



Filing ID #10021874

FINANCIAL DISCLOSURE REPORT

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FILER INFORMATION

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

FILING INFORMATION

Filing Type: Annual Report
Filing Year: 2017
Filing Date: 05/14/2018

SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Chase Money Market Savings [BA]	JT	None	None		<input type="checkbox"/>
DESCRIPTION: Account closed, funds moved to Chase Savings Account					
Chase Savings Account [BA]	DC	\$1,001 - \$15,000	Interest	\$1 - \$200	<input type="checkbox"/>
Chase Savings Account [BA]	DC	\$1,001 - \$15,000	Interest	\$1 - \$200	<input type="checkbox"/>
Chase Savings Account [BA]	JT	\$100,001 - \$250,000	Interest	\$1 - \$200	<input type="checkbox"/>
Chase Workplace Checking [BA]	JT	\$15,001 - \$50,000	Interest	\$1 - \$200	<input type="checkbox"/>
DC1 ⇒ CT High Equity Option [5P]	DC	\$100,001 - \$250,000	Tax-Deferred		<input type="checkbox"/>
LOCATION: CT DESCRIPTION: Connecticut Higher Education Trust					
DC1 ⇒ CT Money Market Option [5P]	DC	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
LOCATION: CT					

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
DC1 ⇒ Index Fixed Income Option [5P] LOCATION: CT DESCRIPTION: Rebalance to Money Market Option	DC	\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
DC2 ⇒ CT High Equity Option [5P] LOCATION: CT DESCRIPTION: Connecticut Higher Education Trust	DC	\$100,001 - \$250,000	Tax-Deferred		<input type="checkbox"/>
DC2 ⇒ CT Index Fixed-Income Option [5P] LOCATION: CT	DC	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Fidelity Brokerage ⇒ Columbia Contrarian Core Fund [EF]	JT	\$50,001 - \$100,000	Capital Gains, Dividends	\$2,501 - \$5,000	<input type="checkbox"/>
Fidelity Brokerage ⇒ Fidelity Capital Appreciation [EF]	JT	\$100,001 - \$250,000	Capital Gains, Dividends	\$5,001 - \$15,000	<input type="checkbox"/>
Fidelity Brokerage ⇒ Fidelity Government Money Market [EF]	JT	\$100,001 - \$250,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Fidelity Brokerage ⇒ Fidelity International Discovery [EF]	JT	\$100,001 - \$250,000	Capital Gains, Dividends	\$5,001 - \$15,000	<input type="checkbox"/>
Fidelity Brokerage ⇒ Fidelity International Small Cap [EF]	JT	\$100,001 - \$250,000	Capital Gains, Dividends	\$2,501 - \$5,000	<input type="checkbox"/>
Fidelity Brokerage ⇒ Fidelity Intl Cap Appreciation [EF]	JT	\$100,001 - \$250,000	Capital Gains, Dividends	\$15,001 - \$50,000	<input type="checkbox"/>
Fidelity Brokerage ⇒ Fidelity Intl Real Estate Fund [EF]	JT	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
Fidelity Brokerage ⇒ Fidelity Total Mkt Index FID Advantage [EF]	JT	\$1,000,001 - \$5,000,000	Capital Gains, Dividends	\$15,001 - \$50,000	<input type="checkbox"/>
Fidelity Brokerage ⇒ GS Asia Equity Class A [EF]	JT	\$250,001 - \$500,000	Capital Gains, Dividends	\$2,501 - \$5,000	<input type="checkbox"/>
Fidelity Brokerage ⇒ GS Small Cap Value [EF]	JT	\$100,001 - \$250,000	Capital Gains, Dividends	\$15,001 - \$50,000	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Fidelity Brokerage ⇒ Intel Corporation (INTC) [ST]	JT	None	Capital Gains, Dividends	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
DESCRIPTION: Position Sold					
Fidelity Brokerage ⇒ Microsoft Corporation (MSFT) [ST]	JT	\$50,001 - \$100,000	Capital Gains, Dividends	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
DESCRIPTION: Transaction was a contribution of shares to Fidelity Charitable Gift Fund.					
Fidelity Rollover IRA ⇒ Fidelity Blue Chip Value [EF]		\$100,001 - \$250,000	Tax-Deferred		<input type="checkbox"/>
Fidelity Rollover IRA ⇒ Fidelity Capital & Income [EF]		\$100,001 - \$250,000	Tax-Deferred		<input checked="" type="checkbox"/>
Fidelity Rollover IRA ⇒ Fidelity Growth Strategies Fund [EF]		\$100,001 - \$250,000	Tax-Deferred		<input type="checkbox"/>
Fidelity Rollover IRA ⇒ Fidelity Intl Cap Appreciation [EF]		\$50,001 - \$100,000	Tax-Deferred		<input checked="" type="checkbox"/>
Fidelity Rollover IRA ⇒ Fidelity Real Estate Income [EF]		\$50,001 - \$100,000	Tax-Deferred		<input checked="" type="checkbox"/>
Fidelity Rollover IRA ⇒ Fidelity Total Bond [EF]		\$50,001 - \$100,000	Tax-Deferred		<input type="checkbox"/>
Fidelity Rollover IRA ⇒ Fidelity Total Mkt Index FID Advantage [EF]		\$50,001 - \$100,000	Tax-Deferred		<input checked="" type="checkbox"/>
Fidelity Rollover IRA ⇒ Fidelity Value Discovery [EF]		\$100,001 - \$250,000	Tax-Deferred		<input checked="" type="checkbox"/>
Fidelity Rollover IRA ⇒ Hennessy Cornerstone Growth Inv [EF]		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Fidelity Self-Employed 401(k) ⇒ Columbia Select Large Cap Equity [EF]		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Fidelity Self-Employed 401(k) ⇒ Fidelity Blue Chip Value [EF]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Fidelity Self-Employed 401(k) ⇒ Fidelity Cash Reserves [BA]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Fidelity Self-Employed 401(k) ⇒		\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Fidelity Export and Multinational [EF]					
Financial Tracking LLC Stock [PS]		\$15,001 - \$50,000	Capital Gains, Interest	\$100,001 - \$1,000,000	<input type="checkbox"/>
DESCRIPTION: Private Company based in Greenwich, CT					
Great West Aggressive Fund [IH]		\$50,001 - \$100,000	Tax-Deferred		<input type="checkbox"/>
GS Cash Deposits [BA]	JT	\$15,001 - \$50,000	Interest	\$1 - \$200	<input type="checkbox"/>
GS Funds ⇒ GS Capital Partners 2000 Employee LP [HE]	JT	None	None		<input type="checkbox"/>
DESCRIPTION: EIF					
GS Funds ⇒ GS Direct Investment Fund 2000 LP [HE]	JT	None	None		<input type="checkbox"/>
DESCRIPTION: EIF					
GS Funds ⇒ GS Distressed Opportunities Employee LP [HE]	JT	\$1,001 - \$15,000	Capital Gains, Dividends, Interest	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: EIF					
GS Funds ⇒ GS Private Equity Partners 2002 LP [HE]	JT	\$1,001 - \$15,000	Capital Gains, Dividends, Interest	\$1,001 - \$2,500	<input type="checkbox"/>
DESCRIPTION: EIF					
GS Funds ⇒ GS Vintage II Employee Fund LP [HE]	JT	\$1,001 - \$15,000	Dividends, Interest	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: EIF					
GS Funds ⇒ Stone Street PEP Technology Fund [HE]	JT	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: EIF					
GS Funds ⇒ Stone Street Real Estate Fund 1999 [HE]	JT	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: EIF					
GS Funds ⇒ Stone Street Real Estate Fund 2000 [HE]	JT	\$1 - \$1,000	None		<input type="checkbox"/>
DESCRIPTION: EIF					

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
GS Funds ⇒ Whitehall Street Global Employee Fund [HE]	JT	\$1,001 - \$15,000	Capital Gains, Dividends, Interest	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: EIF					
Principal Bank Safe Harbor IRA [IH]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Spouse IRA ⇒ Fidelity Magellan [MF]	SP	\$50,001 - \$100,000	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?
DC1 ⇒ Money Market Option [5P]	DC	01/17/2017	P	\$50,001 - \$100,000	
LOCATION: CT DESCRIPTION: Rebalance from High Equity and Fixed Income Options					
DC2 ⇒ Indexed Fixed Income Option [5P]	DC	01/18/2017	P	\$15,001 - \$50,000	
LOCATION: CT DESCRIPTION: Rebalance from High Equity Option					
Fidelity Brokerage ⇒ Intel Corporation (INTC) [ST]	JT	08/22/2017	S	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
DESCRIPTION: Sale of Intel common shares					
Fidelity Brokerage ⇒ Microsoft Corporation (MSFT) [ST]	JT	08/22/2017	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
DESCRIPTION: This was a contribution of shares to Fidelity Charitable Gift Fund.					
Fidelity Rollover IRA ⇒ Fidelity Capital and Income Fund [IR]		06/10/2017	P	\$1,001 - \$15,000	
DESCRIPTION: Reinvestment					
Fidelity Rollover IRA ⇒ Fidelity Intl Capital Appreciation Fund [IR]		12/8/2017	P	\$1,001 - \$15,000	
DESCRIPTION: Reinvestment					
Fidelity Rollover IRA ⇒ Fidelity Real Estate Income [IR]		12/15/2017	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
DESCRIPTION: Reinvestment					
Fidelity Rollover IRA ⇒ Fidelity Total Market Index [IR]		12/15/2017	P	\$1,001 - \$15,000	
DESCRIPTION: Reinvestment					
Fidelity Rollover IRA ⇒ Fidelity Value Discovery Fund [IR]		12/8/2017	P	\$1,001 - \$15,000	
DESCRIPTION: Reinvestment					
Fidelity Self-Employed 401(k) ⇒ Export and Multinational Fund [OT]		10/6/2017	P	\$1,001 - \$15,000	
LOCATION: US DESCRIPTION: Reinvestment					
Spouse IRA ⇒ Fidelity Magellan Fund [IR]	SP	12/1/2017	P	\$1,001 - \$15,000	
DESCRIPTION: Reinvestment					
Spouse IRA ⇒ Fidelity Magellan Fund [IR]	SP	05/12/2017	P	\$1,001 - \$15,000	
DESCRIPTION: Reinvestment					

* 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
Spouse consulting	Spouse consulting income	\$4,920.00

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	05/29/2017	06/4/2017	New York City - Berlin, Germany - New York City	0	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Center Forward Issues Conference	03/24/2017	03/25/2017	Washington, DC - Middleburg, VA - Washington, DC	0	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input 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">DC1 (Owner: DC) LOCATION: CTDC2 (Owner: DC) LOCATION: CTFidelity Brokerage (Owner: JT) LOCATION: USFidelity Rollover IRAFidelity Self-Employed 401(k)GS Funds (Owner: JT) LOCATION: US DESCRIPTION: EIFSpouse 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 , 05/14/2018