Filing ID #10001044

Financial Disclosure Report

Clerk of the House of Representatives • Legislative Resource Center • B-106 Cannon Building • Washington, DC 20515

Filer Information

Name: Mr. Joe Courtney
Status: Member
State/District: CT02

Filing Information

Filing Type: Annual Report
Filing Year: 2013
Filing Date: 05/15/2014

Schedule A: Assets and "Unearned" Income

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
403(b) ⇒ American Century Mid Cap		$1,001 - $15,000	Tax-Deferred	None	
403(b) ⇒ Guaranteed Income Fund		$15,001 - $50,000	Tax-Deferred	None	
403(b) ⇒ Hartford Dividend Growth Y		$1,001 - $15,000	Tax-Deferred	None	
403(b) ⇒ ING Mid Cap Opportunities		$1,001 - $15,000	Tax-Deferred	None	
403(b) ⇒ ING T Rowe Price Growth Equity Portfolio		$1,001 - $15,000	Tax-Deferred	None	
403(b) ⇒ Lincoln Multi-Fund Variable Annuity Fixed Account		$1,001 - $15,000	Tax-Deferred	None	
403(b) ⇒ Main Stay Large Cap Growth		$1,001 - $15,000	Tax-Deferred	None	
403(b) ⇒		$1,001 - $15,000	Tax-Deferred	None	

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
MFS New Discovery R4 Fund					
403(b) ⇒ Oakmark International Fund		$1,001 - $15,000	Tax-Deferred	None	☐
403(b) ⇒ Oppenheimer International Growth Y		$1,001 - $15,000	Tax-Deferred	None	☐
403(b) ⇒ PIMCO Total Return Institutional Fund		$15,001 - $50,000	Tax-Deferred	None	☐
403(b) ⇒ William Blair Small Cap Value		$1,001 - $15,000	Tax-Deferred	None	☐
Commonwealth Annuity and Life Insurance Co. "Exceptional Life Policy"		$1,001 - $15,000	None		☐
Defined Contribution Plan ⇒ American Balanced Fund		None	Tax-Deferred	None	☑
Defined Contribution Plan ⇒ Met Life Stable Value Fund		None	Tax-Deferred	None	☑
Defined Contribution Plan ⇒ Russell LifePoint Growth Strategy		None	Tax-Deferred	None	☑
Defined Contribution Plan ⇒ Washington Mutual Investors Funds		None	Tax-Deferred	None	☑
IRA ⇒ American Growth Fund of America CL C (GFACX)		$15,001 - $50,000	Tax-Deferred	None	☐
IRA ⇒ American Growth Fund of America CL F1 (GFAFX)		$15,001 - $50,000	Tax-Deferred	None	☐
IRA ⇒ American Small Cap World (SMCWX)		$15,001 - $50,000	Tax-Deferred	None	☐
IRA ⇒ Blackrock Focus Growth Fund (MCFOX)		$1,001 - $15,000	Tax-Deferred	None	☐
IRA ⇒ Blackrock Large Cap (MCLRX)		$50,001 - $100,000	Tax-Deferred	None	☐

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
IRA ⇒ Invesco Global Core Equity Fund (AWSCX)		$15,001 - $50,000	Tax-Deferred	None	☐
IRA ⇒ J Hancock Financial Indices (FIDAX)		$15,001 - $50,000	Tax-Deferred	None	☐
IRA ⇒ Lord Abbett Calibrated Dividend Growth (LAMCX)		$15,001 - $50,000	Tax-Deferred	None	☑
IRA ⇒ Lord Abbett Classic Large Stock (LLRCX)		None	Tax-Deferred	None	☑
IRA ⇒ Lord Abbett Small Cap Blend (LSBCX)		None	Tax-Deferred	None	☑
IRA ⇒ Lord Abbett Value Opportunities (LVOCX)		$1,001 - $15,000	Tax-Deferred	None	☐
IRA ⇒ Merrill Cash/Money Accounts		$15,001 - $50,000	Interest	$1 - $200	☐
IRA ⇒ Putnam International Growth Fund (PIOCX)		$1,001 - $15,000	Tax-Deferred	None	☐
Manulife Financial Corporation (MFC)		$1,001 - $15,000	Dividends	$201 - $1,000	☐
Mass Mutual Whole Life Policy		$1,001 - $15,000	None		☐
Rockville Financial, Inc. (RCKB)		$1,001 - $15,000	Dividends	$201 - $1,000	☐
Saint Francis Hospital and Medical Center Pension Plan COMMENTS: Inadvertently omitted from prior reports.		Undetermined	None		☐
Templeton World Fund - Class A (TEMWX)		$15,001 - $50,000	Dividends	$201 - $1,000	☐

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

SCHEDULE B: TRANSACTIONS

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > $200?
Defined Contribution Plan ⇒ American Balanced Fund		12/31/2013	S	$1,001 - $15,000	☐
Defined Contribution Plan ⇒ Met Life Stable Value Fund		12/31/2013	S	$1,001 - $15,000	☐
Defined Contribution Plan ⇒ Russell LifePoint Growth Strategy		12/31/2013	S	$1,001 - $15,000	☐
Defined Contribution Plan ⇒ Washington Mutual Investors Funds		12/31/2013	S	$1,001 - $15,000	☐
IRA ⇒ Lord Abbett Calibrated Dividend Growth (LAMCX)		11/22/2013	P	$15,001 - $50,000	
IRA ⇒ Lord Abbett Classic Large Stock (LLRCX)		11/22/2013	S	$15,001 - $50,000	☐
IRA ⇒ Lord Abbett Small Cap Blend (LSBCX)		11/22/2013	S	$1,001 - $15,000	☐

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

Schedule C: Earned Income

Source	Type	Amount
St. Francis Hospital & Medical Center	Spouse salary	N/A

Schedule D: Liabilities

Owner	Creditor	Date Incurred	Type	Amount of Liability
	Chase Bank	July 2011	Mortgage on personal residence (not rented)	$50,001 - $100,000

Schedule E: Positions

Position	Name of Organization
Board Member (uncompensated)	Connecticut Health Policy Project

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

- 403(b)
- Defined Contribution Plan
- IRA

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

[x] 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. Joe Courtney , 05/15/2014