



Filing ID #10042008

# 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:** 2020  
**Filing Date:** 08/12/2021

## SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
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	\$250,001 - \$500,000	Interest	\$1 - \$200	<input type="checkbox"/>
Chase Workplace Checking [BA]	JT	\$250,001 - \$500,000	Interest	\$1 - \$200	<input type="checkbox"/>
DC1 ⇒ Index Fixed Income Option [5P]	DC	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
LOCATION: CT					
DC1 ⇒ Money Market Option [5P]	DC	\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
LOCATION: CT					
DESCRIPTION: Connecticut Higher Education Trust					
DC2 ⇒ CT High Equity Option [5P]	DC	\$100,001 - \$250,000	Tax-Deferred		<input type="checkbox"/>

<b>Asset</b>	<b>Owner</b>	<b>Value of Asset</b>	<b>Income Type(s)</b>	<b>Income</b>	<b>Tx. &gt; \$1,000?</b>
LOCATION: CT					
DESCRIPTION: Connecticut Higher Education Trust					
DC2 ⇒ CT Index Fixed-Income Option [5P]	DC	\$50,001 - \$100,000	Tax-Deferred		<input type="checkbox"/>
LOCATION: CT					
Fidelity Brokerage ⇒ Columbia Contrarian Core Fund [EF]	JT	\$50,001 - \$100,000	Capital Gains, Dividends	\$5,001 - \$15,000	<input type="checkbox"/>
Fidelity Brokerage ⇒ DRX DLY China Bull [EF]	JT	\$250,001 - \$500,000	Dividends	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
Fidelity Brokerage ⇒ Fidelity Capital Appreciation [EF]	JT	\$250,001 - \$500,000	Capital Gains, Dividends	\$15,001 - \$50,000	<input type="checkbox"/>
Fidelity Brokerage ⇒ Fidelity Government Money Market [EF]	JT	\$250,001 - \$500,000	Interest	\$1,001 - \$2,500	<input type="checkbox"/>
Fidelity Brokerage ⇒ Fidelity International Discovery [EF]	JT	\$250,001 - \$500,000	Capital Gains, Dividends	\$1,001 - \$2,500	<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	\$250,001 - \$500,000	Capital Gains, Dividends	\$5,001 - \$15,000	<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 Pacific Basin [EF]	JT	\$50,001 - \$100,000	Dividends, Interest	\$201 - \$1,000	<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	\$5,001 - \$15,000	<input type="checkbox"/>
Fidelity Brokerage ⇒ IShares S&P 500 [EF]	JT	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000	<input checked="" type="checkbox"/>

<b>Asset</b>	<b>Owner</b>	<b>Value of Asset</b>	<b>Income Type(s)</b>	<b>Income</b>	<b>Tx. &gt; \$1,000?</b>
Fidelity Brokerage ⇒ Microsoft Corporation (MSFT) [ST]	JT	\$100,001 - \$250,000	Capital Gains, Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
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 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]		\$100,001 - \$250,000	Tax-Deferred		<input type="checkbox"/>
Fidelity Rollover IRA ⇒ Fidelity Real Estate Income [EF]		\$50,001 - \$100,000	Tax-Deferred		<input 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]		\$100,001 - \$250,000	Tax-Deferred		<input type="checkbox"/>
Fidelity Rollover IRA ⇒ Fidelity Value Discovery [EF]		\$100,001 - \$250,000	Tax-Deferred		<input 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) ⇒ Fidelity Export and Multinational [EF]		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Financial Tracking LLC Stock [PS]		\$1,001 - \$15,000	None		<input type="checkbox"/>

<b>Asset</b>	<b>Owner</b>	<b>Value of Asset</b>	<b>Income Type(s)</b>	<b>Income</b>	<b>Tx. &gt; \$1,000?</b>
DESCRIPTION: Private Company based in Greenwich, CT					
Great West Aggressive Fund [IH]		\$100,001 - \$250,000		Tax-Deferred	<input type="checkbox"/>
GS Cash Deposits [BA]	JT	\$15,001 - \$50,000	Interest	\$1 - \$200	<input type="checkbox"/>
GS Funds ⇒ GS Private Equity Partners 2002 LP [HE]	JT	\$1,001 - \$15,000	Capital Gains, Dividends, Interest	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: EIF					
GS Funds ⇒ Stone Street Real Estate Fund 1999 [HE]	JT	None	None		<input type="checkbox"/>
DESCRIPTION: EIF					
GS Funds ⇒ Whitehall Street Global Employee Fund [HE]	JT	\$1,001 - \$15,000	Capital Gains, Dividends, Interest	\$1 - \$200	<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	\$100,001 - \$250,000	Tax-Deferred		<input 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

<b>Asset</b>	<b>Owner</b>	<b>Date</b>	<b>Tx. Type</b>	<b>Amount</b>	<b>Cap. Gains &gt; \$200?</b>
DC1 ⇒ CT High Equity Option [5P]	DC	06/30/2020	S	\$15,001 - \$50,000	<input type="checkbox"/>
LOCATION: CT					
DESCRIPTION: Rebalance to CT Money Market Option					
DC1 ⇒ CT Money Market Option [5P]	DC	06/30/2020	P	\$15,001 - \$50,000	
LOCATION: CT					
DESCRIPTION: Rebalance from CT High Equity Option					
Fidelity Brokerage ⇒	JT	02/4/2020	P	\$50,001 -	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
DRX DLY China Bull [MF]				\$100,000	
Fidelity Brokerage ⇒ DRX DLY China Bull [MF]	JT	03/9/2020	P	\$100,001 - \$250,000	
Fidelity Brokerage ⇒ DRX DLY China Bull [MF]	JT	03/18/2020	P	\$50,001 - \$100,000	
Fidelity Brokerage ⇒ IShares S&P 500 [MF]	JT	03/12/2020	P	\$100,001 - \$250,000	
Fidelity Brokerage ⇒ IShares S&P 500 [MF]	JT	03/18/2020	P	\$100,001 - \$250,000	
Fidelity Brokerage ⇒ IShares S&P 500 [MF]	JT	03/9/2020	P	\$50,001 - \$100,000	
Fidelity Rollover IRA ⇒ Fidelity Capital and Income [MF]		12/4/2020	P	\$1,001 - \$15,000	
DESCRIPTION: Reinvestment					
Fidelity Rollover IRA ⇒ Fidelity Growth Strategies Fund [MF]		12/29/2020	P	\$15,001 - \$50,000	
DESCRIPTION: Reinvestment					
Fidelity Rollover IRA ⇒ Fidelity International Cap Appreciation [MF]		12/4/2020	P	\$1,001 - \$15,000	
DESCRIPTION: Reinvestment					
Fidelity Rollover IRA ⇒ Fidelity Real Estate Income [MF]		12/18/2020	P	\$1,001 - \$15,000	
DESCRIPTION: Reinvestment					
Fidelity Rollover IRA ⇒ Fidelity Total Bond [MF]		10/9/2020	P	\$1,001 - \$15,000	
DESCRIPTION: Reinvestment					
Fidelity Rollover IRA ⇒ Fidelity Total Bond [MF]		10/9/2020	P	\$1,001 - \$15,000	
DESCRIPTION: Reinvestment					
Fidelity Rollover IRA ⇒ Fidelity Total Market Index [MF]		12/11/2020	P	\$1,001 - \$15,000	
DESCRIPTION: Reinvestment					

<b>Asset</b>	<b>Owner</b>	<b>Date</b>	<b>Tx. Type</b>	<b>Amount</b>	<b>Cap. Gains &gt; \$200?</b>
Fidelity Rollover IRA ⇒ Fidelity Value Discovery [MF]		09/4/2020	P	\$1,001 - \$15,000	
DESCRIPTION: Reinvestment					
Fidelity Rollover IRA ⇒ Fidelity Value Discovery [MF]		12/11/2020	P	\$1,001 - \$15,000	
DESCRIPTION: Reinvestment					
Fidelity Self-Employed 401(k) ⇒ Columbia Select Large Cap Equity [MF]		12/8/2020	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

<b>Source</b>	<b>Type</b>	<b>Amount</b>
Greenwich Academy Rowing Program	Spouse salary	N/A

## SCHEDULE D: LIABILITIES

<b>Owner</b>	<b>Creditor</b>	<b>Date Incurred</b>	<b>Type</b>	<b>Amount of Liability</b>
JT	JP Morgan Chase	October 1998	Mortgage on 197 Valley Rd, Cos Cob, CT	\$100,001 - \$250,000
JT	American Express	Year End Balance	Credit card	\$15,001 - \$50,000

## 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?
Government of Qatar	10/9/2020	10/13/2020	New York - Doha - New York	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

- 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)  
LOCATION: US  
DESCRIPTION: EIF
- 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

## 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 , 08/12/2021