small Cap Value [MF]	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Lincoln Choice Plus IRA acct end 66 ⇒ LVIP American Growth [MF]	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
Lincoln Choice Plus IRA acct end 66 ⇒ LVIP American International [MF]	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
Lincoln Choice Plus IRA acct end 66 ⇒ LVIP Del DvFl [MF]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
Lincoln Choice Plus IRA acct end 66 ⇒ LVIP Global Inc [MF]	SP	\$50,001 - \$100,000	None		<input type="checkbox"/>
Lincoln Choice Plus IRA acct end 66 ⇒ LVIP Mon It Va [MF]	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
Lincoln Choice Plus IRA acct end 66 ⇒ LVIP SSGA 500 [MF]	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
Lincoln Choice Plus IRA Acct1 (Acct. end 81) ⇒ Del Emerging Market [MF]		\$1,001 - \$15,000	None		<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Lincoln Choice Plus IRA Acct1 (Acct. end 81) ⇒ Fidelity Contrafund [MF]		\$15,001 - \$50,000	None		<input type="checkbox"/>
Lincoln Choice Plus IRA Acct1 (Acct. end 81) ⇒ LVIP American Global Growth [MF]		\$1,001 - \$15,000	None		<input type="checkbox"/>
Lincoln Choice Plus IRA Acct1 (Acct. end 81) ⇒ LVIP American Global Small Cap [MF]		\$1,001 - \$15,000	None		<input type="checkbox"/>
Lincoln Choice Plus IRA Acct1 (Acct. end 81) ⇒ LVIP Global Inc [MF]		\$15,001 - \$50,000	None		<input type="checkbox"/>
Lincoln Choice Plus IRA Acct1 (Acct. end 81) ⇒ LVIP SSGA 500 [MF]		\$15,001 - \$50,000	None		<input type="checkbox"/>
Lincoln Choice Plus IRA Acct1 (Acct. end 81) ⇒ LVIP SSGA Emerging Market [MF]		\$1,001 - \$15,000	None		<input type="checkbox"/>
Lincoln Choice Plus IRA Acct1 (Acct. end 81) ⇒ LVIP SSGA Small Cap [MF]		\$1,001 - \$15,000	None		<input type="checkbox"/>
Lincoln Choice Plus IRA Acct1 (Acct. end 81) ⇒ LVIP TRP MC Gr [MF]		\$1,001 - \$15,000	None		<input type="checkbox"/>
Lincoln Choice Plus IRA Acct2 (Acct. end 65) ⇒ Del Emerging Markets [MF]		\$1 - \$1,000	None		<input type="checkbox"/>
Lincoln Choice Plus IRA Acct2 (Acct. end 65) ⇒ Fidelity Contrafund [MF]		\$1,001 - \$15,000	None		<input type="checkbox"/>
Lincoln Choice Plus IRA Acct2 (Acct. end 65) ⇒ LVIP American Global Growth [MF]		\$1 - \$1,000	None		<input type="checkbox"/>
Lincoln Choice Plus IRA Acct2 (Acct. end 65) ⇒ LVIP American Global Small Cap [MF]		\$1,001 - \$15,000	None		<input type="checkbox"/>
Lincoln Choice Plus IRA Acct2 (Acct. end 65) ⇒ LVIP Global Inc [MF]		\$1,001 - \$15,000	None		<input type="checkbox"/>
Lincoln Choice Plus IRA Acct2 (Acct. end 65) ⇒ LVIP SSGA 500 [MF]		\$1,001 - \$15,000	None		<input type="checkbox"/>
Lincoln Choice Plus IRA Acct2 (Acct. end 65) ⇒ LVIP SSGA Emerging Market [MF]		\$1 - \$1,000	None		<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Lincoln Choice Plus IRA Acct2 (Acct. end 65) ⇒ LVIP SSGA Small Cap [MF]		\$1 - \$1,000	None		<input type="checkbox"/>
Lincoln Choice Plus IRA Acct2 (Acct. end 65) ⇒ LVIP TRP MC Gr [MF]		\$1,001 - \$15,000	None		<input type="checkbox"/>
Lincoln Joint Trust ⇒ Fidelity Government Money Market [BA]	JT	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Lincoln Joint Trust ⇒ Fidelity Tax Exempt Fund Daily Money Class [EF]	JT	\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Lincoln Joint Trust ⇒ Hines Global Reit [EF]	JT	\$15,001 - \$50,000	Capital Gains	\$2,501 - \$5,000	<input type="checkbox"/>
Lincoln Joint Trust ⇒ SPDR S&P 500 ETF Trust Unit Ser 1 S&P [EF]	JT	\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Lincoln Moneyguard Reserve Universal Life ⇒ Lincoln Moneyguard Reserve Universal Life [WU]	SP	\$50,001 - \$100,000	None		<input type="checkbox"/>
Lincoln Moneyguard Reserve Universal Life ⇒ Lincoln Moneyguard Reserve Universal Life [WU]		\$100,001 - \$250,000	None		<input type="checkbox"/>
Lincoln Moneyguard Reserve Universal Life ⇒ Moneyguard Reserve contract ending 88 [WU]	SP	\$50,001 - \$100,000	None		<input type="checkbox"/>
Prudential IRA Premier Retirement ⇒ AST Academic Strategies Asset Allocation [IH]	SP	\$50,001 - \$100,000	Tax-Deferred		<input checked="" type="checkbox"/>
Prudential IRA Premier Retirement ⇒ AST Investment Grade Bond [IH]	SP	\$50,001 - \$100,000	Tax-Deferred		<input checked="" type="checkbox"/>
Prudential IRA Premier Retirement ⇒ AST Prudential Growth Allocation [IH]	SP	\$50,001 - \$100,000	Tax-Deferred		<input checked="" type="checkbox"/>
Schwab Contributory IRA ⇒ Deposit Account [BA]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Schwab Contributory IRA ⇒ Schwab S&P 500 Index [IH]		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Schwab IRA Contributory ⇒ Deposit Accounts [BA]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>

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Schwab IRA Contributory ⇒ Schwab S&P 500 Index Fund [IH]	SP	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Schwab SEP IRA ⇒ Deposit Accounts [BA]	SP	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Schwab SEP IRA ⇒ Schwab S&P 500 Index Fund [IH]	SP	\$50,001 - \$100,000	Tax-Deferred		<input type="checkbox"/>
Schwab SEP IRA ⇒ Schwab S&P 500 Index Fund [IH]		\$1 - \$1,000	Tax-Deferred		<input type="checkbox"/>
Sidley Austin Retirement (401(k)) ⇒ Harbor Capitol Appreciation Instl [EF]		\$100,001 - \$250,000	Tax-Deferred		<input type="checkbox"/>
Societe Generale [BA]	JT	\$1,001 - \$15,000	None		<input type="checkbox"/>
State of CT 457 Plan ⇒ American Funds EuroPac Gr R6 [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
State of CT 457 Plan ⇒ Fidelity VIP Contrafund Part I [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
State of CT 457 Plan ⇒ TIAA-CREF Instl Internatl [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
State of CT 457 Plan ⇒ Vanguard Instl Index Fund Instl Plus [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
State of CT 457 Plan ⇒ Wells Fargo Adv Prem Lg Co Gwth FD [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
TIAA-CREF YaleURAP-403(B) & IIE 403(B)(DC) ⇒ CREF Equity Index R3 [MF]	SP	None	Tax-Deferred		<input checked="" type="checkbox"/>
TIAA-CREF YaleURAP-403(B) & IIE 403(B)(DC) ⇒ CREF Global Equities R1 [MF]	SP	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
TIAA-CREF YaleURAP-403(B) & IIE 403(B)(DC) ⇒ CREF Global Equities R3 [MF]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
TIAA-CREF YaleURAP-403(B) & IIE 403(B)(DC) ⇒ CREF Growth R3 [MF]	SP	None	Tax-Deferred		<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
TIAA-CREF YaleURAP-403(B) & IIE 403(B)(DC) ⇒ CREF Social Choice R3 [MF]	SP	\$50,001 - \$100,000	Tax-Deferred		<input checked="" type="checkbox"/>
TIAA-CREF YaleURAP-403(B) & IIE 403(B)(DC) ⇒ CREF Stock R1 [MF]	SP	\$50,001 - \$100,000	Tax-Deferred		<input type="checkbox"/>
TIAA-CREF YaleURAP-403(B) & IIE 403(B)(DC) ⇒ CREF Stock R3 [MF]	SP	\$50,001 - \$100,000	Tax-Deferred		<input checked="" type="checkbox"/>
TIAA-CREF YaleURAP-403(B) & IIE 403(B)(DC) ⇒ T-C Intl Eq Idx-Inst [MF]	SP	\$100,001 - \$250,000	Tax-Deferred		<input checked="" type="checkbox"/>
TIAA-CREF YaleURAP-403(B) & IIE 403(B)(DC) ⇒ T-C Real Est Secs-Inst [MF]	SP	\$50,001 - \$100,000	Tax-Deferred		<input checked="" type="checkbox"/>
TIAA-CREF YaleURAP-403(B) & IIE 403(B)(DC) ⇒ TIAA Real Estate [MF]	SP	\$100,001 - \$250,000	Tax-Deferred		<input checked="" type="checkbox"/>
TIAA-CREF YaleURAP-403(B) & IIE 403(B)(DC) ⇒ TIAA Traditional [MF]	SP	\$250,001 - \$500,000	Tax-Deferred		<input checked="" type="checkbox"/>
TIAA-CREF YaleURAP-403(B) & IIE 403(B)(DC) ⇒ Vang Emr Mkts Stk Idx Ins [MF]	SP	\$50,001 - \$100,000	Tax-Deferred		<input checked="" type="checkbox"/>
TIAA-CREF YaleURAP-403(B) & IIE 403(B)(DC) ⇒ Vang Equity Income Adm [MF]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
TIAA-CREF YaleURAP-403(B) & IIE 403(B)(DC) ⇒ Vang Explorer Adm [MF]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
TIAA-CREF YaleURAP-403(B) & IIE 403(B)(DC) ⇒ Vang Global Equity Inv [MF]	SP	\$50,001 - \$100,000	Tax-Deferred		<input checked="" type="checkbox"/>
TIAA-CREF YaleURAP-403(B) & IIE 403(B)(DC) ⇒ Vang Growth Index Inst [MF]	SP	\$50,001 - \$100,000	Tax-Deferred		<input checked="" type="checkbox"/>
TIAA-CREF YaleURAP-403(B) & IIE 403(B)(DC) ⇒ Vang High-Yield Corp Adm [MF]	SP	\$50,001 - \$100,000	Tax-Deferred		<input checked="" type="checkbox"/>
TIAA-CREF YaleURAP-403(B) & IIE 403(B)(DC) ⇒ Vang Infl Protect Sec Ins [MF]	SP	\$50,001 - \$100,000	Tax-Deferred		<input checked="" type="checkbox"/>
TIAA-CREF YaleURAP-403(B) & IIE 403(B)(DC) ⇒ Vang Intl Growth Adm [MF]	SP	\$50,001 - \$100,000	Tax-Deferred		<input checked="" type="checkbox"/>

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TIAA-CREF YaleURAP-403(B) & IIE 403(B)(DC) ⇒ Vang Intl Value Inv [MF]	SP	\$50,001 - \$100,000	Tax-Deferred		<input checked="" type="checkbox"/>
TIAA-CREF YaleURAP-403(B) & IIE 403(B)(DC) ⇒ Vang Selected Value Inv [MF]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
TIAA-CREF YaleURAP-403(B) & IIE 403(B)(DC) ⇒ Vang Sml-Cap Idx Ins [MF]	SP	\$50,001 - \$100,000	Tax-Deferred		<input checked="" type="checkbox"/>
TIAA-CREF YaleURAP-403(B) & IIE 403(B)(DC) ⇒ Vang Sml-Cap Val Idx Inst [MF]	SP	\$50,001 - \$100,000	Tax-Deferred		<input checked="" type="checkbox"/>
TIAA-CREF YaleURAP-403(B) & IIE 403(B)(DC) ⇒ Vang Value Index Inst [MF]	SP	\$50,001 - \$100,000	Tax-Deferred		<input checked="" type="checkbox"/>
TIAA-CREF YaleURAP-403(B) & IIE 403(B)(DC) ⇒ Vang Windsor II Adm [MF]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
TIAA-CREF YaleURAP-403(B) & IIE 403(B)(DC) ⇒ Vanguard Target Retirement 2025 [MF]	SP	None	Tax-Deferred		<input checked="" type="checkbox"/>
Wells Fargo Bank Accounts ⇒ Wells Fargo Bank Accounts [BA]	JT	\$500,001 - \$1,000,000	Interest	\$1 - \$200	<input type="checkbox"/>
Wells Fargo Bank Accounts EHE ⇒ Wells Fargo Bank Accounts EHE [BA]		\$100,001 - \$250,000	Interest	\$1 - \$200	<input type="checkbox"/>
Yale 403(B)(7) ⇒ CREF Equity Index R3 [MF]	SP	None	Tax-Deferred		<input checked="" type="checkbox"/>
Yale 403(B)(7) ⇒ CREF Global Equities R3 [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Yale 403(B)(7) ⇒ CREF Growth R3 [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Yale 403(B)(7) ⇒ CREF Stock R3 [MF]	SP	None	Tax-Deferred		<input checked="" type="checkbox"/>
Yale 403(B)(7) ⇒ T-C Intl Eq Idx-Inst [MF]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Yale 403(B)(7) ⇒ T-C Real Est Secs-Inst [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Yale 403(B)(7) ⇒ TIAA Real Estate [MF]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Yale 403(B)(7) ⇒ TIAA Traditional [MF]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Yale 403(B)(7) ⇒ Vang Emr Mkts Stk Idx Ins [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Yale 403(B)(7) ⇒ Vang Explorer Adm [MF]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Yale 403(B)(7) ⇒ Vang Global Equity Inv [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Yale 403(B)(7) ⇒ Vang Growth Income Adm [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Yale 403(B)(7) ⇒ Vang High-Yield Corp Adm [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Yale 403(B)(7) ⇒ Vang Infl Protect Sec Ins [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Yale 403(B)(7) ⇒ Vang Intl Growth Adm [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Yale 403(B)(7) ⇒ Vang Intl Value Inv [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Yale 403(B)(7) ⇒ Vang Sml-Cap Val Idx Inst [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Yale 403(B)(7) ⇒ Vang Ttl Bd Mkt Idx Ins [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Yale 403(B)(7) ⇒ Vang Value Index Inst [MF]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Yale 457(B) Plan ⇒ CREF Global Equities R3 [MF]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Yale 457(B) Plan ⇒	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
CREF Growth R3 [MF]					
Yale 457(B) Plan ⇒ T-C Intl Eq Idx-Inst [MF]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Yale 457(B) Plan ⇒ T-C Real Est Secs-Inst [MF]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Yale 457(B) Plan ⇒ TIAA Real Estate [MF]	SP	\$50,001 - \$100,000	Tax-Deferred		<input checked="" type="checkbox"/>
Yale 457(B) Plan ⇒ TIAA Traditional [MF]	SP	\$50,001 - \$100,000	Tax-Deferred		<input checked="" type="checkbox"/>
Yale 457(B) Plan ⇒ Vang Emr Mkts Stk Idx Ins [MF]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Yale 457(B) Plan ⇒ Vang Explorer Adm [MF]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Yale 457(B) Plan ⇒ Vang Global Equity Inv [MF]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Yale 457(B) Plan ⇒ Vang Growth Income Adm [MF]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Yale 457(B) Plan ⇒ Vang High-Yield Corp Adm [MF]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Yale 457(B) Plan ⇒ Vang Infl Protect Sec Ins [MF]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Yale 457(B) Plan ⇒ Vang Intl Growth Adm [MF]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Yale 457(B) Plan ⇒ Vang Intl Value Inv [MF]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Yale 457(B) Plan ⇒ Vang Ttl Bd Mkt Idx Ins [MF]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Yale 457(B) Plan ⇒ Vang Value Index Inst [MF]	SP	\$50,001 - \$100,000	Tax-Deferred		<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Yale 457(B) Plan ⇒ Vanguard PRIME Cap Fund Admiral [MF]	SP	None	Tax-Deferred		<input checked="" type="checkbox"/>
Yale 457(B) Plan ⇒ Vanguard Small Cap Value Index [MF]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Yale 457(B) Plan ⇒ Vanguard Small Cap Value Index [MF]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>

* Asset class details available at the bottom of this form. For the complete list of asset type abbreviations, please visit <https://fd.house.gov/reference/asset-type-codes.aspx>.

SCHEDULE B: TRANSACTIONS

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Lincoln Choice Plus IRA acct end 66 ⇒ Alliance Bernstein Small Cap Value [MF]	SP	11/3/2018	P	\$1,001 - \$15,000	
Lincoln Choice Plus IRA acct end 66 ⇒ LVIP American Growth [MF]	SP	08/3/2018	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Lincoln Choice Plus IRA acct end 66 ⇒ LVIP American International [MF]	SP	08/3/2018	P	\$1,001 - \$15,000	
Lincoln Choice Plus IRA acct end 66 ⇒ LVIP Global Inc [MF]	SP	08/3/2018	P	\$1,001 - \$15,000	
Lincoln Choice Plus IRA acct end 66 ⇒ LVIP Global Inc [MF]	SP	11/3/2018	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Lincoln Choice Plus IRA acct end 66 ⇒ LVIP Mon It Va [MF]	SP	08/3/2018	P	\$1,001 - \$15,000	
Lincoln Choice Plus IRA acct end 66 ⇒ LVIP SSGA 500 [MF]	SP	08/3/2018	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Prudential IRA Premier Retirement ⇒ AST Academic Strategies Asset Allocation [IH]	SP	10/15/2018	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Prudential IRA Premier Retirement ⇒ AST Academic Strategies Asset Allocation [IH]	SP	11/5/2018	P	\$1,001 - \$15,000	
Prudential IRA Premier Retirement ⇒	SP	11/23/2018	S	\$15,001 - \$50,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
AST Academic Strategies Asset Allocation [IH]			(partial)		
Prudential IRA Premier Retirement ⇒ AST Academic Strategies Asset Allocation [IH]	SP	12/3/2018	P	\$1,001 - \$15,000	
Prudential IRA Premier Retirement ⇒ AST Academic Strategies Asset Allocation [IH]	SP	12/11/2018	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Prudential IRA Premier Retirement ⇒ AST Academic Strategies Asset Allocation [IH]	SP	12/24/2018	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Prudential IRA Premier Retirement ⇒ AST Academic Strategies Asset Allocation [IH]	SP	12/28/2018	P	\$1,001 - \$15,000	
Prudential IRA Premier Retirement ⇒ AST Investment Grade Bond [IH]	SP	10/15/2018	P	\$15,001 - \$50,000	
Prudential IRA Premier Retirement ⇒ AST Investment Grade Bond [IH]	SP	11/5/2018	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Prudential IRA Premier Retirement ⇒ AST Investment Grade Bond [IH]	SP	11/23/2018	P	\$15,001 - \$50,000	
Prudential IRA Premier Retirement ⇒ AST Investment Grade Bond [IH]	SP	12/3/2018	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Prudential IRA Premier Retirement ⇒ AST Investment Grade Bond [IH]	SP	12/11/2018	P	\$15,001 - \$50,000	
Prudential IRA Premier Retirement ⇒ AST Investment Grade Bond [IH]	SP	12/24/2018	P	\$15,001 - \$50,000	
Prudential IRA Premier Retirement ⇒ AST Investment Grade Bond [IH]	SP	12/28/2018	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Prudential IRA Premier Retirement ⇒ AST Prudential Growth Allocation [IH]	SP	10/15/2018	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Prudential IRA Premier Retirement ⇒ AST Prudential Growth Allocation [IH]	SP	11/5/2018	P	\$1,001 - \$15,000	
Prudential IRA Premier Retirement ⇒ AST Prudential Growth Allocation [IH]	SP	11/23/2018	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Prudential IRA Premier Retirement ⇒ AST Prudential Growth Allocation [IH]	SP	12/3/2018	P	\$15,001 - \$50,000	
Prudential IRA Premier Retirement ⇒ AST Prudential Growth Allocation [IH]	SP	12/11/2018	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Prudential IRA Premier Retirement ⇒ AST Prudential Growth Allocation [IH]	SP	12/24/2018	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Prudential IRA Premier Retirement ⇒ AST Prudential Growth Allocation [IH]	SP	12/28/2018	P	\$1,001 - \$15,000	
TIAA-CREF YaleURAP-403(B) & IIE 403(B)(DC) ⇒ CREF Equity Index R3 [MF]	SP	10/31/2018	S	\$250,001 - \$500,000	<input type="checkbox"/>
TIAA-CREF YaleURAP-403(B) & IIE 403(B)(DC) ⇒ CREF Global Equities R3 [MF]	SP	10/31/2018	S (partial)	\$250,001 - \$500,000	<input type="checkbox"/>
TIAA-CREF YaleURAP-403(B) & IIE 403(B)(DC) ⇒ CREF Growth R3 [MF]	SP	10/31/2018	S	\$250,001 - \$500,000	<input type="checkbox"/>
TIAA-CREF YaleURAP-403(B) & IIE 403(B)(DC) ⇒ CREF Social Choice R3 [MF]	SP	10/31/2018	P	\$50,001 - \$100,000	
TIAA-CREF YaleURAP-403(B) & IIE 403(B)(DC) ⇒ CREF Stock R3 [MF]	SP	10/31/2018	S (partial)	\$250,001 - \$500,000	<input type="checkbox"/>
TIAA-CREF YaleURAP-403(B) & IIE 403(B)(DC) ⇒ T-C Intl Eq Idx-Inst [MF]	SP	10/31/2018	P	\$100,001 - \$250,000	
TIAA-CREF YaleURAP-403(B) & IIE 403(B)(DC) ⇒ T-C Real Est Secs-Inst [MF]	SP	10/31/2018	P	\$50,001 - \$100,000	
TIAA-CREF YaleURAP-403(B) & IIE 403(B)(DC) ⇒ TIAA Real Estate [MF]	SP	10/31/2018	P	\$100,001 - \$250,000	
TIAA-CREF YaleURAP-403(B) & IIE 403(B)(DC) ⇒ TIAA Traditional [MF]	SP	10/31/2018	P	\$250,001 - \$500,000	
TIAA-CREF YaleURAP-403(B) & IIE 403(B)(DC) ⇒ Vang Emr Mkts Stk Idx Ins [MF]	SP	10/31/2018	P	\$50,001 - \$100,000	
TIAA-CREF YaleURAP-403(B) & IIE 403(B)(DC) ⇒ Vang Equity Income Adm [MF]	SP	10/31/2018	P	\$50,001 - \$100,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
TIAA-CREF YaleURAP-403(B) & IIE 403(B)(DC) ⇒ Vang Explorer Adm [MF]	SP	10/31/2018	P	\$50,001 - \$100,000	
TIAA-CREF YaleURAP-403(B) & IIE 403(B)(DC) ⇒ Vang Global Equity Inv [MF]	SP	10/31/2018	P	\$50,001 - \$100,000	
TIAA-CREF YaleURAP-403(B) & IIE 403(B)(DC) ⇒ Vang Growth Index Inst [MF]	SP	10/31/2018	P	\$50,001 - \$100,000	
TIAA-CREF YaleURAP-403(B) & IIE 403(B)(DC) ⇒ Vang High-Yield Corp Adm [MF]	SP	10/31/2018	P	\$50,001 - \$100,000	
TIAA-CREF YaleURAP-403(B) & IIE 403(B)(DC) ⇒ Vang Infl Protect Sec Ins [MF]	SP	10/31/2018	P	\$50,001 - \$100,000	
TIAA-CREF YaleURAP-403(B) & IIE 403(B)(DC) ⇒ Vang Intl Growth Adm [MF]	SP	10/31/2018	P	\$50,001 - \$100,000	
TIAA-CREF YaleURAP-403(B) & IIE 403(B)(DC) ⇒ Vang Intl Value Inv [MF]	SP	10/31/2018	P	\$50,001 - \$100,000	
TIAA-CREF YaleURAP-403(B) & IIE 403(B)(DC) ⇒ Vang Selected Value Inv [MF]	SP	10/31/2018	P	\$50,001 - \$100,000	
TIAA-CREF YaleURAP-403(B) & IIE 403(B)(DC) ⇒ Vang Sml-Cap Idx Ins [MF]	SP	10/31/2018	P	\$50,001 - \$100,000	
TIAA-CREF YaleURAP-403(B) & IIE 403(B)(DC) ⇒ Vang Sml-Cap Val Idx Inst [MF]	SP	10/31/2018	P	\$50,001 - \$100,000	
TIAA-CREF YaleURAP-403(B) & IIE 403(B)(DC) ⇒ Vang Value Index Inst [MF]	SP	10/31/2018	P	\$50,001 - \$100,000	
TIAA-CREF YaleURAP-403(B) & IIE 403(B)(DC) ⇒ Vang Windsor II Adm [MF]	SP	10/31/2018	P	\$50,001 - \$100,000	
TIAA-CREF YaleURAP-403(B) & IIE 403(B)(DC) ⇒ Vanguard Target Retirement 2025 [MF]	SP	10/31/2018	S	\$250,001 - \$500,000	<input type="checkbox"/>
Yale 403(B)(7) ⇒ CREF Equity Index R3 [MF]	SP	10/31/2018	S	\$15,001 - \$50,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Yale 403(B)(7) ⇒ CREF Global Equities R3 [MF]	SP	10/31/2018	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Yale 403(B)(7) ⇒ CREF Growth R3 [MF]	SP	10/31/2018	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Yale 403(B)(7) ⇒ CREF Stock R3 [MF]	SP	10/31/2018	S	\$50,001 - \$100,000	<input type="checkbox"/>
Yale 403(B)(7) ⇒ T-C Intl Eq Ind-Inst [MF]	SP	10/31/2018	P	\$15,001 - \$50,000	
Yale 403(B)(7) ⇒ T-C Real Est Secs-Inst [MF]	SP	10/31/2018	P	\$1,001 - \$15,000	
Yale 403(B)(7) ⇒ TIAA Real Estate [MF]	SP	10/31/2018	P	\$15,001 - \$50,000	
Yale 403(B)(7) ⇒ TIAA Traditional [MF]	SP	10/31/2018	P	\$15,001 - \$50,000	
Yale 403(B)(7) ⇒ Vang Emr Mkts Stk Idx Ins [MF]	SP	10/31/2018	P	\$1,001 - \$15,000	
Yale 403(B)(7) ⇒ Vang Explorer Adm [MF]	SP	10/31/2018	P	\$15,001 - \$50,000	
Yale 403(B)(7) ⇒ Vang Global Equity Inv [MF]	SP	10/31/2018	P	\$1,001 - \$15,000	
Yale 403(B)(7) ⇒ Vang Growth Income Adm [MF]	SP	10/31/2018	P	\$1,001 - \$15,000	
Yale 403(B)(7) ⇒ Vang High-Yield Corp Adm [MF]	SP	10/31/2018	P	\$1,001 - \$15,000	
Yale 403(B)(7) ⇒ Vang Infl Protect Sec Ins [MF]	SP	10/31/2018	P	\$1,001 - \$15,000	
Yale 403(B)(7) ⇒ Vang Intl Growth Adm [MF]	SP	10/31/2018	P	\$1,001 - \$15,000	
Yale 403(B)(7) ⇒ Vang Intl Value Inv [MF]	SP	10/31/2018	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Yale 403(B)(7) ⇒ Vang Sml-Cap Val Idx Inst [MF]	SP	10/31/2018	P	\$1,001 - \$15,000	
Yale 403(B)(7) ⇒ Vang Ttl Bd Mkt Idx Ins [MF]	SP	10/31/2018	P	\$1,001 - \$15,000	
Yale 403(B)(7) ⇒ Vang Value Index Inst [MF]	SP	10/31/2018	P	\$15,001 - \$50,000	
Yale 457(B) Plan ⇒ CREF Global Equities R3 [MF]	SP	10/31/2018	P	\$15,001 - \$50,000	
Yale 457(B) Plan ⇒ CREF Growth R3 [MF]	SP	10/31/2018	P	\$15,001 - \$50,000	
Yale 457(B) Plan ⇒ T-C Intl Eq Ind-Inst [MF]	SP	10/31/2018	P	\$50,001 - \$100,000	
Yale 457(B) Plan ⇒ T-C Real Est Secs-Inst [MF]	SP	10/31/2018	P	\$15,001 - \$50,000	
Yale 457(B) Plan ⇒ TIAA Real Estate [MF]	SP	10/31/2018	P	\$50,001 - \$100,000	
Yale 457(B) Plan ⇒ TIAA Traditional [MF]	SP	10/31/2018	P	\$50,001 - \$100,000	
Yale 457(B) Plan ⇒ Vang Emr Mkts Stk Idx Ins [MF]	SP	10/31/2018	P	\$15,001 - \$50,000	
Yale 457(B) Plan ⇒ Vang Explorer Adm [MF]	SP	10/31/2018	P	\$50,001 - \$100,000	
Yale 457(B) Plan ⇒ Vang Global Equity Inv [MF]	SP	10/31/2018	P	\$15,001 - \$50,000	
Yale 457(B) Plan ⇒ Vang Growth Income Adm [MF]	SP	10/31/2018	P	\$15,001 - \$50,000	
Yale 457(B) Plan ⇒ Vang High-Yield Corp Adm [MF]	SP	10/31/2018	P	\$15,001 - \$50,000	
Yale 457(B) Plan ⇒	SP	10/31/2018	P	\$15,001 - \$50,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Vang Infl Protect Sec Ins [MF]					
Yale 457(B) Plan ⇒ Vang Intl Growth Adm [MF]	SP	10/31/2018	P	\$15,001 - \$50,000	
Yale 457(B) Plan ⇒ Vang Intl Value Inv [MF]	SP	10/31/2018	P	\$15,001 - \$50,000	
Yale 457(B) Plan ⇒ Vang Ttl Bd Mkt Idx Ins [MF]	SP	10/31/2018	P	\$15,001 - \$50,000	
Yale 457(B) Plan ⇒ Vang Value Index Inst [MF]	SP	10/31/2018	P	\$50,001 - \$100,000	
Yale 457(B) Plan ⇒ Vanguard PRIME Cap Fund Admiral [MF]	SP	10/31/2018	S	\$250,001 - \$500,000	<input type="checkbox"/>
Yale 457(B) Plan ⇒ Vanguard Small Cap Value Index [MF]	SP	10/31/2018	S (partial)	\$100,001 - \$250,000	<input type="checkbox"/>

* Asset class details available at the bottom of this form. For the complete list of asset type abbreviations, please visit <https://fd.house.gov/reference/asset-type-codes.aspx>.

SCHEDULE C: EARNED INCOME

Source	Type	Amount
Yale University	Spouse Salary	N/A
Brown Investment & Advisory Trust	Spouse Board of Directors Fee	N/A
First Energy	Spouse Consulting Fee	N/A
Hydro Quebec	Spouse Consulting Fee	N/A
Fiat Chrysler Automobiles NV	Spouse Consulting Fee	N/A
Golder Associates Pty Ltd	Spouse Honorarium	\$7,350.00
SRI Conference & Community LLC	Spouse Honorarium	\$7,750.00
International Creative Management Partners	Spouse Royalties	\$537.00
The Authors Registry	Spouse Royalties	\$164.00
Yale University	Spouse Royalties	\$27.00

SCHEDULE D: LIABILITIES

Owner	Creditor	Date Incurred	Type	Amount of Liability
JT	Wells Fargo Bank	July 2017	Home Mortgage	\$1,000,001 - \$5,000,000

SCHEDULE E: POSITIONS

Position	Name of Organization
Director	Thomas Henderson Enterprises Inc

SCHEDULE F: AGREEMENTS

Date	Parties To	Terms of Agreement
October 1986	Sidely & Austin	Pension -- \$600 / month at retirement age

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	05/28/2018	06/3/2018	Boston, MA - Helsinki, Finland - Tallinn, Estonia - Boston, MA	0	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Aspen Institute Congressional Program	08/15/2018	08/19/2018	Vancouver, BC, Canada - Vancouver, BC, Canada - Hartford, CT	1	<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

<ul style="list-style-type: none">Esty & Associates 401(k)Fidelity Brokerage Joint Trust (Owner: JT)Gebhard Trust

- HE-4 Trust
- HE-8 Trust
- Lincoln Choice Plus IRA- acct end 63 (Owner: SP)
- Lincoln Choice Plus IRA acct end 66 (Owner: SP)
- Lincoln Choice Plus IRA Acct1 (Acct. end 81)
- Lincoln Choice Plus IRA Acct2 (Acct. end 65)
- Lincoln Joint Trust (Owner: JT)
- Lincoln Moneyguard Reserve Universal Life
LOCATION: US
- Lincoln Moneyguard Reserve Universal Life (Owner: SP)
LOCATION: US
- Prudential IRA Premier Retirement (Owner: SP)
- Schwab Contributory IRA
- Schwab IRA Contributory (Owner: SP)
- Schwab SEP IRA (Owner: SP)
- Schwab SEP IRA
- Sidley Austin Retirement (401(k))
- State of CT 457 Plan (Owner: SP)
- TIAA-CREF YaleURAP-403(B) & IIE 403(B)(DC) (Owner: SP)
- Wells Fargo Bank Accounts (Owner: JT)
LOCATION: US
- Wells Fargo Bank Accounts EHE
LOCATION: US
- Yale 403(B)(7) (Owner: SP)
- Yale 457(B) Plan (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. Elizabeth H. Esty , 05/1/2019