Filing ID #10006098

# 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:** 2014
**Filing Date:** 06/15/2015

## Schedule A: Assets and "Unearned" Income

| Asset | Owner | Value of Asset | Income Type(s) | Income | Tx. > $1,000? |
|---|---|---|---|---|---|
| Chase Money Market Savings | JT | $1,001 - $15,000 | Interest | $1 - $200 | |
| Chase Savings Account | DC | $1,001 - $15,000 | None | | |
| Chase Savings Account | DC | $1,001 - $15,000 | None | | |
| Chase Savings Account | JT | $1,001 - $15,000 | None | | |
| Chase Workplace Checking | JT | $50,001 - $100,000 | Interest | $1 - $200 | |
| DC1 ⇒ CT High Equity Option<br>Location: CT<br>Description: Connecticut Higher Education Trust | DC | $100,001 - $250,000 | Tax-Deferred | | |
| DC1 ⇒ Index Fixed Income Option<br>Location: CT<br>Description: Rebalanced 7/14/14 from High Equity Option, Connecticut Higher Education Trust | DC | $15,001 - $50,000 | Tax-Deferred | | |

| Asset | Owner | Value of Asset | Income Type(s) | Income | Tx. > $1,000? |
|---|---|---|---|---|---|
| DC2 ⇒<br>CT High Equity Option<br>Location: CT<br>Description: Connecticut Higher Education Trust | DC | $100,001 - $250,000 | Tax-Deferred | | ☐ |
| Fidelity Brokerage ⇒<br>Alcatel-Lucent (ALU) | JT | $1,001 - $15,000 | Dividends | None | ☐ |
| Fidelity Brokerage ⇒<br>Cisco Systems, Inc. (CSCO) | JT | $50,001 - $100,000 | Dividends | $1,001 - $2,500 | ☐ |
| Fidelity Brokerage ⇒<br>Columbia Value and Restructuring | JT | $50,001 - $100,000 | Capital Gains, Dividends | $15,001 - $50,000 | ☐ |
| Fidelity Brokerage ⇒<br>Fidelity Capital Appreciation | JT | $100,001 - $250,000 | Capital Gains, Dividends | $15,001 - $50,000 | ☐ |
| Fidelity Brokerage ⇒<br>Fidelity CT Municipal Money Mkt | JT | $250,001 - $500,000 | Interest | $1 - $200 | ☐ |
| Fidelity Brokerage ⇒<br>Fidelity International Discovery | JT | $100,001 - $250,000 | Capital Gains, Dividends | $1,001 - $2,500 | ☐ |
| Fidelity Brokerage ⇒<br>Fidelity International Small Cap | JT | $50,001 - $100,000 | Capital Gains, Dividends | $15,001 - $50,000 | ☐ |
| Fidelity Brokerage ⇒<br>Fidelity Intl Cap Appreciation | JT | $100,001 - $250,000 | Capital Gains, Dividends | $5,001 - $15,000 | ☐ |
| Fidelity Brokerage ⇒<br>Fidelity Intl Real Estate Fund | JT | $15,001 - $50,000 | Dividends | $1,001 - $2,500 | ☐ |
| Fidelity Brokerage ⇒<br>GS Asia Equity Class A | JT | $100,001 - $250,000 | Capital Gains, Dividends | None | ☐ |
| Fidelity Brokerage ⇒<br>GS Small Cap Value | JT | $100,001 - $250,000 | Capital Gains, Dividends | $15,001 - $50,000 | ☐ |
| Fidelity Brokerage ⇒<br>Intel Corporation (INTC) | JT | $50,001 - $100,000 | Dividends | $1,001 - $2,500 | ☐ |
| Fidelity Brokerage ⇒<br>Microsoft Corporation (MSFT) | JT | $15,001 - $50,000 | Dividends | $1,001 - $2,500 | ☐ |

| Asset | Owner | Value of Asset | Income Type(s) | Income | Tx. > $1,000? |
|---|---|---|---|---|---|
| Fidelity Brokerage ⇒<br>NGP Capital Resources Company - Closed End Fund (NGPC) | JT | None | None | | ✓ |
| Fidelity Brokerage ⇒<br>OHA Investment Corporation - Closed End Fund (OHAI) | JT | None | None | | ✓ |
| Fidelity Brokerage ⇒<br>Spartan Total Mkt Index FID Advantage | JT | $1,000,001 - $5,000,000 | Capital Gains, Dividends | $15,001 - $50,000 | |
| Fidelity Rollover IRA ⇒<br>Fidelity Blue Chip Value | | $100,001 - $250,000 | Tax-Deferred | | |
| Fidelity Rollover IRA ⇒<br>Fidelity Capital & Income | | $50,001 - $100,000 | Tax-Deferred | | |
| Fidelity Rollover IRA ⇒<br>Fidelity Growth Strategies Fund | | $100,001 - $250,000 | Tax-Deferred | | |
| Fidelity Rollover IRA ⇒<br>Fidelity Intl Cap Appreciation | | $50,001 - $100,000 | Tax-Deferred | | |
| Fidelity Rollover IRA ⇒<br>Fidelity Real Estate Income | | $50,001 - $100,000 | Tax-Deferred | | |
| Fidelity Rollover IRA ⇒<br>Fidelity Total Bond | | $50,001 - $100,000 | Tax-Deferred | | |
| Fidelity Rollover IRA ⇒<br>Fidelity Value Discovery | | $100,001 - $250,000 | Tax-Deferred | | |
| Fidelity Rollover IRA ⇒<br>Hennessy Cornerstone Growth Inv | | $15,001 - $50,000 | Tax-Deferred | | |
| Fidelity Rollover IRA ⇒<br>Spartan Total Mkt Index FID Advantage | | $50,001 - $100,000 | Tax-Deferred | | |
| Fidelity Self-Employed 401(k) ⇒<br>Columbia Select Large Cap Equity | | $15,001 - $50,000 | Tax-Deferred | | |
| Fidelity Self-Employed 401(k) ⇒<br>Fidelity Blue Chip Value | | $1,001 - $15,000 | Tax-Deferred | | |
| Fidelity Self-Employed 401(k) ⇒ | | $1,001 - $15,000 | Tax-Deferred | | ✓ |

| Asset | Owner | Value of Asset | Income Type(s) | Income | Tx. > $1,000? |
|---|---|---|---|---|---|
| Fidelity Cash Reserves | | | | | |
| Fidelity Self-Employed 401(k) ⇒<br>Fidelity Export and Multinational | | $15,001 - $50,000 | Tax-Deferred | | ☐ |
| Fidelity Self-Employed 401(k) ⇒<br>LSI Corporation (LSI) | | None | None | | ☑ |
| Financial Tracking LLC Stock<br>DESCRIPTION: Private Company based in Greenwich, CT | | $50,001 - $100,000 | Interest | $1,001 - $2,500 | ☐ |
| Great West Money Market Fund IRA | | $50,001 - $100,000 | Tax-Deferred | | ☐ |
| GS Cash Deposits | JT | $50,001 - $100,000 | Interest | $1 - $200 | ☐ |
| GS Funds ⇒<br>GS Capital Partners 2000 Employee LP<br>DESCRIPTION: EIF | JT | $15,001 - $50,000 | Capital Gains, Dividends | $15,001 - $50,000 | ☐ |
| GS Funds ⇒<br>GS Direct Investment Fund 2000 LP<br>DESCRIPTION: EIF | JT | $1,001 - $15,000 | Capital Gains, Dividends, Interest | $1,001 - $2,500 | ☐ |
| GS Funds ⇒<br>GS Distressed Opportunities Employee LP<br>DESCRIPTION: EIF | JT | $1,001 - $15,000 | Capital Gains, Dividends, Interest | $201 - $1,000 | ☐ |
| GS Funds ⇒<br>GS Private Equity Partners 2002 LP<br>DESCRIPTION: EIF | JT | $15,001 - $50,000 | Capital Gains, Dividends, Interest | $1,001 - $2,500 | ☐ |
| GS Funds ⇒<br>GS Vintage II Employee Fund LP<br>DESCRIPTION: EIF | JT | $1,001 - $15,000 | Capital Gains, Dividends, Interest | $1,001 - $2,500 | ☐ |
| GS Funds ⇒<br>Stone Street PEP Technology Fund<br>DESCRIPTION: EIF | JT | $15,001 - $50,000 | None | | ☐ |

| Asset | Owner | Value of Asset | Income Type(s) | Income | Tx. > $1,000? |
|---|---|---|---|---|---|
| GS Funds ⇒<br>Stone Street Real Estate Fund 1999<br><br>DESCRIPTION: EIF | JT | $1,001 - $15,000 | None | | ☐ |
| GS Funds ⇒<br>Stone Street Real Estate Fund 2000<br><br>DESCRIPTION: EIF | JT | $1,001 - $15,000 | None | | ☐ |
| GS Funds ⇒<br>Whitehall Street Global Employee Fund<br><br>DESCRIPTION: EIF | JT | $1,001 - $15,000 | Capital Gains, Dividends, Interest | None | ☐ |
| Principal Bank Safe Harbor IRA | | $1,001 - $15,000 | Tax-Deferred | | ☐ |
| Spouse IRA ⇒<br>Fidelity Magellan | SP | $15,001 - $50,000 | Tax-Deferred | | ☐ |

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

## SCHEDULE B: TRANSACTIONS

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > $200? |
|---|---|---|---|---|---|
| DC1 ⇒<br>High Equity Option DC1<br><br>LOCATION: CT | DC | 07/14/2014 | S (partial) | $1,001 - $15,000 | ☐ |
| DC1 ⇒<br>Index Fixed Income Option<br><br>LOCATION: CT | DC | 07/14/2014 | P | $1,001 - $15,000 | |
| DC1 ⇒<br>Indexed Fixed Income Option DC1<br><br>LOCATION: CT | DC | 01/28/2014 | P | $1,001 - $15,000 | |
| DC2 ⇒<br>High Equity Option DC2<br><br>LOCATION: CT | DC | 01/28/2014 | P | $1,001 - $15,000 | |
| Fidelity Brokerage ⇒<br>NGP Capital Resources Company - Closed End Fund (NGPC) | JT | 09/30/2014 | E | $1,001 - $15,000 | |

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > $200? |
| --- | --- | --- | --- | --- | --- |
| Fidelity Brokerage ⇒ OHA Investment Corporation - Closed End Fund (OHAI) | JT | 12/23/2014 | S | $1,001 - $15,000 | ☐ |
| Fidelity Rollover IRA ⇒ Fidelity Capital & Income<br>Description: Reinvestment | | 12/5/2014 | P | $1,001 - $15,000 | |
| Fidelity Rollover IRA ⇒ Fidelity Capital and Income<br>Description: Reinvestment | | 06/6/2014 | P | $1,001 - $15,000 | |
| Fidelity Rollover IRA ⇒ Fidelity Intl Cap Appreciation Fund<br>Description: Reinvestment | | 12/5/2014 | P | $1,001 - $15,000 | |
| Fidelity Rollover IRA ⇒ Fidelity Real Estate Income<br>Description: Reinvestment | | 12/19/2014 | P | $1,001 - $15,000 | |
| Fidelity Rollover IRA ⇒ Fidelity Real Estate Income<br>Description: Reinvestment | | 09/5/2014 | P | $1,001 - $15,000 | |
| Fidelity Rollover IRA ⇒ Fidelity Value Discovery<br>Description: Reinvestment | | 09/12/2014 | P | $1,001 - $15,000 | |
| Fidelity Self-Employed 401(k) ⇒ Fidelity Cash Reserves | | 05/6/2014 | P | $1,001 - $15,000 | |
| Fidelity Self-Employed 401(k) ⇒ Fidelity Export and Multinational<br>Description: Reinvestment | | 10/10/2014 | P | $1,001 - $15,000 | |
| Fidelity Self-Employed 401(k) ⇒ LSI Corporation (LSI) | | 05/7/2014 | E | $1,001 - $15,000 | |

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

## Schedule C: Earned Income

None disclosed.

## Schedule D: Liabilities

| Owner | Creditor | Date Incurred | Type | Amount of Liability |
|---|---|---|---|---|
| JT | JP Morgan Chase | October 1998 | Mortgage on 197 Valley Rd, Cos Cob, CT | $250,001 - $500,000 |
| JT | JPMorgan Chase Visa | December 2014 | Outstanding credit card balance close of period | $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

None disclosed.

## 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 , 06/15/2015