Filing ID #10011411

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: 2015
Filing Date: 06/15/2016

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	$15,001 - $50,000	Interest	$1 - $200	
DC1 ⇒ CT High Equity Option Location: CT Description: Connecticut Higher Education Trust	DC	$100,001 - $250,000	Tax-Deferred		
DC1 ⇒ Index Fixed Income Option Location: CT	DC	$15,001 - $50,000	Tax-Deferred		
DC2 ⇒	DC	$100,001 -	Tax-Deferred		

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
CT High Equity Option LOCATION: CT DESCRIPTION: Connecticut Higher Education Trust		$250,000			
Fidelity Brokerage ⇒ Alcatel-Lucent (ALU)	JT	$1,001 - $15,000	None		☐
Fidelity Brokerage ⇒ Cisco Systems, Inc. (CSCO)	JT	$50,001 - $100,000	Dividends	$1,001 - $2,500	☐
Fidelity Brokerage ⇒ Columbia Value and Restructuring	JT	$50,001 - $100,000	Capital Gains, Dividends	$5,001 - $15,000	☐
Fidelity Brokerage ⇒ Fidelity Capital Appreciation	JT	$100,001 - $250,000	Capital Gains, Dividends	$2,501 - $5,000	☐
Fidelity Brokerage ⇒ Fidelity CT Municipal Money Mkt	JT	$250,001 - $500,000	Interest	$1 - $200	☐
Fidelity Brokerage ⇒ Fidelity International Discovery	JT	$100,001 - $250,000	Capital Gains, Dividends	$1,001 - $2,500	☐
Fidelity Brokerage ⇒ Fidelity International Small Cap	JT	$100,001 - $250,000	Capital Gains, Dividends	$2,501 - $5,000	☐
Fidelity Brokerage ⇒ Fidelity Intl Cap Appreciation	JT	$100,001 - $250,000	Capital Gains, Dividends	$15,001 - $50,000	☐
Fidelity Brokerage ⇒ Fidelity Intl Real Estate Fund	JT	$15,001 - $50,000	Dividends	$1,001 - $2,500	☐
Fidelity Brokerage ⇒ GS Asia Equity Class A	JT	$100,001 - $250,000	Capital Gains, Dividends	None	☐
Fidelity Brokerage ⇒ GS Small Cap Value	JT	$100,001 - $250,000	Capital Gains, Dividends	$5,001 - $15,000	☐
Fidelity Brokerage ⇒ Intel Corporation (INTC)	JT	$50,001 - $100,000	Dividends	$1,001 - $2,500	☐
Fidelity Brokerage ⇒ Microsoft Corporation (MSFT)	JT	$50,001 - $100,000	Dividends	$1,001 - $2,500	☐
Fidelity Brokerage ⇒ Spartan Total Mkt Index FID Advantage	JT	$1,000,001 - $5,000,000	Capital Gains, Dividends	$15,001 - $50,000	☐

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
Fidelity Rollover IRA ⇒ Fidelity Blue Chip Value		$50,001 - $100,000	Tax-Deferred		
Fidelity Rollover IRA ⇒ Fidelity Capital & Income		$50,001 - $100,000	Tax-Deferred		
Fidelity Rollover IRA ⇒ Fidelity Growth Strategies Fund		$100,001 - $250,000	Tax-Deferred		
Fidelity Rollover IRA ⇒ Fidelity Intl Cap Appreciation		$50,001 - $100,000	Tax-Deferred		
Fidelity Rollover IRA ⇒ Fidelity Real Estate Income		$50,001 - $100,000	Tax-Deferred		
Fidelity Rollover IRA ⇒ Fidelity Total Bond		$50,001 - $100,000	Tax-Deferred		
Fidelity Rollover IRA ⇒ Fidelity Value Discovery		$100,001 - $250,000	Tax-Deferred		
Fidelity Rollover IRA ⇒ Hennessy Cornerstone Growth Inv		$15,001 - $50,000	Tax-Deferred		
Fidelity Rollover IRA ⇒ Spartan Total Mkt Index FID Advantage		$50,001 - $100,000	Tax-Deferred		
Fidelity Self-Employed 401(k) ⇒ Columbia Select Large Cap Equity		$15,001 - $50,000	Tax-Deferred		
Fidelity Self-Employed 401(k) ⇒ Fidelity Blue Chip Value		$1,001 - $15,000	Tax-Deferred		
Fidelity Self-Employed 401(k) ⇒ Fidelity Cash Reserves		$1,001 - $15,000	Tax-Deferred		
Fidelity Self-Employed 401(k) ⇒ Fidelity Export and Multinational		$15,001 - $50,000	Tax-Deferred		
Financial Tracking LLC Stock DESCRIPTION: Private Company based in Greenwich, CT		$50,001 - $100,000	Interest	$1,001 - $2,500	

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
Great-West Money Market Fund		$50,001 - $100,000	Tax-Deferred		
GS Cash Deposits	JT	$50,001 - $100,000	Interest	$1 - $200	
GS Funds ⇒ GS Capital Partners 2000 Employee LP DESCRIPTION: EIF	JT	$15,001 - $50,000	Capital Gains, Dividends	$2,501 - $5,000	
GS Funds ⇒ GS Direct Investment Fund 2000 LP DESCRIPTION: EIF	JT	$1,001 - $15,000	Capital Gains, Dividends, Interest	$1,001 - $2,500	
GS Funds ⇒ GS Distressed Opportunities Employee LP DESCRIPTION: EIF	JT	$1,001 - $15,000	Capital Gains, Dividends, Interest	$201 - $1,000	
GS Funds ⇒ GS Private Equity Partners 2002 LP DESCRIPTION: EIF	JT	$1,001 - $15,000	Capital Gains, Dividends, Interest	$1,001 - $2,500	
GS Funds ⇒ GS Vintage II Employee Fund LP DESCRIPTION: EIF	JT	$1,001 - $15,000	Capital Gains, Dividends, Interest	$1,001 - $2,500	
GS Funds ⇒ Stone Street PEP Technology Fund DESCRIPTION: EIF	JT	None	None		
GS Funds ⇒ Stone Street Real Estate Fund 1999 DESCRIPTION: EIF	JT	$1,001 - $15,000	None		
GS Funds ⇒ Stone Street Real Estate Fund 2000 DESCRIPTION: EIF	JT	$1 - $1,000	None		
GS Funds ⇒ Whitehall Street Global Employee Fund DESCRIPTION: EIF	JT	$1,001 - $15,000	Capital Gains, Dividends, Interest	None	

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
Principal Bank Safe Harbor IRA		$1,001 - $15,000	Tax-Deferred		☐
Spouse IRA ⇒ Fidelity Magellan	SP	$50,001 - $100,000	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 ⇒ High Equity Balanced Option Location: CT	DC	01/23/2015	P	$1,001 - $15,000	
DC1 ⇒ Index Fixed Income Option Location: CT	DC	01/23/2015	P	$1,001 - $15,000	
DC2 ⇒ High Equity Balanced Option Location: CT	DC	01/23/2015	P	$1,001 - $15,000	
Fidelity Rollover IRA ⇒ Fidelity Blue Chip Value Description: Reinvestment		09/11/2015	P	$1,001 - $15,000	
Fidelity Rollover IRA ⇒ Fidelity Real Estate Income Description: Reinvestment		12/18/2015	P	$1,001 - $15,000	
Fidelity Rollover IRA ⇒ Fidelity Real Estate Income Description: Reinvestment		09/11/2015	P	$1,001 - $15,000	
Fidelity Rollover IRA ⇒ Fidelity Value Discovery Description: Reinvestment		09/11/2015	P	$1,001 - $15,000	
Fidelity Rollover IRA ⇒ Fidelity Value Discovery Fund Description: Reinvestment		12/11/2015	P	$1,001 - $15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > $200?
Fidelity Rollover IRA ⇒ Spartan Total Market Index Fund DESCRIPTION: Reinvestment		12/18/2015	P	$1,001 - $15,000	

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

Schedule C: Earned Income

Source	Type	Amount
Spouse Consulting Business	Spouse Consulting Income	N/A

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	$100,001 - $250,000
JT	Citibank Mastercard	December 2015	Credit Card Balance	$10,000 - $15,000

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

[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: Hon. James A. Himes , 06/15/2016