Filing ID #10015965

Financial Disclosure Report

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Filer Information

Name: Hon. Joe Courtney

Status: Member

State/District: CT02

Filing Information

Filing Type: Annual Report

Filing Year: 2016

Filing Date: 05/4/2017

Schedule A: Assets and "Unearned" Income

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
403(b) ⇒ American Century Mid Cap		None	Tax-Deferred		☑
403(b) ⇒ Delaware US Growth Institutional Class		None	Tax-Deferred		☑
403(b) ⇒ Dodge & Cox International Fund		None	Tax-Deferred		☑
403(b) ⇒ Guaranteed Income Fund		None	Tax-Deferred		☑
403(b) ⇒ Hartford Dividend Growth Fund		None	Tax-Deferred		☑
403(b) ⇒ JP Morgan Disciplined Equity R6		None	Tax-Deferred		☑
403(b) ⇒ Lincoln Multi-Fund Variable Annuity Fixed Account		$1,001 - $15,000	Tax-Deferred	None	☐
403(b) ⇒		None	Tax-Deferred		☑

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
Metropolitan West Total Return Fund					
403(b) ⇒ Oakmark International Fund		None	Tax-Deferred		☑
403(b) ⇒ Oppenheimer International Growth Y		None	Tax-Deferred		☑
403(b) ⇒ Prudential Total Return Bond Fund		None	Tax-Deferred		☑
403(b) ⇒ T Rowe Price Diversified Fund		None	Tax-Deferred		☑
403(b) ⇒ T Rowe Price Growth Equity Portfolio		$1,001 - $15,000	Tax-Deferred		☐
403(b) ⇒ T. Rowe Price Retirement 2025 Description: This is a new 403(b) plan that started in October 2016 with biweekly employer contributions, none of which exceeded $1,000.		$1,001 - $15,000	Tax-Deferred		☐
403(b) ⇒ Voya Intermediate Bond Portfolio		$1,001 - $15,000	Tax-Deferred		☐
403(b) ⇒ Voya Mid Cap Opportunities		None	Tax-Deferred		☑
403(b) ⇒ Westwood Small/Mid Cap Plus		None	Tax-Deferred		☑
403(b) ⇒ William Blair Small Cap Value		None	Tax-Deferred		☑
Bank of America Accounts		$1,001 - $15,000	None		☐
Commonwealth Annuity and Life Insurance Co. "Exceptional Life Policy"		$1,001 - $15,000	None		☐
Hartford Federal Credit Union		$1 - $1,000	Dividends	$1 - $200	☐
IRA ⇒ American Growth Fund of America CL C (GFACX)		$1,001 - $15,000	Tax-Deferred		☐

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
IRA ⇒ American Growth Fund of America CL F1 (GFAFX)		$50,001 - $100,000	Tax-Deferred		✓
IRA ⇒ American Small Cap World (SMCWX)		$50,001 - $100,000	Tax-Deferred		
IRA ⇒ Blackrock Focus Growth Fund (MCFOX)		$1,001 - $15,000	Tax-Deferred	None	
IRA ⇒ Blackrock Large Cap (MCLRX)		$50,001 - $100,000	Tax-Deferred		✓
IRA ⇒ Invesco Global Core Equity Fund (AWSCX)		$15,001 - $50,000	Tax-Deferred		
IRA ⇒ J Hancock Financial Indices (FIDAX)		$15,001 - $50,000	Tax-Deferred	None	
IRA ⇒ Lord Abbett Calibrated Dividend Growth (LAMCX)		$15,001 - $50,000	Tax-Deferred		✓
IRA ⇒ Lord Abbett Value Opportunities (LVOCX)		$1,001 - $15,000	Tax-Deferred	None	
IRA ⇒ Merrill Cash/Money Accounts		$15,001 - $50,000	Tax-Deferred		
IRA ⇒ Putnam International Growth Fund (PIOCX)		$1,001 - $15,000	Tax-Deferred	None	
Manulife Financial Corporation (MFC)		$1,001 - $15,000	Dividends	$201 - $1,000	
Mass Mutual Whole Life Policy		$15,001 - $50,000	None		
Saint Francis Hospital and Medical Center Pension Plan		Undetermined	None		
Templeton World Fund - Class A (TEMWX)		$1,001 - $15,000	Capital Gains, Dividends	$201 - $1,000	
United Bank Accounts		$15,001 - $50,000	Interest	$1 - $200	
United Financial Bancorp, Inc. (UBNK)		$15,001 - $50,000	Dividends	$201 -	

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
				$1,000	

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

Schedule B: Transactions

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > $200?
403(b) ⇒ American Century Mid Cap		12/29/2016	S	$1,001 - $15,000	☐
Description: Rollover to new account. Assets were sold in December 2016 and held in escrow until rollover was completed in 2017.					
403(b) ⇒ Delaware US Growth Institutional Class		12/29/2016	S	$1,001 - $15,000	☐
Description: Rollover to new account. Assets were sold in December 2016 and held in escrow until rollover was completed in 2017.					
403(b) ⇒ Dodge & Cox International Fund		12/29/2016	S	$1,001 - $15,000	☐
Description: Rollover to new account. Assets were sold in December 2016 and held in escrow until rollover was completed in 2017.					
403(b) ⇒ Guaranteed Income Fund		12/29/2016	S	$50,001 - $100,000	☐
Description: Rollover to new account. Assets were sold in December 2016 and held in escrow until rollover was completed in 2017.					
403(b) ⇒ Hartford Dividend Growth Fund		12/29/2016	S	$1,001 - $15,000	☐
Description: Rollover to new account. Assets were sold in December 2016 and held in escrow until rollover was completed in 2017.					
403(b) ⇒ JP Morgan Disciplined Equity R6		12/29/2016	S	$1,001 - $15,000	☐
Description: Rollover to new account. Assets were sold in December 2016 and held in escrow until rollover was completed in 2017.					
403(b) ⇒ Metropolitan West Total Return Fund		12/29/2016	S	$1,001 - $15,000	☐
Description: Rollover to new account. Assets were sold in December 2016 and held in escrow until rollover was completed in 2017.					
403(b) ⇒ Oakmark International Fund		12/29/2016	S	$1,001 - $15,000	☐
Description: Rollover to new account. Assets were sold in December 2016 and held in escrow until rollover was completed in 2017.					
403(b) ⇒ Oppenheimer International Growth Y		12/29/2016	S	$1,001 - $15,000	☐
Description: Rollover to new account. Assets were sold in December 2016 and held in escrow until rollover was completed in 2017.					

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > $200?
403(b) ⇒ Prudential Total Return Bond Fund Description: Rollover to new account. Assets were sold in December 2016 and held in escrow until rollover was completed in 2017.		12/29/2016	S	$15,001 - $50,000	☐
403(b) ⇒ T Rowe Price Diversified Fund Description: Rollover to new account. Assets were sold in December 2016 and held in escrow until rollover was completed in 2017.		12/29/2016	S	$1,001 - $15,000	☐
403(b) ⇒ Voya Mid Cap Opportunities Description: Rollover to new account. Assets were sold in December 2016 and held in escrow until rollover was completed in 2017.		12/29/2016	S	$1,001 - $15,000	☐
403(b) ⇒ Westwood Small/Mid Cap Plus Description: Rollover to new account. Assets were sold in December 2016 and held in escrow until rollover was completed in 2017.		12/29/2016	S	$1,001 - $15,000	☐
403(b) ⇒ William Blair Small Cap Value Description: Rollover to new account. Assets were sold in December 2016 and held in escrow until rollover was completed in 2017.		12/29/2016	S	$1,001 - $15,000	☐
IRA ⇒ American Growth Fund of America Cl F1		12/23/2016	P	$1,001 - $15,000	
IRA ⇒ Blackrock Large Cap		12/15/2016	P	$1,001 - $15,000	
IRA ⇒ Lord Abbett Calibrated Dividend Growth		12/19/2016	P	$1,001 - $15,000	

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

Schedule C: Earned Income

Source	Type	Amount
St. Francis Hospital and Medical Center	Spouse Salary	N/A
Connecticut Children's Medical Center	Spouse Salary	N/A

Schedule D: Liabilities

Owner	Creditor	Date Incurred	Type	Amount of Liability
	Chase Bank	July 2011	Mortgage on personal residence (not rented)	$50,001 - $100,000
	Capital One	April 2016	Revolving credit card balance	$10,000 - $15,000
	Hartford Federal Credit Union	May 2016	Home Equity Loan	$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

- 403(b)
- IRA

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. Joe Courtney , 05/4/2017