



Filing ID #10056792

# FINANCIAL DISCLOSURE REPORT

Clerk of the House of Representatives • Legislative Resource Center • 135 Cannon Building • Washington, DC 20515

## FILER INFORMATION

**Name:** Mr. Jim Toes  
**Status:** Congressional Candidate  
**State/District:** NY03

## FILING INFORMATION

**Filing Type:** Candidate Report  
**Filing Year:** 2023  
**Filing Date:** 02/19/2024  
**Period Covered:** 01/01/2022– 08/31/2023

## SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Fidelity ⇒ Fidelity Government Money Market [BA]	SP	\$50,001 - \$100,000	Dividends	\$201 - \$1,000	\$2,501 - \$5,000
Guardian Whole Life Insurance [WU]		\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000	\$5,001 - \$15,000
DESCRIPTION: The Death Benefit is \$1,000,000 Cash Value is \$375,000 COMMENTS: Dividend is applied towards reducing the annual premium					
Merrill Lynch ⇒ Merrill Lynch Preferred Deposit [BA]	SP	\$50,001 - \$100,000	Interest	\$201 - \$1,000	\$5,001 - \$15,000
Merrill Lynch IRA ⇒ AbbVie Inc. Common Stock (ABBV) [ST]	SP	\$1,001 - \$15,000	Dividends	\$1 - \$200	\$201 - \$1,000
Merrill Lynch IRA ⇒ Amazon.Com Inc o3.8% Dec 5 2024 [CS]	SP	\$2,492.00	Dividends	None	None
DESCRIPTION: Corporate Bond					
Merrill Lynch IRA ⇒ American Electric Power Company, Inc. (AEP) [ST]	SP	\$1,001 - \$15,000	Dividends	\$1 - \$200	\$201 - \$1,000

<b>Asset</b>	<b>Owner</b>	<b>Value of Asset</b>	<b>Income Type(s)</b>	<b>Income Current Year to Filing</b>	<b>Income Preceding Year</b>
Merrill Lynch IRA ⇒ Analog Devices, Inc. - Common Stock (ADI) [ST]	SP	\$1,001 - \$15,000	Dividends	\$1 - \$200	\$201 - \$1,000
Merrill Lynch IRA ⇒ AstraZeneca PLC - American Depository Shares (AZN) [ST]	SP	\$15,001 - \$50,000	Dividends	\$1 - \$200	\$201 - \$1,000
Merrill Lynch IRA ⇒ Berkshire Hathaway 03.125% March 15 2026 [CS]  DESCRIPTION: Corporate Bond	SP	\$1,718.00	Dividends	None	None
Merrill Lynch IRA ⇒ BlackRock Low Duration Bond Portfolio - Institutional (BFMSX) [MF]	SP	\$15,001 - \$50,000	Dividends	\$1 - \$200	\$1,001 - \$2,500
Merrill Lynch IRA ⇒ BLF FEDFUND [IH]	SP	\$100,001 - \$250,000	Dividends	\$201 - \$1,000	\$2,501 - \$5,000
Merrill Lynch IRA ⇒ Boston Properties 02.75% Oct. 01 2026 [CS]  DESCRIPTION: Corporate Bond	SP	\$2,336.00	Dividends	None	None
Merrill Lynch IRA ⇒ Cisco Systems, Inc. - Common Stock (CSCO) [ST]	SP	\$1,001 - \$15,000	Dividends	\$1 - \$200	\$201 - \$1,000
Merrill Lynch IRA ⇒ Coca-Cola Company (KO) [ST]	SP	\$1,001 - \$15,000	Dividends	\$1 - \$200	\$201 - \$1,000
Merrill Lynch IRA ⇒ Columbia Dividend Income Fund Class I (GSFTX) [MF]	SP	\$15,001 - \$50,000	Dividends	\$1 - \$200	\$201 - \$1,000
Merrill Lynch IRA ⇒ CVS Health Corporation Common Stock (CVS) [ST]	SP	\$1,001 - \$15,000	Dividends	\$1 - \$200	\$201 - \$1,000
Merrill Lynch IRA ⇒ Exxon Mobil Corporation Common Stock (XOM) [ST]	SP	\$1,001 - \$15,000	Dividends	\$1 - \$200	\$201 - \$1,000
Merrill Lynch IRA ⇒ Honeywell International Inc. (HON) [ST]	SP	\$1,001 - \$15,000	Dividends	\$1 - \$200	\$201 - \$1,000
Merrill Lynch IRA ⇒ JP Morgan Chase & Co. Common Stock (JPM) [ST]	SP	\$1,001 - \$15,000	Dividends	\$1 - \$200	\$201 - \$1,000
Merrill Lynch IRA ⇒ JPMorgan Equity Income Fund I Class (HLIEX) [MF]	SP	\$15,001 - \$50,000	Dividends	\$1 - \$200	\$201 - \$1,000

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Merrill Lynch IRA ⇒ Lam Research Corporation - Common Stock (LRCX) [ST]	SP	\$15,001 - \$50,000	Dividends	\$1 - \$200	\$201 - \$1,000
Merrill Lynch IRA ⇒ Lord Abbett Inv Tr, Lord Abbett Floating Rate Fd - Cl I (LFRIX) [MF]	SP	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	\$1,001 - \$2,500
Merrill Lynch IRA ⇒ Lord Abbett Inv Tr. Short Duration Income Fd Cl I (LLDYX) [MF]	SP	\$50,001 - \$100,000	Dividends	\$201 - \$1,000	\$2,501 - \$5,000
Merrill Lynch IRA ⇒ MetLife, Inc. Common Stock (MET) [ST]	SP	\$1,001 - \$15,000	Dividends	\$1 - \$200	\$201 - \$1,000
Merrill Lynch IRA ⇒ Philip Morris International Inc Common Stock (PM) [ST]	SP	\$1,001 - \$15,000	Dividends	\$1 - \$200	\$201 - \$1,000
Merrill Lynch IRA ⇒ Procter & Gamble Company (PG) [ST]	SP	\$1,001 - \$15,000	Dividends	\$1 - \$200	\$201 - \$1,000
Merrill Lynch IRA ⇒ RTX Corporation Common Stock (RTX) [ST]	SP	\$1,001 - \$15,000	Dividends	\$1 - \$200	\$201 - \$1,000
Merrill Lynch IRA ⇒ Shell PLC American Depository Shares (SHEL) [ST]	SP	\$1,001 - \$15,000	Dividends	\$1 - \$200	\$201 - \$1,000
Merrill Lynch IRA ⇒ Texas Instruments Incorporated - Common Stock (TXN) [ST]	SP	\$1,001 - \$15,000	Dividends	\$1 - \$200	\$201 - \$1,000
Merrill Lynch IRA ⇒ The Communication Services Select Sector SPDR Fund (XLC) [EF]	SP	\$1,001 - \$15,000	Dividends	\$1 - \$200	\$201 - \$1,000
Merrill Lynch IRA ⇒ U.S. Treasury Bill [GS]	SP	\$100,001 - \$250,000	Capital Gains	\$2,501 - \$5,000	\$2,501 - \$5,000
Merrill Lynch IRA ⇒ United Parcel Service, Inc. Common Stock (UPS) [ST]	SP	\$1,001 - \$15,000	Dividends	\$1 - \$200	\$201 - \$1,000
Merrill Lynch IRA ⇒ Vanguard Information Tech ETF (VGT) [EF]	SP	\$15,001 - \$50,000	Dividends	\$1 - \$200	\$1 - \$200

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Merrill Lynch IRA ⇒ Verizon Communications Inc. Common Stock (VZ) [ST]	SP	\$1,001 - \$15,000	Dividends	\$1 - \$200	\$201 - \$1,000
Merrill Lynch IRA ⇒ Visa Inc. (V) [ST]	SP	\$15,001 - \$50,000	Dividends	\$1 - \$200	\$201 - \$1,000
Merrill Lynch IRA ⇒ Zoetis Inc 03.00% Sep 12 2027 [CS]  DESCRIPTION: Corporate Bond	SP	\$2,374.00	Dividends	None	None
Merrill Lynch IRRA ⇒ BlackRock Innovation and Growth Term Trust Common Shares of Beneficial Interest (BIGZ) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	\$1,001 - \$2,500
Merrill Lynch IRRA ⇒ BLF FEDFUND [IH]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	\$5,001 - \$15,000
Merrill Lynch IRRA ⇒ ClearBridge Large Cap Growth Fd Class I (SBLYX) [MF]		\$50,001 - \$100,000	Dividends	None	\$5,001 - \$15,000
Merrill Lynch IRRA ⇒ Coinbase Global, Inc. - Class A Common Stock (COIN) [ST]		\$15,001 - \$50,000	None		
Merrill Lynch IRRA ⇒ Columbia Dividend Income Fund Class I (GSFTX) [MF]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	\$2,501 - \$5,000
Merrill Lynch IRRA ⇒ Franklin DynaTech Fund Class Advisor (FDYZX) [MF]		\$15,001 - \$50,000	None		
Merrill Lynch IRRA ⇒ Invesco QQQ Trust, Series 1 (QQQ) [EF]		\$15,001 - \$50,000	Dividends	\$1 - \$200	\$201 - \$1,000
Merrill Lynch IRRA ⇒ Janus Henderson Global Life Sciences Fund - I Shares (JFNIX) [MF]		\$15,001 - \$50,000	Dividends	None	\$1,001 - \$2,500
Merrill Lynch IRRA ⇒ JPMorgan Equity Income Fund I Class (HLIEX) [MF]		\$15,001 - \$50,000	Dividends	\$1 - \$200	\$201 - \$1,000
Merrill Lynch IRRA ⇒ Lord Abbett Inv Tr, Lord Abbett Floating Rate Fd - Cl I (LFRIX) [MF]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	\$2,501 - \$5,000
Merrill Lynch IRRA ⇒		\$50,001 -	Dividends	\$201 -	\$2,501 -

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Lord Abbett Inv Tr. Short Duration Income Fd Cl I (LLDYX) [MF]		\$100,000		\$1,000	\$5,000
Merrill Lynch IRRA ⇒ MFS International Diversification Fund Class I (MDIJX) [MF]		\$1,001 - \$15,000	Dividends	None	\$1,001 - \$2,500
Merrill Lynch IRRA ⇒ PGIM High Yield Fund Class Z (PHYZX) [MF]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$201 - \$1,000
Merrill Lynch IRRA ⇒ PIMCO Income Fund Class I-2 (PONPX) [MF]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	\$1,001 - \$2,500
Merrill Lynch IRRA ⇒ U.S. Treasury Bill [GS]		\$250,001 - \$500,000	Capital Gains	\$2,501 - \$5,000	\$2,501 - \$5,000
Merrill Lynch IRRA ⇒ Western Asset Core Plus Bond Fund Class I (WACPX) [MF]		\$15,001 - \$50,000	Dividends	\$1 - \$200	\$201 - \$1,000
Merrill Lynch Joint Account ⇒ ML Bank Deposit Program [BA]	JT	\$15,001 - \$50,000	Interest	\$1 - \$200	\$201 - \$1,000
Merrill Lynch Joint Account ⇒ Morgan Stanley 03.70% Oct. 23 2024 [CS]	JT	\$2,501.00	Dividends	None	None
DESCRIPTION: Corporate Bond					
Merrill Lynch Self Directed ⇒ ML Bank Deposit Program [BA]		\$1,001 - \$15,000	Interest	\$1 - \$200	\$1 - \$200
Prudential IRRA ⇒ AMG Yacktman Fund - Class I (YACKX) [MF]	SP	\$15,001 - \$50,000	Dividends	\$1 - \$200	\$201 - \$1,000
Prudential IRRA ⇒ Baird Mid Cap Growth Fund - Institutional Class (BMDIX) [MF]	SP	\$15,001 - \$50,000	Dividends	None	\$1,001 - \$2,500
Prudential IRRA ⇒ Calamos Market Neutral Fund Class A (CVSIX) [MF]	SP	\$50,001 - \$100,000	Dividends	\$201 - \$1,000	\$1,001 - \$2,500
Prudential IRRA ⇒ Lord Abbett Inv Tr. Short Duration Income Fd Cl I (LLDYX) [MF]	SP	\$50,001 - \$100,000	Dividends	\$201 - \$1,000	\$1,001 - \$2,500

<b>Asset</b>	<b>Owner</b>	<b>Value of Asset</b>	<b>Income Type(s)</b>	<b>Income Current Year to Filing</b>	<b>Income Preceding Year</b>
Prudential IRRA ⇒ PGIM Government MMKT [BA]	SP	\$100,001 - \$250,000	Dividends	\$201 - \$1,000	\$5,001 - \$15,000
Prudential IRRA ⇒ PGIM Total Return Bond Fund Class R6 (PTRQX) [MF]	SP	\$15,001 - \$50,000	Dividends	\$1 - \$200	\$201 - \$1,000
Prudential IRRA ⇒ Vanguard S&P 500 ETF (VOO) [EF]	SP	\$15,001 - \$50,000	Dividends	\$1 - \$200	\$201 - \$1,000
Prudential IRRA ⇒ Vanguard Small-Cap Value ETF (VBR) [EF]	SP	\$15,001 - \$50,000	Dividends	\$1 - \$200	\$201 - \$1,000
Prudential Life Insurance ⇒ Prudential Life Insurance [WU]	SP	\$50,001 - \$100,000	Dividends	None	\$2,501 - \$5,000
DESCRIPTION: Dividends go towards reducing annual premium					

\* Investment vehicle 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

<b>Source</b>	<b>Type</b>	<b>Amount Current Year to Filing</b>	<b>Amount Preceding Year</b>
Security Traders Association	Salary	\$37,000.00	\$275,000.00

## SCHEDULE D: LIABILITIES

<b>Owner</b>	<b>Creditor</b>	<b>Date Incurred</b>	<b>Type</b>	<b>Amount of Liability</b>
JT	Bank of America	March 2021	Home Equity Line Of Credit	\$100,001 - \$250,000

## SCHEDULE E: POSITIONS

<b>Position</b>	<b>Name of Organization</b>
Board Member	National Organization of Investment Professionals, ("NOIP") Foundation
COMMENTS: <a href="https://noiponline.org/Foundation-Board">https://noiponline.org/Foundation-Board</a>	

## SCHEDULE F: AGREEMENTS

None disclosed.

## **SCHEDULE J: COMPENSATION IN EXCESS OF \$5,000 PAID BY ONE SOURCE**

None disclosed.

## **SCHEDULE A INVESTMENT VEHICLE DETAILS**

- Fidelity (Owner: SP)
- Merrill Lynch (Owner: SP)
- Merrill Lynch IRA (Owner: SP)
- Merrill Lynch IRRA
- Merrill Lynch Joint Account (Owner: JT)
- Merrill Lynch Self Directed
- Prudential IRRA (Owner: SP)
- Prudential Life Insurance (Owner: SP)

## **EXCLUSIONS OF SPOUSE, DEPENDENT, OR TRUST INFORMATION**

**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:** Mr. Jim Toes , 02/19/2024