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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: 2015
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Schedule A: Assets and "Unearned" Income

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
Accordia Life & Annuity	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	$50,001 - $100,000	None		
Esty & Associates 401(k) ⇒ Invesco Equally Weighted S&P 500		$1,001 - $15,000	Tax-Deferred		
Fidelity Blue Chip Growth Fund	DC	$15,001 - $50,000	Capital Gains, Dividends	$1,001 - $2,500	
Fidelity Brokerage Joint Trust ⇒ Am Int'l Growth & Income Fund	JT	$50,001 - $100,000	Dividends	$2,501 - $5,000	
Fidelity Brokerage Joint Trust ⇒ American New World Class F1	JT	$15,001 - $50,000	Dividends	$201 - $1,000	

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $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	Dividends	$201 - $1,000	
Fidelity Brokerage Joint Trust ⇒ Vanguard Index FDS Ttl Stock Mkt ETF	JT	$15,001 - $50,000	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	
FidelityGrowth & Income Mutual Fund FGRIX	DC	$1,001 - $15,000	Dividends	$1 - $200	
Gebhard Trust ⇒ Deco Products Ltd Partnership		$15,001 - $50,000	Partnership income	$5,001 - $15,000	

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
LOCATION: Decorah, IA, US DESCRIPTION: Zinc die cast manufacturer in Decorah, IA.					
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	$5,001 - $15,000	
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		
Lincoln Choice Plus IRA- acct end 63 ⇒ LVIP American Int'l	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 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		
Lincoln Choice Plus IRA Acct1 (Acct. end 81) ⇒ LVIP Am Global Growth		$1,001 - $15,000	None		

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
Lincoln Choice Plus IRA Acct1 (Acct. end 81) ⇒ LVIP Am Global 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		
Lincoln Choice Plus IRA Acct2 (Acct. end 65) ⇒ LVIP TRP MC Gr		$1,001 - $15,000	None		

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
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	Dividends	$1 - $200	☐
Lincoln Joint Trust ⇒ Hines Global REIT	JT	$15,001 - $50,000	Dividends	$2,501 - $5,000	☐
Lincoln Joint Trust ⇒ SPDR S&P 500 ETF Trust Unit Ser 1S&P	JT	$1,001 - $15,000	Dividends	$1 - $200	☑
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		☐
Moneyguard Reserve contract ending 88	SP	$50,001 - $100,000	None		☐
Prudential IRA Premier Retirement ⇒ AST Academic Strategies Asset Alloc	SP	$50,001 - $100,000	Tax-Deferred		☐
Prudential IRA Premier Retirement ⇒ AST Investment Grade Bond	SP	$50,001 - $100,000	None		☐
Prudential IRA Premier Retirement ⇒ AST Prudential Growth Allocation	SP	$50,001 - $100,000	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		☐

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
Sidley Austin Retirement (401(k)) ⇒ Harbor Cap Appreciation Instl		$50,001 - $100,000	Tax-Deferred		
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		
TIAA-CREF YaleURAP-403(B) & IIE 403(B)(DC) ⇒ CREF Equity Index	SP	$100,001 - $250,000	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 EHE ⇒ Wells Fargo Accounts ehe		$15,001 - $50,000	Interest	$1 - $200	
Yale 403(B)(7) ⇒ Vanguard Target Retirement 2025	SP	$100,001 - $250,000	Tax-Deferred		

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
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?
Lincoln Joint Trust ⇒ SPDR S&P 500 ETF	JT	06/16/2015	P	$1,001 - $15,000	
Prudential IRA Premier Retirement ⇒ AST Investment Grade Bond	SP	08/24/2015	P	$50,001 - $100,000	

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

Schedule C: Earned Income

Source	Type	Amount
Yale University	Spouse Salary	N/A
Alcoa	Spouse Consulting Fee	N/A
Centrica	Spouse Board of Directors fee	N/A
Sustainable Holdings LLC	Spouse Consulting Fee	N/A
EGADE Business School	Spouse Honorarium	$15,000.00
Nedpower Mount Storm LLC	Spouse Consulting Fee	N/A
University of Pennsylvania	Spouse Honorarium	$23,874.00
State University of New York	Spouse Honorarium	$500.00
Arizona State University	Spouse Honorarium	$3,000.00
International Creative Management	Spouse Honorarium	$1,973.00
Yale University Press	Spouse Royalties	$21.00

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, 2015 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

Trip Details					Inclusions		
Source	Start Date	End Date	Itinerary	Days at Own Exp.	Lodging?	Food?	Family?
American Israel Education Foundation	08/3/2015	08/11/2015	New York, NY - Tel Aviv, Israel - New York, NY	0	☑	☑	☑
Comments: Privately sponsored travel in connection with official duties, pre-approved by House Ethics Committee							
Aspen Institute Congressional Program	03/23/2015	04/3/2015	Hartford CT - Berlin, Germany - Hartford, CT	0	☑	☑	☐
Comments: Privately sponsored travel in connection with official duties, pre-approved by House Ethics Committee							

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)
- 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 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 , 07/14/2016