



Filing ID #10010810

# FINANCIAL DISCLOSURE REPORT

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## FILER INFORMATION

**Name:** Hon. Jim Costa  
**Status:** Member  
**State/District:** CA16

## FILING INFORMATION

**Filing Type:** Annual Report  
**Filing Year:** 2015  
**Filing Date:** 05/16/2016

## SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Heartland Financial USA, Inc. (HTLF)		\$15,001 - \$50,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
James M. Costa Farms (Sole Proprietorship)		\$1,000,001 - \$5,000,000	Farm Income	\$100,001 - \$1,000,000	<input type="checkbox"/>
LOCATION: Fresno, CA, US DESCRIPTION: Farming operation					
Portuguese Fraternal Society of America		\$1,001 - \$15,000	Interest	\$1 - \$200	<input type="checkbox"/>
Premier Valley Bank (PVLV)		None	Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
Rental Home		\$250,001 - \$500,000	Rent	\$15,001 - \$50,000	<input type="checkbox"/>
LOCATION: Fresno, CA, US					
Rental Home		\$500,001 - \$1,000,000	Rent	\$5,001 - \$15,000	<input type="checkbox"/>
LOCATION: Washington, DC, US					
United Security Bank		\$250,001 - \$500,000	None		<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Wells Fargo Advisors 401(k) ⇒ American Funds EuroPacific Growth Fund Class F-2 (AEPFX) (EIF)		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Wells Fargo Advisors 401(k) ⇒ American Funds Washington Mutual Investors Fund Class F-2 (WMFFX) (EIF)		\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Wells Fargo Advisors 401(k) ⇒ Aston Funds Montag & Caldwell Growth (MCGIX) (EIF)		None	Tax-Deferred		<input checked="" type="checkbox"/>
Wells Fargo Advisors 401(k) ⇒ Buffalo Small CAP FD (BUFSX) (EIF)		None	Tax-Deferred		<input checked="" type="checkbox"/>
Wells Fargo Advisors 401(k) ⇒ Deutsche Enhanced Commodity Strategy Fund Institutional Class (SKIRX) (EIF)		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Wells Fargo Advisors 401(k) ⇒ Deutsche Global Real Estate Securities Fund Class S (RRGTX) (EIF)		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Wells Fargo Advisors 401(k) ⇒ Dreyfus Appreciation FD INC INVS SHS (DGAGX) (EIF)		None	Tax-Deferred		<input checked="" type="checkbox"/>
Wells Fargo Advisors 401(k) ⇒ Eaton Vance Income Fund of Boston Class I (EIBIX) (EIF)		\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Wells Fargo Advisors 401(k) ⇒ Edgewood Growth Fund Class Institutional (EGFIX) (EIF)		\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Wells Fargo Advisors 401(k) ⇒ Franklin Small Cap Value Adv (FVADX) (EIF)		\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Wells Fargo Advisors 401(k) ⇒ Gabelli Equity Ser FD SML CAP GROWTH FUND CLASS (GACIX) (EIF)		None	Tax-Deferred		<input checked="" type="checkbox"/>
Wells Fargo Advisors 401(k) ⇒ Goldman Sachs FS Treasury Instruments Fund (FTIXX) (EIF)		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Wells Fargo Advisors 401(k) ⇒ Harbor FD CAP APPRECIATION FD INSTL CL (HACAX) (EIF)		\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Wells Fargo Advisors 401(k) ⇒ Harris Assoc INVT TR OAKMARK INTL Fund CL (OAKIX) (EIF)		\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Wells Fargo Advisors 401(k) ⇒ Janus INVT FD FLEXIBLE BD FD CLASS 1 (JFLEX) (EIF)		\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Wells Fargo Advisors 401(k) ⇒ JP Morgan 100% US Treasury Securities  DESCRIPTION: Cash and Sweep Balances		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Wells Fargo Advisors 401(k) ⇒ JPMorgan Core Bond Fund Select Class (WOBDX) (EIF)		None	Tax-Deferred		<input checked="" type="checkbox"/>
Wells Fargo Advisors 401(k) ⇒ Lazard Emerging Markets Equity Portfolio Institutional Shares (LZEMX) (EIF)		\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Wells Fargo Advisors 401(k) ⇒ MFS SER TR 1 VALUE FD (MEIIX) (EIF)		\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Wells Fargo Advisors 401(k) ⇒ Oppenheimer Developing Markets Fund Class Y (ODVYX) (EIF)		\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Wells Fargo Advisors 401(k) ⇒ Oppenheimer INTL GRWTH FD CL Y SHS (OIGYX) (EIF)		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Wells Fargo Advisors 401(k) ⇒ PIMCO CommodityRealReturn Strategy Fund Institutional Class (PCRIX) (EIF)		None	Tax-Deferred		<input checked="" type="checkbox"/>
Wells Fargo Advisors 401(k) ⇒ ROWE T PRICE MID CAP GROWTH FUND (RPMGX) (EIF)		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Wells Fargo Advisors 401(k) ⇒ RS INVT TR VALUE FD (RSVYX) (EIF)		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Wells Fargo Advisors 401(k) ⇒ RS Small Cap Growth Fund Class Y (RSYEX) (EIF)		\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Wells Fargo Advisors 401(k) ⇒ T ROWE PRICE REAL EST FUND (TRREX) (EIF)		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Wells Fargo Advisors 401(k) ⇒ TCW FDS INC RELATIVE VALUE LRG CAP FD (TGDIX) (EIF)		\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Wells Fargo Advisors 401(k) ⇒ VOYA EQUITY TR SMALL CAP OPPORTUNITIES FD CL 1 (NSPIX) (EIF)		None	Tax-Deferred		<input checked="" type="checkbox"/>
Wells Fargo Bank		\$1,001 - \$15,000	Interest	\$1 - \$200	<input type="checkbox"/>
Westamerica Bancorporation (WABC)		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<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?
Heartland Financial USA, Inc. (HTLF) DESCRIPTION: Exchanged from Premier Valley Bank (PVLY)		12/4/2015	E	\$1,001 - \$15,000	
Wells Fargo Advisors 401(k) ⇒ American Fund Washington Mutual Investors Fund Class F-2 (WMFFX) (EIF)		04/24/2015	P	\$15,001 - \$50,000	
Wells Fargo Advisors 401(k) ⇒ American Fund Washington Mutual Investors Fund Class F-2 (WMFFX) (EIF)		04/28/2015	P	\$1,001 - \$15,000	
Wells Fargo Advisors 401(k) ⇒ American Funds EuroPacific Growth Fund Class F-2 (AEPFX) (EIF)		04/10/2015	P	\$1,001 - \$15,000	
Wells Fargo Advisors 401(k) ⇒ Aston Funds Montag & Caldwell Growth (MCGIX) (EIF)		04/10/2015	P	\$1,001 - \$15,000	
Wells Fargo Advisors 401(k) ⇒ Aston Funds Montag & Caldwell Growth (MCGIX) (EIF)		04/24/2015	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>

Asset	Owner Date	Tx. Type	Amount	Cap. Gains > \$200?
Wells Fargo Advisors 401(k) ⇒ Aston Funds Montag & Caldwell Growth (MCGIX) (EIF)	04/27/2015	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Wells Fargo Advisors 401(k) ⇒ Buffalo Small CA FD (BUFSX) (EIF)	04/10/2015	P	\$1,001 - \$15,000	
Wells Fargo Advisors 401(k) ⇒ Buffalo Small CA FD (BUFSX) (EIF)	04/24/2015	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Wells Fargo Advisors 401(k) ⇒ Buffalo Small CA FD (BUFSX) (EIF)	04/27/2015	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Wells Fargo Advisors 401(k) ⇒ Deutsche Enhanced Commodity Strategy Fund Institutional Class (SKIRX) (EIF)	12/18/2015	P	\$1,001 - \$15,000	
Wells Fargo Advisors 401(k) ⇒ Deutsche Global Real Estate Securities Fun Class S (RRGTX) (EIF)	08/13/2015	P	\$1,001 - \$15,000	
Wells Fargo Advisors 401(k) ⇒ Dreyfus Appreciation FD INC INVS SHS (DGAGX) (EIF)	04/10/2015	P	\$1,001 - \$15,000	
Wells Fargo Advisors 401(k) ⇒ Dreyfus Appreciation FD INC INVS SHS (DGAGX) (EIF)	04/24/2015	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Wells Fargo Advisors 401(k) ⇒ Dreyfus Appreciation FD INC INVS SHS (DGAGX) (EIF)	04/27/2015	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Wells Fargo Advisors 401(k) ⇒ Eaton Vance Income Fund of Boston Class I (EIBIX) (EIF)	08/11/2015	P	\$15,001 - \$50,000	
Wells Fargo Advisors 401(k) ⇒ Eaton Vance Income Fund of Boston Class I (EIBIX) (EIF)	08/12/2015	P	\$1,001 - \$15,000	
Wells Fargo Advisors 401(k) ⇒ Edgewood Growth Fund Class Institutional (EGFIX) (EIF)	04/23/2015	P	\$15,001 - \$50,000	
Wells Fargo Advisors 401(k) ⇒ Edgewood Growth Fund Class Institutional (EGFIX) (EIF)	08/12/2015	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Wells Fargo Advisors 401(k) ⇒ Franklin Small Cap Value Adv (FVADX) (EIF)	08/13/2015	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Wells Fargo Advisors 401(k) ⇒ Franklin Small Cap Value Adv (FVADX) (EIF)		04/10/2015	P	\$1,001 - \$15,000	
Wells Fargo Advisors 401(k) ⇒ Gabelli Equity Ser FD SML CAP GROWTH FUND CLASS (GACIX) (EIF)		08/11/2015	S	\$1,001 - \$15,000	<input type="checkbox"/>
Wells Fargo Advisors 401(k) ⇒ Goldman Sachs FS Treasury Instruments Fund (FTIXX) (EIF)		01/12/2015	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Wells Fargo Advisors 401(k) ⇒ Goldman Sachs FS Treasury Instruments Fund (FTIXX) (EIF)		04/10/2015	P	\$1,001 - \$15,000	
Wells Fargo Advisors 401(k) ⇒ Goldman Sachs FS Treasury Instruments Fund (FTIXX) (EIF)		07/13/2015	P	\$1,001 - \$15,000	
Wells Fargo Advisors 401(k) ⇒ Goldman Sachs FS Treasury Instruments Fund (FTIXX) (EIF)		08/13/2015	P	\$1,001 - \$15,000	
Wells Fargo Advisors 401(k) ⇒ Goldman Sachs FS Treasury Instruments Fund (FTIXX) (EIF)		10/13/2015	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Wells Fargo Advisors 401(k) ⇒ Harbor FD CAP APPRECIATION FD INSTL CL (HACAX) (EIF)		04/10/2015	P	\$1,001 - \$15,000	
Wells Fargo Advisors 401(k) ⇒ Harbor FD CAP APPRECIATION FD INSTL CL (HACAX) (EIF)		08/12/2015	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Wells Fargo Advisors 401(k) ⇒ Harris Assoc INVT TR OAKMARK INTL Fund CL (OAKIX) (EIF)		04/10/2015	P	\$1,001 - \$15,000	
Wells Fargo Advisors 401(k) ⇒ Janus INVT FD FLEXIBLE BD FD CLASS 1 (JFLEX)		04/10/2015	P	\$1,001 - \$15,000	
Wells Fargo Advisors 401(k) ⇒ JPMorgan Cor Bond Fund Select Class ( WOBDX) (EIF)		08/11/2015	S	\$15,001 - \$50,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Wells Fargo Advisors 401(k) ⇒ Lazard Emerging Markets Equity Portfolio Institutional Shares (LZEMX) (EIF)		04/10/2015	P	\$1,001 - \$15,000	
Wells Fargo Advisors 401(k) ⇒ Lazard Emerging Markets Equity Portfolio Institutional Shares (LZEMX) (EIF)		08/13/2015	P	\$1,001 - \$15,000	
Wells Fargo Advisors 401(k) ⇒ MFS SER TR1 VALUE FD (MEIIX) (EIF)		04/10/2015	P	\$1,001 - \$15,000	
Wells Fargo Advisors 401(k) ⇒ MFS SER TR1 VALUE FD (MEIIX) (EIF)		08/12/2015	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Wells Fargo Advisors 401(k) ⇒ Oppenheimer Developing Markets Fund Class Y (ODVYX) (EIF)		04/10/2015	P	\$1,001 - \$15,000	
Wells Fargo Advisors 401(k) ⇒ Oppenheimer Developing Markets Fund Class Y (ODVYX) (EIF)		08/13/2015	P	\$1,001 - \$15,000	
Wells Fargo Advisors 401(k) ⇒ Oppenheimer INTL GRWTH FD CL Y SHS (OIGYX) (EIF)		04/10/2015	P	\$1,001 - \$15,000	
Wells Fargo Advisors 401(k) ⇒ PIMCO Commodity Real Return Strategy Fund Institutional Class ( PCRIX) (EIF)		04/10/2015	P	\$1,001 - \$15,000	
Wells Fargo Advisors 401(k) ⇒ PIMCO Commodity Real Return Strategy Fund Institutional Class ( PCRIX) (EIF)		12/17/2015	S	\$1,001 - \$15,000	<input type="checkbox"/>
Wells Fargo Advisors 401(k) ⇒ RS INVT TR VALUE FD (RSVYX) (EIF)		04/10/2015	P	\$1,001 - \$15,000	
Wells Fargo Advisors 401(k) ⇒ RS INVT TR VALUE FD (RSVYX) (EIF)		08/12/2015	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Wells Fargo Advisors 401(k) ⇒ RS Small Cap Growth Fund Class Y (RSYEX) (EIF)		04/24/2015	P	\$15,001 - \$50,000	
Wells Fargo Advisors 401(k) ⇒ RS Small Cap Growth Fund Class Y (RSYEX) (EIF)		08/13/2015	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Wells Fargo Advisors 401(k) ⇒ TCW FDS INC RELATIVE VALUE LRG CAP FD (TGDIX) (EIF)		04/10/2015	P	\$1,001 - \$15,000	
Wells Fargo Advisors 401(k) ⇒ VOYA EQUITY TR SMALL CAP OPPORTUNITIES FD CL 1 (NSPIX) (EIF)		08/12/2015	S	\$1,001 - \$15,000	<input type="checkbox"/>

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

SCHEDULE C: EARNED INCOME

Source	Type	Amount
California Public Employees Retirement Systems	Legislative Pension	\$3,982.00
California Legislator Retirement System	Legislative Pension	\$7,853.00

SCHEDULE D: LIABILITIES

Owner	Creditor	Date Incurred	Type	Amount of Liability
	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

Date	Parties To	Terms of Agreement
January 2005	Myself & California Public Employees Retirement Systems	Pension Plan Participation
January 2003	Myself & California Legislator Retirement Systems	Pension Plan Participation



## 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?
The Luso-American Development Foundation	02/18/2015	02/21/2015	Washington DC - Lisbon, Portugal - Brussels, Belgium	0	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Transatlantic Policy Network	02/21/2015	02/24/2015	Libson, Portugal - Brussels, Belgium - Washington DC	0	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
California State Society, Inc.	07/16/2015	07/17/2015	Washington DC - San Francisco, CA - Fresno, CA	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

- Wells Fargo Advisors 401(k)

## 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. Jim Costa , 05/16/2016