



Filing ID #10002208

FINANCIAL DISCLOSURE REPORT

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FILER INFORMATION

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

FILING INFORMATION

Filing Type: Annual Report
Filing Year: 2013
Filing Date: 06/4/2014

SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Chase Money Market Savings	JT	\$50,001 - \$100,000	Interest	\$1 - \$200	<input type="checkbox"/>
Chase Workplace Checking	JT	\$1,001 - \$15,000	Interest	\$1 - \$200	<input type="checkbox"/>
DC1 ⇒ CT High Equity Option	DC	\$100,001 - \$250,000	Tax-Deferred	None	<input type="checkbox"/>
DC1 ⇒ Index Fixed Income Option	DC	\$1,001 - \$15,000	Tax-Deferred	None	<input type="checkbox"/>
DESCRIPTION: Rebalanced 1/22/13 from High Equity Option					
DC2 ⇒ CT High Equity Option	DC	\$100,001 - \$250,000	Tax-Deferred	None	<input type="checkbox"/>
Fidelity Brokerage ⇒ Alcatel-Lucent (ALU)		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Fidelity Brokerage ⇒ Cisco Systems, Inc. (CSCO)		\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
Fidelity Brokerage ⇒		\$50,001 -	Capital Gains,	\$15,001 -	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Columbia Value and Restructuring		\$100,000	Dividends	\$50,000	
Fidelity Brokerage ⇒ Facebook, Inc. - Class A (FB)		\$50,001 - \$100,000	None		<input checked="" type="checkbox"/>
Fidelity Brokerage ⇒ Fidelity Capital Appreciation		\$100,001 - \$250,000	Capital Gains, Dividends	\$15,001 - \$50,000	<input type="checkbox"/>
Fidelity Brokerage ⇒ Fidelity CT Municipal Money Mkt		\$500,001 - \$1,000,000	Interest	\$1 - \$200	<input type="checkbox"/>
Fidelity Brokerage ⇒ Fidelity International Discovery		\$100,001 - \$250,000	Capital Gains, Dividends	\$2,501 - \$5,000	<input type="checkbox"/>
Fidelity Brokerage ⇒ Fidelity International Small Cap		\$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		\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
Fidelity Brokerage ⇒ GS Asia Equity Class A	JT	\$100,001 - \$250,000	Capital Gains, Dividends	\$201 - \$1,000	<input type="checkbox"/>
Fidelity Brokerage ⇒ GS Small Cap Value	JT	\$100,001 - \$250,000	Capital Gains, Dividends	\$15,001 - \$50,000	<input type="checkbox"/>
Fidelity Brokerage ⇒ Intel Corporation (INTC)		\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
Fidelity Brokerage ⇒ Microsoft Corporation (MSFT)		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Fidelity Brokerage ⇒ Mondelez International, Inc. - Class A (MDLZ)	JT	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
DESCRIPTION: Contribution to Fidelity Charitable Trust					
Fidelity Brokerage ⇒ NGP Capital Resources Company - Closed End Fund (NGPC)		\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
Fidelity Brokerage ⇒ Spartan Total Mkt Index FID Advantage		\$1,000,001 - \$5,000,000	Capital Gains, Dividends	\$15,001 - \$50,000	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Fidelity Rollover IRA ⇒ Fidelity Blue Chip Value		\$50,001 - \$100,000	Tax-Deferred	None	<input type="checkbox"/>
Fidelity Rollover IRA ⇒ Fidelity Capital & Income		\$50,001 - \$100,000	Tax-Deferred	None	<input type="checkbox"/>
Fidelity Rollover IRA ⇒ Fidelity Growth Strategies Fund		\$50,001 - \$100,000	Tax-Deferred	None	<input type="checkbox"/>
Fidelity Rollover IRA ⇒ Fidelity Intl Cap Aprpreciation		\$50,001 - \$100,000	Tax-Deferred	None	<input type="checkbox"/>
Fidelity Rollover IRA ⇒ Fidelity Real Estate Income		\$50,001 - \$100,000	Tax-Deferred	None	<input type="checkbox"/>
Fidelity Rollover IRA ⇒ Fidelity Total Bond		\$50,001 - \$100,000	Tax-Deferred	None	<input type="checkbox"/>
Fidelity Rollover IRA ⇒ Fidelity Value Discovery		\$100,001 - \$250,000	Tax-Deferred	None	<input type="checkbox"/>
Fidelity Rollover IRA ⇒ Hennessy Cornerstone Growth Inv		\$15,001 - \$50,000	Tax-Deferred	None	<input type="checkbox"/>
Fidelity Rollover IRA ⇒ Spartan Total Mkt Index FID Advantage		\$50,001 - \$100,000	Tax-Deferred	None	<input type="checkbox"/>
Fidelity Self-Employed 401(k) ⇒ Columbia Select Large Cap Equity		\$1,001 - \$15,000	Tax-Deferred	None	<input type="checkbox"/>
Fidelity Self-Employed 401(k) ⇒ Fidelity Blue Chip Value		\$1,001 - \$15,000	Tax-Deferred	None	<input type="checkbox"/>
Fidelity Self-Employed 401(k) ⇒ Fidelity Export and Multinational		\$15,001 - \$50,000	Tax-Deferred	None	<input type="checkbox"/>
Fidelity Self-Employed 401(k) ⇒ LSI Corporation (LSI)		\$1,001 - \$15,000	Tax-Deferred	None	<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 Money Market Fund IRA		\$50,001 - \$100,000	Tax-Deferred	None	<input type="checkbox"/>
GS Cash Deposits	JT	\$15,001 - \$50,000	Interest	\$1 - \$200	<input type="checkbox"/>
GS Funds ⇒ GS Capital Partners 2000 Employee LP		\$50,001 - \$100,000	None		<input type="checkbox"/>
GS Funds ⇒ GS Direct Investment Fund 2000 LP		\$1,001 - \$15,000	None		<input type="checkbox"/>
GS Funds ⇒ GS Distressed Opportunities Employee LP		\$15,001 - \$50,000	Capital Gains, Dividends, Interest	\$201 - \$1,000	<input type="checkbox"/>
GS Funds ⇒ GS Private Equity Partners 2002 LP		\$15,001 - \$50,000	Capital Gains, Dividends, Interest	\$1,001 - \$2,500	<input type="checkbox"/>
GS Funds ⇒ GS Vintage II Employee Fund LP		\$1,001 - \$15,000	None		<input type="checkbox"/>
GS Funds ⇒ Stone Street Asia Fund LP	JT	None	None		<input type="checkbox"/>
DESCRIPTION: Limited partnership dissolved					
GS Funds ⇒ Stone Street PEP Technology Fund		\$15,001 - \$50,000	None		<input type="checkbox"/>
GS Funds ⇒ Stone Street Real Estate Fund 1999		\$1,001 - \$15,000	None		<input type="checkbox"/>
GS Funds ⇒ Stone Street Real Estate Fund 2000		\$1,001 - \$15,000	Capital Gains, Dividends, Interest	\$1,001 - \$2,500	<input type="checkbox"/>
GS Funds ⇒ Whitehall Street Global Employee Fund		\$1,001 - \$15,000	Capital Gains, Dividends, Interest	\$1,001 - \$2,500	<input type="checkbox"/>
Principal Bank Safe Harbor IRA		\$1,001 - \$15,000	Tax-Deferred	None	<input type="checkbox"/>
DESCRIPTION: Conversion from Enterprise 401k-Jennison					
Savings Account	DC	\$1,001 - \$15,000	None		<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Savings Account	DC	\$1,001 - \$15,000	None		<input type="checkbox"/>
Savings Account	JT	\$1,001 - \$15,000	None		<input type="checkbox"/>
Spouse IRA ⇒ Fidelity Magellan	SP	\$15,001 - \$50,000	Tax-Deferred	None	<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?
DC1 ⇒ High Equity Option DC1	DC	01/23/2013	P	\$1,001 - \$15,000	
DC2 ⇒ High Equity Option DC2	DC	01/24/2013	P	\$1,001 - \$15,000	
Fidelity Brokerage ⇒ Facebook, Inc. - Class A (FB) DESCRIPTION: Sale of position		08/26/2013	S	\$100,001 - \$250,000	<input checked="" type="checkbox"/>
Fidelity Brokerage ⇒ Mondelez International, Inc. - Class A (MDLZ) DESCRIPTION: Contribution to Fidelity Charitable Trust	JT	10/28/2013	S	\$1,001 - \$15,000	<input type="checkbox"/>
Fidelity Rollover IRA ⇒ Fidelity Real Estate Income DESCRIPTION: Reinvestment		12/13/2013	P	\$1,001 - \$15,000	
Fidelity Rollover IRA ⇒ Fidelity Real Estate Income DESCRIPTION: Reinvestment		09/6/2013	P	\$1,001 - \$15,000	
Fidelity Self-Employed 401(k) ⇒ Columbia Select Large Cap Equity DESCRIPTION: Reinvestment		12/9/2013	P	\$1,001 - \$15,000	
Fidelity Self-Employed 401(k) ⇒ Columbia Select Large Cap Equity DESCRIPTION: Reinvestment		06/25/2013	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Fidelity Self-Employed 401(k) ⇒ Fidelity Export and Multinational		10/4/2013	P	\$1,001 - \$15,000	
DESCRIPTION: Reinvestment					
GS Funds ⇒ Stone Street Asia Fund LP	JT	06/30/2014	S	\$	<input type="checkbox"/>
DESCRIPTION: Dissolution of Limited Partnership					

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

SCHEDULE C: EARNED INCOME

None disclosed.

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	\$250,001 - \$500,000

SCHEDULE E: POSITIONS

None disclosed.

SCHEDULE F: AGREEMENTS

None disclosed.

SCHEDULE G: GIFTS

None disclosed.

SCHEDULE H: TRAVEL PAYMENTS AND REIMBURSEMENTS

None disclosed.

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)
- 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

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: Mr. James A. Himes , 06/4/2014