Filing ID #10005545

Financial Disclosure Report

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Filer Information

Name: Hon. Elizabeth H. Esty
Status: Member
State/District: CT05

Filing Information

Filing Type: Annual Report
Filing Year: 2014
Filing Date: 06/15/2015

Schedule A: Assets and "Unearned" Income

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
Aviva Flexible Premium Adjustable Life	SP	$50,001 - $100,000	None		☐
Boulder Point Associates LTD Location: St. Lawrence, NY, US Description: This company owns real estate, consisting of land and buildings, in Cranberry Lake, St. Lawrence County, New York.	SP	$15,001 - $50,000	None		☐
CGP Interest Holdings LLC	SP	$100,001 - $250,000	Partnership distribution	$15,001 - $50,000	☐
Esty & Associates 401(k) ⇒ Invesco Equally Weighted S&P 500		$1,001 - $15,000	Tax-Deferred		☑
Esty & Associates 401(k) ⇒ Invesco Money Market Fund Class R		None	None		☑
Fidelity Blue Chip Growth FBGRX	DC	$15,001 - $50,000	Capital Gains, Dividends	$5,001 - $15,000	☐
Fidelity Brokerage Joint Trust ⇒ Am Int'l Growth & Income Fund	JT	$50,001 - $100,000	Dividends	$2,501 - $5,000	☐

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
Fidelity Brokerage Joint Trust ⇒ American New World Class F1	JT	$15,001 - $50,000	Dividends	$201 - $1,000	
Fidelity Brokerage Joint Trust ⇒ Fidelity Advisor High Income Adv CL 1	JT	$50,001 - $100,000	Dividends	$2,501 - $5,000	
Fidelity Brokerage Joint Trust ⇒ Fidelity Municipal Money Mkt Fund	JT	$1,001 - $15,000	Dividends	$1 - $200	
Fidelity Brokerage Joint Trust ⇒ iShares 1-3Yr Credit Bond ETF	JT	$15,001 - $50,000	Dividends	$201 - $1,000	
Fidelity Brokerage Joint Trust ⇒ IShares TIPS Bond ETF	JT	$15,001 - $50,000	Dividends	$201 - $1,000	
Fidelity Brokerage Joint Trust ⇒ iShares Trust iShares Core High Div fka High Div ETF	JT	$50,001 - $100,000	Dividends	$1,001 - $2,500	
Fidelity Brokerage Joint Trust ⇒ iSharesIntl Div ETF	JT	$15,001 - $50,000	Dividends	$1,001 - $2,500	
Fidelity Brokerage Joint Trust ⇒ JP Morgan US Large Cap Core Plus Fund	JT	$100,001 - $250,000	Capital Gains, Dividends	$5,001 - $15,000	
Fidelity Brokerage Joint Trust ⇒ SP DR S&P 500 ETF TrUnit Ser1 S&P	JT	$100,001 - $250,000	Dividends	$5,001 - $15,000	
Fidelity Brokerage Joint Trust ⇒ Vanguard Bond Index ShortTerm Bond ETF	JT	$15,001 - $50,000	None		
Fidelity Brokerage Joint Trust ⇒ Vanguard Index FDS Ttl Stock Mkt ETF	JT	$50,001 - $100,000	None		
Fidelity Brokerage Joint Trust ⇒ Vanguard Index FDS VG MidCap Vipers	JT	$15,001 - $50,000	None		
Fidelity Brokerage Joint Trust ⇒ Vanguard Index FDS VG Small Cap Vipers	JT	$15,001 - $50,000	None		
Fidelity Brokerage Joint Trust ⇒ Vanguard Total Intl Stock Index Admiral fka Signal	JT	$15,001 - $50,000	Dividends	$201 - $1,000	
Fidelity Grwth&Inc FGRIX	DC	$1,001 - $15,000	Dividends	$1 - $200	

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
Gebhard Trust ⇒ Deco Products Ltd Partnership LOCATION: Decorah, IA, US DESCRIPTION: Zinc die cast manufacturer in Decorah, IA.		$15,001 - $50,000	Partnership income	$5,001 - $15,000	
Gebhard Trust ⇒ Government Obligations Fund		$15,001 - $50,000	None		
Gebhard Trust ⇒ Vanguard Index Fund		$50,001 - $100,000	Dividends	$1,001 - $2,500	
HE-4 Trust ⇒ Deco Products Co Ltd Partnership LOCATION: Decorah, IA, US DESCRIPTION: Zinc die cast manufacturer located in Decorah, IA.		$15,001 - $50,000	Partnership income	$15,001 - $50,000	
HE-4 Trust ⇒ Government Obligations Fund		$15,001 - $50,000	None		
HE-4 Trust ⇒ Vanguard Index FDS		$50,001 - $100,000	Dividends	$1,001 - $2,500	
HE-8 Trust ⇒ Deco Products Ltd Partnership DESCRIPTION: Zinc die cast manufacturer located in Decorah, IA.		$50,001 - $100,000	Partnership income	$15,001 - $50,000	
HE-8 Trust ⇒ Government Obligations Fund		$15,001 - $50,000	None		
HE-8 Trust ⇒ Vanguard Index Fund		$100,001 - $250,000	Dividends	$1,001 - $2,500	
Jonathan C Esty Present Interest Trust ⇒ Jonathan C Esty Present Interest Trust	DC	Undetermined	Excepted/Blind Trust	Not Applicable	
Lincoln Choice Plus IRA- acct end 63 ⇒ AB Small Cap Value	SP	$1,001 - $15,000	None		
Lincoln Choice Plus IRA- acct end 63 ⇒ Alliance Bernstein Global Thematic	SP	$1,001 - $15,000	None		
Lincoln Choice Plus IRA- acct end 63 ⇒ LVIP Am Growth	SP	$1,001 - $15,000	None		

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
Lincoln Choice Plus IRA- acct end 63 ⇒ LVIP American Int'l	SP	$1,001 - $15,000	None		
Lincoln Choice Plus IRA- acct end 63 ⇒ LVIP Del DV FL	SP	$1,001 - $15,000	None		
Lincoln Choice Plus IRA- acct end 63 ⇒ LVIP Global Inc	SP	$15,001 - $50,000	None		
Lincoln Choice Plus IRA- acct end 63 ⇒ LVIP Mon IT VA	SP	$1,001 - $15,000	None		
Lincoln Choice Plus IRA- acct end 63 ⇒ LVIP SSgA 500	SP	$1,001 - $15,000	None		
Lincoln Choice Plus IRA acct end 66 ⇒ Alliance Bernstein Global Thematic	SP	$15,001 - $50,000	None		
Lincoln Choice Plus IRA acct end 66 ⇒ Alliance Bernstein S/M Cap Value	SP	$15,001 - $50,000	None		
Lincoln Choice Plus IRA acct end 66 ⇒ LVIP American Growth	SP	$15,001 - $50,000	None		
Lincoln Choice Plus IRA acct end 66 ⇒ LVIP American Int'l	SP	$15,001 - $50,000	None		
Lincoln Choice Plus IRA acct end 66 ⇒ LVIP Del Devel Fund	SP	$1,001 - $15,000	None		
Lincoln Choice Plus IRA acct end 66 ⇒ LVIP Global Inc	SP	$15,001 - $50,000	None		
Lincoln Choice Plus IRA acct end 66 ⇒ LVIP Mon IT VA	SP	$15,001 - $50,000	None		
Lincoln Choice Plus IRA acct end 66 ⇒ LVIP SSgA 500	SP	$15,001 - $50,000	None		
Lincoln Choice Plus IRA Acct1 (Acct. end 81) ⇒ Del Emerging Mkt		$1,001 - $15,000	None		
Lincoln Choice Plus IRA Acct1 (Acct. end 81) ⇒ Fidelity Contrafund		$15,001 - $50,000	None		

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
Lincoln Choice Plus IRA Acct1 (Acct. end 81) ⇒ LVIP Am Global Growth		$1,001 - $15,000	None		
Lincoln Choice Plus IRA Acct1 (Acct. end 81) ⇒ LVIP Am Global Small Cap		$1,001 - $15,000	None		
Lincoln Choice Plus IRA Acct1 (Acct. end 81) ⇒ LVIP Glbl Inc		$15,001 - $50,000	None		
Lincoln Choice Plus IRA Acct1 (Acct. end 81) ⇒ LVIP SSgA 500		$15,001 - $50,000	None		
Lincoln Choice Plus IRA Acct1 (Acct. end 81) ⇒ LVIP SSgA Em M		$1,001 - $15,000	None		
Lincoln Choice Plus IRA Acct1 (Acct. end 81) ⇒ LVIP SSgA Small Cap		$1,001 - $15,000	None		
Lincoln Choice Plus IRA Acct1 (Acct. end 81) ⇒ LVIP TRP MC Gr		$1,001 - $15,000	None		
Lincoln Choice Plus IRA Acct2 (Acct. end 65) ⇒ Del Emerging Mkt		$1 - $1,000	None		
Lincoln Choice Plus IRA Acct2 (Acct. end 65) ⇒ Fidelity Contrafund		$1,001 - $15,000	None		
Lincoln Choice Plus IRA Acct2 (Acct. end 65) ⇒ LVIP Am Global Growth		$1 - $1,000	None		
Lincoln Choice Plus IRA Acct2 (Acct. end 65) ⇒ LVIP Am Global Small Cap		$1,001 - $15,000	None		
Lincoln Choice Plus IRA Acct2 (Acct. end 65) ⇒ LVIP Global Inc		$1,001 - $15,000	None		
Lincoln Choice Plus IRA Acct2 (Acct. end 65) ⇒ LVIP SSgA 500		$1,001 - $15,000	None		
Lincoln Choice Plus IRA Acct2 (Acct. end 65) ⇒ LVIP SSgA Emerging Mkt		$1 - $1,000	None		
Lincoln Choice Plus IRA Acct2 (Acct. end 65) ⇒ LVIP SSgA Small Cap		$1 - $1,000	None		

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
Lincoln Choice Plus IRA Acct2 (Acct. end 65) ⇒ LVIP TRP MC Gr		$1,001 - $15,000	None		
Lincoln Joint Trust ⇒ Fidelity Money Market	JT	$1,001 - $15,000	Dividends	$1 - $200	
Lincoln Joint Trust ⇒ Fidelity Tax Exempt Fund Daily Money Class	JT	$15,001 - $50,000	None		
COMMENTS: This is the same asset as shown previously in a Fidelity Joint Brokerage Account-- only the account in which it is held (asset class) has changed					
Lincoln Joint Trust ⇒ Hines Global REIT	JT	$50,001 - $100,000	Dividends	$2,501 - $5,000	
Lincoln Moneyguard Reserve Universal Life ⇒ Lincoln Moneyguard Reserve Universal Life		$100,001 - $250,000	None		
Lincoln Moneyguard Reserve Universal Life ⇒ Lincoln Moneyguard Reserve Universal Life	SP	$50,001 - $100,000	None		
Prudential IRA Premier Retirement ⇒ AST Academic Strategies Asset Alloc	SP	$100,001 - $250,000	Tax-Deferred		✓
Prudential IRA Premier Retirement ⇒ AST Prudential Growth Allocation	SP	$100,001 - $250,000	Tax-Deferred		✓
Schwab Contributory IRA ⇒ Schwab S&P 500 Index		$1,001 - $15,000	Tax-Deferred		
Schwab IRA Contributory ⇒ Schwab S&P 500 Index	SP	$15,001 - $50,000	Tax-Deferred		
Schwab SEP IRA ⇒ Deposit Account	SP	$15,001 - $50,000	Tax-Deferred		
Schwab SEP IRA ⇒ Schwab S&P 500 Index		$1,001 - $15,000	Tax-Deferred		
Schwab SEP IRA ⇒ Schwab S&P 500 Index FD	SP	$15,001 - $50,000	Tax-Deferred		
Sidley Austin Retirement (401(k)) ⇒ Harbor Cap Appreciation Instl		$50,001 - $100,000	Tax-Deferred		

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
Societe Generale	JT	$1,001 - $15,000	None		
State of CT 457 Plan ⇒ Fidelity VIP Contrafund Part I	SP	$1,001 - $15,000	Tax-Deferred		
State of CT 457 Plan ⇒ Vanguard Instl Index Fund Inst PL	SP	$1,001 - $15,000	Tax-Deferred		
State of CT 457 Plan ⇒ Vanguard Target Retirement 2035 Fund	SP	$1,001 - $15,000	Tax-Deferred		
State of CT 457 Plan ⇒ Wells Fargo Adv Pmr Lg Co Gwth FD	SP	$1,001 - $15,000	Tax-Deferred		
Thomas H Esty Present Interest Trust ⇒ Thomas H Esty Present Interest Trust	DC	Undetermined	Excepted/Blind Trust	Not Applicable	
COMMENTS: Thomas Esty was no longer a dependent child as of the end of 2014.					
TIAA-CREF YaleURAP-403(B) & IIE 403(B)(DC) ⇒ CREF Equity Index	SP	$250,001 - $500,000	Tax-Deferred		
TIAA-CREF YaleURAP-403(B) & IIE 403(B)(DC) ⇒ CREF Global Equities	SP	$250,001 - $500,000	Tax-Deferred		
TIAA-CREF YaleURAP-403(B) & IIE 403(B)(DC) ⇒ CREF Growth	SP	$100,001 - $250,000	Tax-Deferred		
TIAA-CREF YaleURAP-403(B) & IIE 403(B)(DC) ⇒ CREF Stock	SP	$250,001 - $500,000	Tax-Deferred		
Wells Fargo Bank Accounts ⇒ Wells Fargo Bank Accounts JT	JT	$250,001 - $500,000	Interest	$1 - $200	
Wells Fargo Bank Accounts DC1 ⇒ Wells Fargo Bank Accounts DC1	DC	$1 - $1,000	Interest	$1 - $200	
Wells Fargo Bank Accounts DC2 ⇒ Wells Fargo Bank Accounts DC2	DC	None	Interest	None	
COMMENTS: This child was no longer a dependent child as of the end of 2014.					
Wells Fargo Bank Accounts EHE ⇒		$100,001 -	Interest	$201 - $1,000	

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
Wells Fargo Accounts ehe		$250,000			
Yale 403(B)(7) ⇒ Vanguard Target Retirement 2025	SP	$50,001 - $100,000	Tax-Deferred		☐
Yale 457(B) Plan ⇒ Vanguard PRIME Cap Fund Admiral	SP	$100,001 - $250,000	Tax-Deferred		☐
Yale 457(B) Plan ⇒ Vanguard Small Cap Value Index	SP	$100,001 - $250,000	Tax-Deferred		☐

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

Schedule B: Transactions

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > $200?
Esty & Associates 401(k) ⇒ Invesco Equally Weighted S&P 500 FD-CL R		06/3/2014	P	$1,001 - $15,000	
Esty & Associates 401(k) ⇒ Invesco Money Market Fund Class R		06/3/2014	S	$1,001 - $15,000	☐
Prudential IRA Premier Retirement ⇒ AST Academic Strategies Asset Allocation	SP	04/3/2014	P	$1,001 - $15,000	
Prudential IRA Premier Retirement ⇒ AST Investment Grade Bond	SP	04/3/2014	S	$1,001 - $15,000	☐
Prudential IRA Premier Retirement ⇒ AST Prudential Growth Allocation	SP	04/3/2014	P	$1,001 - $15,000	
Schwab Contributory IRA ⇒ Schwab S&P 500 Index FD		05/28/2014	P	$1,001 - $15,000	
Schwab IRA Contributory ⇒ Schwab S&P 500 Index	SP	05/28/2014	P	$15,001 - $50,000	
Schwab SEP IRA ⇒ Schwab S&P 500 Index FD		05/28/2014	P	$1,001 - $15,000	
Schwab SEP IRA ⇒ Schwab S&P 500 Index FD	SP	05/28/2014	P	$15,001 - $50,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > $200?

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

Schedule C: Earned Income

Source	Type	Amount
Sustainable Holdings LLC	Spouse consulting fee	N/A
Alcoa	Spouse consulting fee	N/A
Shell Wind Energy Inc.	Spouse consulting fee	N/A
Leading Authorities Inc.	Spouse honorarium	$10,000
Yale University Press	Spouse royalty on publication	$935
State of Connecticut	Spouse salary	N/A
Yale University	Spouse salary	N/A

Schedule D: Liabilities

None disclosed.

Schedule E: Positions

Position	Name of Organization
Director	Thomas Henderson Enterprises Inc

Comments: Per clarification letter to Chairman Conaway and Ranking Member Sanchez on June 12, 2014, Having served with only family members on the board of a family business (Thomas Henderson Enterprises), for approximately 20 years, I serve on my family board without compensation in 2013, 2014, and future years.

Schedule F: Agreements

Date	Parties To	Terms of Agreement
October 1986	Sidley & Austin	Pension --$600/month at retirement age

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

- Esty & Associates 401(k)
- Fidelity Brokerage Joint Trust (Owner: JT)
- Gebhard Trust
- HE-4 Trust
- HE-8 Trust
- Jonathan C Esty Present Interest Trust (Owner: DC)
- Lincoln Choice Plus IRA- acct end 63 (Owner: SP)
- Lincoln Choice Plus IRA acct end 66 (Owner: SP)
- Lincoln Choice Plus IRA Acct1 (Acct. end 81)
- Lincoln Choice Plus IRA Acct2 (Acct. end 65)
- Lincoln Joint Trust (Owner: JT)
- Lincoln Moneyguard Reserve Universal Life
  Location: US
- Lincoln Moneyguard Reserve Universal Life (Owner: SP)
  Location: US
- Prudential IRA Premier Retirement (Owner: SP)
- Schwab Contributory IRA
- Schwab IRA Contributory (Owner: SP)
- Schwab SEP IRA (Owner: SP)
- Schwab SEP IRA
- Sidley Austin Retirement (401(k))
- State of CT 457 Plan (Owner: SP)
- Thomas H Esty Present Interest Trust (Owner: DC)
- TIAA-CREF YaleURAP-403(B) & IIE 403(B)(DC) (Owner: SP)
- Wells Fargo Bank Accounts (Owner: JT)
  Location: US
- Wells Fargo Bank Accounts DC1 (Owner: DC)
  Location: US
- Wells Fargo Bank Accounts DC2 (Owner: DC)
  Location: US
- Wells Fargo Bank Accounts EHE
  Location: US
- Yale 403(B)(7) (Owner: SP)
- Yale 457(B) Plan (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. Elizabeth H. Esty , 06/15/2015