

# FINANCIAL DISCLOSURE REPORT

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#### FILER INFORMATION

Name: Hon. Jim Costa

Status: Member State/District: CA16

#### FILING INFORMATION

**Filing Type:** Amendment Report

Filing Year: 2013

**Filing Date:** 03/13/2015

## SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Congressional Federal Credit Union		\$1,001 - \$15,000	Interest	\$1 - \$200	
Costa Farms		\$1,000,001 - \$5,000,000	Farm Income	\$100,001 - \$1,000,000	
Location: Fresno, CA, US Description: Almonds					
Portuguese Fraternal Society of America		\$1,001 - \$15,000	Interest	\$1 - \$200	
Premier Valley Bank (PVLY)		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	
Rental Home		\$250,001 - \$500,000	Rent	\$15,001 - \$50,000	
Location: Fresno, CA, US					
Rental Home		\$500,001 - \$1,000,000	Rent	\$15,001 - \$50,000	
LOCATION: Washington, DC, US					
Wells Fargo Advisors 401(k) ⇒ Aston Funds Montag & Caldwell Growth (MCGIX)		\$15,001 - \$50,000	Tax-Deferred	None	

Asset	Owner	Value of Asset	Income Type(s)		Tx. > \$1,000?
(EIF)					
Wells Fargo Advisors 401(k) ⇒ Buffalo Small CAP FD (BUFSX) (EIF)		\$1,001 - \$15,000	Tax-Deferred	None	
Wells Fargo Advisors 401(k) ⇒ Dreyfus Appreciation FD INC INVS SHS (DGAGX) (EIF)		\$1,001 - \$15,000	Tax-Deferred	None	
Wells Fargo Advisors 401(k) ⇒ Franklin Value INVS TR SMALL CAP VALUE FD ADVISORS CL (FVADX) (EIF)		\$1,001 - \$15,000	Tax-Deferred	None	
Wells Fargo Advisors 401(k) ⇒ Gabelli Equity Ser FD SML CAP GROWTH FUND CLASS (GACIX) (EIF)		\$1,001 - \$15,000	Tax-Deferred	None	
Wells Fargo Advisors $401(k) \Rightarrow$ Goldman Sachs TR FINL SQUARE TREAS INSTRS FD INSTL CL (FTIXX) (EIF)		\$1,001 - \$15,000	Tax-Deferred	None	
Wells Fargo Advisors 401(k) ⇒ Harbor FD CAP APPRECIATION FD INSTL CL (HACAX) (EIF)		\$15,001 - \$50,000	Tax-Deferred	None	
Wells Fargo Advisors $401(k) \Rightarrow$ Harris Assoc INVT TR OAKMARK INTL Fund CL (OAKIX) (EIF)		\$15,001 - \$50,000	Tax-Deferred	None	
Wells Fargo Advisors $401(k) \Rightarrow$ ING Equity TR SMALLCAP OPPORTUNITIES FD CL (NSPIX) (EIF)		\$1,001 - \$15,000	Tax-Deferred	None	
Wells Fargo Advisors 401(k) ⇒ Janus INVT FD FLEXIBLE BD FD CLASS 1 (JFLEX) (EIF)		\$15,001 - \$50,000	Tax-Deferred	None	
Wells Fargo Advisors 401(k) ⇒ Lazard FD INC EMERGING MKTS PORT INSTL (LZEMX) (EIF)		\$15,001 - \$50,000	Tax-Deferred	None	
Wells Fargo Advisors 401(k) ⇒ MFS SER TR 1 VALUE FD (MEIIX) (EIF)		\$15,001 - \$50,000	Tax-Deferred	None	
Wells Fargo Advisors 401(k) ⇒ Oppenheimer DEV MKTS CL Y (ODVYX) (EIF)		\$1,001 - \$15,000	Tax-Deferred	None	

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Wells Fargo Advisors 401(k) ⇒ Oppenheimer INTL GRWTH FD CL Y SHS (OIGYX) (EIF)		\$1,001 - \$15,000	Tax-Deferred	None	
Wells Fargo Advisors 401(k) ⇒ PIMCO FDS PAC INVT MGMT SER TOTAL RETURN FD (PTTRX) (EIF)		\$1,001 - \$15,000	Tax-Deferred	None	
Wells Fargo Advisors 401(k) ⇒ PIMCO FDS PAC INVT MGMT SER-COMMODITY REAL RETURN STRAT FD (PCRIX) (EIF)		\$1,001 - \$15,000	Tax-Deferred	None	
Wells Fargo Advisors 401(k) ⇒ ROWE T PRICE MID CAP GROWTH FUND (RPMGX) (EIF)		\$15,001 - \$50,000	Tax-Deferred	None	
Wells Fargo Advisors 401(k) ⇒ RS INVT TR VALUE FD (RSVYX) (EIF)		\$15,001 - \$50,000	Tax-Deferred	None	П
Wells Fargo Advisors 401(k) ⇒ T ROWE PRICE REAL EST FUND (TRREX) (EIF)		\$1,001 - \$15,000	Tax-Deferred	None	
Wells Fargo Advisors $401(k) \Rightarrow$ TCW FDS INC RELATIVE VALUE LRG CAP FD (TGDIX) (EIF)		\$15,001 - \$50,000	Tax-Deferred	None	
Wells Fargo Advisors 401(k) ⇒ THORNBURG INTL VALUE INTERNATIONAL VALUE FUND (TGVIX) (EIF)		\$1,001 - \$15,000	Tax-Deferred	None	
Wells Fargo Bank		\$15,001 - \$50,000	Interest	\$1 - \$200	
Westamerica Bancorporation (WABC)		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	

 $<sup>\</sup>sp{*}$  Asset class details available at the bottom of this form.

## SCHEDULE B: TRANSACTIONS

None disclosed.

## SCHEDULE C: EARNED INCOME

Source	Туре	Amount
California Public Employees Retirement Systems	Legislative Pension	\$3,828

Source	Туре	Amount
California Legislator Retirement System	Legislative Pension	\$7,613

### SCHEDULE D: LIABILITIES

Owner	Creditor	Date Incurred	Туре	Amount of Liability
	United Security Bank	October 2007	Personal	\$100,001 - \$250,000
	Comments: Liability was paid in full on 12/	6/2013		
	The National Capital Bank	July 2006	Mortgage on Washington D.C. property	\$250,001 - \$500,000

## SCHEDULE E: Positions

Position	Name of Organization
Board Member  Comments: Not compensated	The Maddy Institute, CA State University, Fresno
Advisory Council Member Comments: Not compensated	The Congressional Hispanic Caucus Institute

#### 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	Lodging?	Food?	Family?
The National Committee on U.S China Relations	01/24/2013	01/31/2013	Washington D.C Shanghai, China - Beijing, China - Hong Kong, China - Fresno, CA	<u> </u>	<b>▽</b>	П
Aspen Institute Congressional Program	02/16/2013	02/24/2013	Washington D.C Bangalore, India - New Delhi, India - Washington D.C.	<b>∀</b>	<b>▽</b>	П
Comments: Due to administrative e	error, corrected	the actual date	s of travel.			

Trip Details			Inclusions			
Source	Start Date	End Date	Itinerary	Lodging?	Food?	Family?
U.S. Association of Former Members of Congress	03/22/2013	03/29/2013	Washington D.C Berlin, Germany - Munich, Germany - Andechs, Germany - Washington D.C.	V	<b>▽</b>	П
COMMENTS: After Andechs, German, 04/11/2013.	y; the next City	of Destination	was Munich, Germany. This is noted	in the post-trav	vel disclosure	form dated
Transatlantic Policy Network	06/21/2013	06/26/2013	Washington D.C Brussels, Belgium - London, United Kingdom - Washington D.C.	V	<u> </u>	П

#### SCHEDULE I: PAYMENTS MADE TO CHARITY IN LIEU OF HONORARIA

None disclosed.

#### SCHEDULE A AND B ASSET CLASS DETAILS

• Wells Fargo Advisors 401(k)
Description: Formerly known as Wachovia Securities 401k

#### 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?

C 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**

#### 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. Jim Costa, 03/13/2015