UNITED STATES HOUSE OF REPRESENTATIVES
CALENDAR YEAR 2012 FINANCIAL DISCLOSURE STATEMENT

FORM A
For use by Members, officers, and employees

HAND DELIVERED
LEGISLATIVE RESOURCE CENTER
2013 JUN 21 PM 3: 35
(Office Use Only)
MC

Elizabeth Esty
(Full Name)

(Daytime Telephone)

Filer Status ☑ Member of the U.S. House of Representatives State: CT District: 5 ☐ Officer Or Employee Employing Office:

Report Type ☑ Annual (May 15) ☐ Amendment ☐ Termination Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? If yes, complete and attach Schedule I.	Yes ☑	No ☐
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If yes, complete and attach Schedule II.	Yes ☐	No ☑
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? If yes, complete and attach Schedule III.	Yes ☑	No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? If yes, complete and attach Schedule IV.	Yes ☑	No ☐
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? If yes, complete and attach Schedule V.	Yes ☐	No ☑
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $350 and not otherwise exempt)? If yes, complete and attach Schedule VI.	Yes ☐	No ☑
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $350 from one source)? If yes, complete and attach Schedule VII.	Yes ☐	No ☑
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? If yes, complete and attach Schedule VIII.	Yes ☐	No ☑
IX.	Did you have any reportable agreement or arrangement with an outside entity? If yes, complete and attach Schedule IX.	Yes ☑	No ☐

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

IPO and EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

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 ☑
Exemptions--	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? Do not answer "yes" unless you have first consulted with the Committee on Ethics.	Yes ☑	No ☐

SCHEDULE I - EARNED INCOME

Name Elizabeth Esty

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totaling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Thomas Henderson Enterprises	Director's Fees	$250
State of Connecticut	Spouse Salary	N/A
Catterton Partners	Spouse Consulting Fee	N/A
Savage Services Corporation	Spouse Honorarium (for 2011 speech)	$15,000
Raphael Sagalyn, Inc.	Spouse Royalties	$4,509

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Elizabeth Esty

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other reportable asset or sources of income which generated more than $200 in "unearned" income during the year. Provide complete names of stocks and mutual funds (do not use ticker symbols.) For all IRAs and other retirement plans (such as 401(k) plans) provide the value for each asset held in the account that exceeds the reporting thresholds. For rental or other real property held for investment, provide a complete address or a description, e.g., "rental property," and a city and state. For an ownership interest in a privately-held business that is not publicly traded, state the name of the business, the nature of its activities, and its geographic location in Block A. Exclude: Your personal residence, including second homes and vacation homes (unless there was rental income during the reporting period); any deposits totaling $5,000 or less in a personal checking or saving accounts; and any financial interest in, or income derived from, a federal retirement program, including the Thrift Savings Plan. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC), or is jointly held with your spouse (JT), in the optional column on the far left. For a detailed discussion of Schedule III requirements, please refer to the instruction booklet.	BLOCK B **Year-End Value of Asset** Indicate value of asset at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold during the reporting year and is included only because it generated income, the value should be "None." * This column is for assets held solely by your spouse or dependent child.	BLOCK C **Type of Income** Check all columns that apply. For retirement accounts that do not allow you to choose specific investments or that generate tax-deferred income (such as 401(k) plans or IRAs), you may check the "None" column. Dividends, interest, and capital gains, even if reinvested, must be disclosed as income. Check "None" if the asset generated no income during the reporting period.	BLOCK D **Amount of Income** For assets for which you checked "Tax-Deferred" in Block C, you may check the "None" column. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, interest, and capital gains, even if reinvested, must be disclosed as income. Check "None" if no income was earned or generated. * This column is for income generated by assets held solely by your spouse or dependent child.	BLOCK E **Transaction** Indicate if asset had purchases (P), sales (S), or exchanges (E) exceeding $1,000 in reporting year.
	Sidley Austin Retirement: Harbor Cap Appreciation Instl	$15,001 - $50,000	None	NONE	
	Esty & Assoc. 401(k): Invesco MM Fund Class R	$1,001 - $15,000	None	NONE	
	Lincoln Moneyguard Reserve Universal Life Policy	$100,001 - $250,000	N/A	NONE	
SP	Lincoln Moneyguard ReserveUniversal Life Policy	$50,001 - $100,000	N/A	NONE	
	Lincoln Choice IRA:				
	Fidelity Contrafund	$1,001 - $15,000	None	NONE	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Elizabeth Esty

	LVIP Ssga 500	$1,001 - $15,000	None	NONE	
	FT Sm-Mid Cap	$1,001 - $15,000	None	NONE	
	LVIP TRP MC Gr	$1,001 - $15,000	None	NONE	
	Del Emerging Markets	$1,001 - $15,000	None	NONE	
	LVIP Ssga Emerging Mkts	$1,001 - $15,000	None	NONE	
	LVIP Sm Gl Small Cap	$1,001 - $15,000	None	NONE	
	LVIP Am Global Gr	$1,001 - $15,000	None	NONE	
	LVIP Glbl Incv	None	/None	NONE	
	Lincoln Choice Plus IRA:		None	NONE	
	Fidelity Contrafund	$1,001 - $15,000	None	NONE	
	LVIP Ssga 500	$1,001 - $15,000	None	NONE	
	FT Sm-Mid Cap	$1 - $1,000	None	NONE	
	LVIP TRP MC Gr	$1,001 - $15,000	None	NONE	
	Del Emerging Mrkt	$1 - $1,000	None	NONE	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Elizabeth Esty

	LVIP SSgA Em M	$1 - $1,000	None	NONE	
	LVIP Am Gl Sm C	$1,001 - $15,000	None	NONE	
	LVIP Am GLbl Gr	$1 - $1,000	None	NONE	
JT	DFA US Sustain Core 1 Portfolio (DFSIX)	None	CAPITAL GAINS	$15,001 - $50,000	S
JT	DFA Int'l Sustain Core 1 Portfoloio (DFSPX)	None	CAPITAL GAINS	$15,001 - $50,000	S
JT	LVIP Glbl Inc	$1,001 - $15,000		NONE	
JT	Fidelity CT Muni Money Mkt	$1,001 - $15,000	None	NONE	
JT	I Shares TR Dow Jones EPAC Selection (IDV)	$15,001 - $50,000	DIVIDENDS	$1 - $200	P
JT	Ishares Barclays 1-3 YR CD BD FD (CSJ)	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	P
JT	SPDR S&P 500 ETF Trust Unit Ser 1 S&P (SPY)	$50,001 - $100,000	None	NONE	P
JT	Vanguard Bd Index FD Inc Short Term Bd ETF (BSV)	$100,001 - $250,000	DIVIDENDS/CAPITAL GAINS	$1,001 - $2,500	PS(part)
JT	Vanguard Index FDS Vanguard Total STK Mkt ETF (VTI)	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
JT	Fidelity Advisor High Income ADV CL I	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	P

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

JT	Am Int'l Growth & Income F1 (IGIFX)	$50,001 - $100,000	DIVIDENDS	$201 - $1,000	P
JT	JP Morgan US Large Cap Core Plus FC CL	$50,001 - $100,000	DIVIDENDS	$2,501 - $5,000	P
JT	American New World Class F1 (NWFFX)	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	P
JT	Vanguard Index FDS Mid Cap Vipers (VO)	$15,001 - $50,000	None	NONE	P
JT	Vanguard Index FD Small Cap Vipers (VB)	$15,001 - $50,000	None	NONE	P
JT	I Shares Barclay Treas Inflation (TIP)	$15,001 - $50,000	None	NONE	P
JT	Vanguard Total Intl Stock Index Signal	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
	E Esty HE-4 Trust:				
	Deco Ltd Pship	$15,001 - $50,000	Partnership Income	$15,001 - $50,000	
	Gov Obligations MM	$1,001 - $15,000	INTEREST	$1 - $200	
	Vanguard Total Stock Mkt Index	$50,001 - $100,000	/DIVIDENDS	$201 - $1,000	
	E. Esty HE-8 Trust:				
	Deco Ltd Partnership	$50,001 - $100,000	Other: Business income	$5,001 - $15,000	
	Gov Obligations MM	$1,001 - $15,000	INTEREST	$1 - $200	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

	Vanguard Total Stock Mkt Index	$50,001 - $100,000	DIVIDENDS	$1,001 - $2,500	
	E Esty Gebhard Trust:				
	Deco Ltd Partnership	$15,001 - $50,000	Other: Partnershp Income	$2,501 - $5,000	
	Gov Obligations MM	$1,001 - $15,000	INTEREST	$1 - $200	
	Vanguard Total Stock Mkt Index	$50,001 - $100,000	DIVIDENDS	$1,001 - $2,500	
JT	Fidelity Money Mrket SPRXX	$1,001 - $15,000	INTEREST	$201 - $1,000	P
JT	Tax Exempt Fund Daily Money (FDEXX)	$100,001 - $250,000	INTEREST	$1 - $200	P
JT	Hines Global REIT Inc Com	$50,001 - $100,000	DIVIDENDS	$201 - $1,000	P
SP	Lincoln Choice Plus IRA:				
SP	LVIP Am Growth	$15,001 - $50,000	None	NONE	
SP	LVIP SSgA 500	$15,001 - $50,000	None	NONE	
SP	AB S/M Cap Cvalue	$15,001 - $50,000	None	NONE	
SP	AB Int'l Value	$15,001 - $50,000	None	NONE	
SP	LVIP Am Int'l	$15,001 - $50,000	None	NONE	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Elizabeth Esty

SP	AB Glbl Th	$15,001 - $50,000	None	NONE	
SP	LVIP Del Dv Fl	$1,001 - $15,000	None	NONE	
SP	LVIP Glbl Inc	$15,001 - $50,000	None	NONE	
JT	Wells Fargo--Checking	$15,001 - $50,000	INTEREST	$1 - $200	
	Societe Generale--checking account	$1,001 - $15,000	INTEREST	$1 - $200	
JT	Wells Fargo-- Savings	$50,001 - $100,000	INTEREST	$201 - $1,000	
JT	Wells Fargo--Savings	$15,001 - $50,000	INTEREST	$201 - $1,000	
	Wells Fargo--Checking	$1,001 - $15,000	INTEREST	$1 - $200	
JT	Wells Fargo --Checking	$50,001 - $100,000	INTEREST	$201 - $1,000	
SP	Aviva Life & Annuity Flexible Premium Adj Life Ins	$15,001 - $50,000	N/A		
SP	Prudential Annuity IRA:				
SP	AST Academic Straregies Asset Allocation	$50,001 - $100,000	None	NONE	
SP	AST First Trust CapAppr Target Portfolio	$50,001 - $100,000	None	NONE	
SP	AST Investment Grade Bond	$15,001 - $50,000	None	NONE	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Elizabeth Esty

SP	CGP Interest Holdings LLC	$100,001 - $250,000	None	NONE	
SP	Boulder Point Assoc Ltd (real estate)	$15,001 - $50,000	None	NONE	
DC	Thomas H Esty Present Interest Trust	N/A			
DC	Jonathan C Esty Present Interest Trust	N/A			
DC	Wells Fargo Bank Account	$1 - $1,000	INTEREST	$1 - $200	
DC	Wells Fargo Bank Account	$1,001 - $15,000	INTEREST	$1 - $200	
SP	Yale Retirement Plans: TIAA CREF: CREF Stock Fund	$250,001 - $500,000	None	NONE	
SP	Yale Retirement Plans: TIAA CREF: CREF Global Equities Fund	$100,001 - $250,000	None	NONE	
SP	Yale Retirement Plans: TIAA CREF: CREF Growth Fund	$100,001 - $250,000	None	NONE	
SP	Yale Retirement Plans: TIAA CRF: CREF Equity Index	$100,001 - $250,000	None	NONE	
SP	Yale 457(B)Plan: Vanguard PrimeCap Fund Investor	$100,001 - $250,000	None	NONE	
SP	Yale 457(B) Plan: Vanguard Small Cap Value Index	$100,001 - $250,000	None	NONE	
SP	Yale 403(B)(7) Plan: Vanguard Target Retirement 2025	$1,001 - $15,000	None	NONE	
DC	Fidelity Growth & Income FGRIX 027	$1,001 - $15,000	DIVIDENDS	$1 - $200	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Elizabeth Esty

DC	Fidelity Blue Chip Growth	$15,001 - $50,000	DIVIDENDS	$1 - $200	
DC	Fidelity Blue Chip Growth	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	

SCHEDULE IV - TRANSACTIONS

Name Elizabeth Esty

Report any purchase, sale, or exchange transactions by you, your spouse, or dependent child during the reporting period of any security or real property held for investment that exceeded $1,000. Include transactions that resulted in a capital loss. Provide a brief description of any exchange transaction. Exclude transactions between you, your spouse or dependent children, or the purchase or sale of your personal residence, unless it generates rental income. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below.

Capital Gains — if a sales transaction resulted in a capital gain in excess of $200, check the "capital gains" box and disclose this income on Schedule III.

*** This column is for assets solely held by your spouse or dependent child.**

SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of $200?	Date	Amount of Transaction
JT	DFA Int'l Sustain Core 1 Portfoloio (DFSPX)	S	Yes	10-24-2012	$50,001 - $100,000
JT	DFA US Sustain Core 1 Portfolio (DFSIX)	S	Yes	10-24-2012	$100,001 - $250,000
JT	Fidelity Advisor High Income ADV CL I (FAHCX)	P	N/A	12-23-12	$15,001 - $50,000
JT	I Shares Barclay Treas Inflation (TIP)	P	N/A	12-27-2012	$15,001 - $50,000
JT	I Shares TR Dow Jones EPAC Selection (IDV)	P	N/A	11-27-2012	$15,001 - $50,000
JT	Ishares Barclays 1-3 YR CD BD FD (CSJ)	P	N/A	06-08-12	$15,001 - $50,000
JT	JP Morgan US Large Cap Core Plus FC CL	P	N/A	10-22-12	$50,001 - $100,000
JT	SPDR S&P 500 ETF Trust Unit Ser 1 S&P (SPY)	P	N/A	10-22-12	$50,001 - $100,000
JT	Vanguard Bd Index FD Inc Short Term Bd ETF (BSV)	P	N/A	06-08-12	$100,001 - $250,000
JT	Vanguard Bd Index FD Inc Short Term Bd ETF (BSV)	S(part)	Yes	12-27-2012	$50,001 - $100,000
JT	Vanguard Index FD Small Cap Vipers (VB)	P	N/A	12-27-2012	$15,001 - $50,000

SCHEDULE IV - TRANSACTIONS

Name Elizabeth Esty

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Capital Gains — if a sales transaction resulted in a capital gain in excess of $200, check the "capital gains" box and disclose this income on Schedule III.

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of $200?	Date	Amount of Transaction
JT	Vanguard Index FDS Mid Cap Vipers (VO)	P	N/A	12-27-2012	$15,001 - $50,000

SCHEDULE IX - AGREEMENTS

Name Elizabeth Esty

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
N/A	Sidley & Austin	Pension--$600/month at retirement age