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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: 2016
Filing Date: 08/11/2017

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 Fd-Cl R		$1,001 - $15,000	Tax-Deferred		
Fidelity Brokerage Joint Trust ⇒ American International Growth and Income Fund	JT	$50,001 - $100,000	Dividends	$1,001 - $2,500	
Fidelity Brokerage Joint Trust ⇒ American New World Class F1	JT	$50,001 - $100,000	Dividends	$201 - $1,000	
Fidelity Brokerage Joint Trust ⇒ Fidelity Advisor High Income Advanced CL I	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 ⇒ Fidelity Government Cash Reserves, FDRXX	JT	$15,001 - $50,000	Dividends	$1 - $200	
Fidelity Brokerage Joint Trust ⇒ Fidelity Municipal Money Market Fund	JT	$15,001 - $50,000	Dividends, Interest	$1 - $200	
Fidelity Brokerage Joint Trust ⇒ IShares 1-3 Yr 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 TR Intl Sel Div ETF (IDV)	JT	$15,001 - $50,000	Dividends	$1,001 - $2,500	
Fidelity Brokerage Joint Trust ⇒ IShares Trust IShares Core High	JT	$50,001 - $100,000	Dividends	$1,001 - $2,500	
Fidelity Brokerage Joint Trust ⇒ JP Morgan US Large CAP Core Plus CL A	JT	$100,001 - $250,000	Capital Gains	$5,001 - $15,000	
Fidelity Brokerage Joint Trust ⇒ SP DR S&P 500 ETF Trust Unit Ser 1 S&P	JT	$100,001 - $250,000	Dividends	$2,501 - $5,000	
Fidelity Brokerage Joint Trust ⇒ Vanguard Bond Index FD Inc Short Term Bond ETF	JT	$15,001 - $50,000	Capital Gains	$1 - $200	
Fidelity Brokerage Joint Trust ⇒ Vanguard Index FDS Vanguard Mid CAP Vipers	JT	$15,001 - $50,000	Dividends	$201 - $1,000	
Fidelity Brokerage Joint Trust ⇒ Vanguard Index FDS Vanguard Small CAP Vipers	JT	$15,001 - $50,000	Dividends	$201 - $1,000	
Fidelity Brokerage Joint Trust ⇒ Vanguard Index FDS Vanguard Total Stock Market ETF	JT	$50,001 - $100,000	Dividends	$1,001 - $2,500	
Fidelity Brokerage Joint Trust ⇒ Vanguard Total Intntl Stock Index Admiral fka Signal	JT	$15,001 - $50,000	Dividends	$201 - $1,000	
Gebhard Trust ⇒ Deco Products Co Ltd Partnership LOCATION: Decorah, IA, US DESCRIPTION: Zinc die cast manufacturer in Decorah, IA.		$15,001 - $50,000	Partnership income	$5,001 - $15,000	

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
Gebhard Trust ⇒ Government Obligations Fund		$15,001 - $50,000	Interest	$1 - $200	
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	Interest	$1 - $200	
HE-4 Trust ⇒ Vanguard Index FDS		$50,001 - $100,000	Dividends	$1,001 - $2,500	
HE-8 Trust ⇒ Deco Products Ltd Partnership Location: Decorah, IA, US 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	Interest	$1 - $200	
HE-8 Trust ⇒ Vanguard Index Fund		$100,001 - $250,000	Dividends	$2,501 - $5,000	
Lincoln Choice Plus IRA- acct end 63 ⇒ Alliance Bernstein Global Thematic	SP	$1,001 - $15,000	None		
Lincoln Choice Plus IRA- acct end 63 ⇒ Alliance Bernstein Small Cap Value	SP	$15,001 - $50,000	None		
Lincoln Choice Plus IRA- acct end 63 ⇒ LVIP American Growth	SP	$1,001 - $15,000	None		
Lincoln Choice Plus IRA- acct end 63 ⇒ LVIP American International	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 ⇒	SP	$15,001 - $50,000	None		

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
LVIP Global Inc					
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 Small 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 International	SP	$15,001 - $50,000	None		
Lincoln Choice Plus IRA acct end 66 ⇒ LVIP Del Dv Fl	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 Market		$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 American Global Growth		$1,001 - $15,000	None		
Lincoln Choice Plus IRA Acct1 (Acct. end 81) ⇒ LVIP American Global Small Cap		$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 Global 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 Emerging Market		$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 Market		$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 American Global Growth		$1 - $1,000	None		
Lincoln Choice Plus IRA Acct2 (Acct. end 65) ⇒ LVIP American 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 Market		$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		
Lincoln Joint Trust ⇒ Fidelity Government Money Market	JT	$1,001 - $15,000	Dividends	$1 - $200	

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
Lincoln Joint Trust ⇒ Fidelity Tax Exemplt Fund Daily Money Class	JT	$15,001 - $50,000	None		
Lincoln Joint Trust ⇒ Hines Global Reit	JT	$50,001 - $100,000	Capital Gains, Dividends	$2,501 - $5,000	
Lincoln Joint Trust ⇒ SPDR S&P 500 ETF Trust Unit Ser 1 S&P	JT	$1,001 - $15,000	Dividends	$201 - $1,000	
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	$100,001 - $250,000	None		
Moneyguard Reserve contract ending 88	SP	$50,001 - $100,000	None		
Prudential IRA Premier Retirement ⇒ AST Academic Strategies Assett Allocation	SP	$50,001 - $100,000	Tax-Deferred		
Prudential IRA Premier Retirement ⇒ AST Investment Grade Bond	SP	$15,001 - $50,000	None		
Prudential IRA Premier Retirement ⇒ AST Prudential Growth Allocation	SP	$50,001 - $100,000	Tax-Deferred		
Schwab Contributory IRA ⇒ Deposit Accounts		$1,001 - $15,000	Tax-Deferred		
Schwab Contributory IRA ⇒ Schwab S&P 500 Index		$15,001 - $50,000	Tax-Deferred		
Schwab IRA Contributory ⇒ Deposit Accounts	SP	$1,001 - $15,000	Tax-Deferred		
Schwab IRA Contributory ⇒ Schwab S&P 500 Index Fund	SP	$15,001 - $50,000	Tax-Deferred		
Schwab SEP IRA ⇒ Deposit Accounts	SP	$15,001 - $50,000	Tax-Deferred		
Schwab SEP IRA ⇒ Schwab S&P 500 Index Fund	SP	$50,001 - $100,000	Tax-Deferred		

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
Schwab SEP IRA ⇒ Schwab S&P 500 Index Fund		$1,001 - $15,000	Tax-Deferred		
Sidley Austin Retirement (401(k)) ⇒ Harbor Capitol 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 FundInst Plus	SP	$1,001 - $15,000	Tax-Deferred		
State of CT 457 Plan ⇒ Vanguard Target Ret 2035	SP	$1,001 - $15,000	Tax-Deferred		
State of CT 457 Plan ⇒ Wells Fargo Adv Prem Lg Co Gwth FD	SP	$1,001 - $15,000	Tax-Deferred		
TIAA-CREF YaleURAP-403(B) & IIE 403(B)(DC) ⇒ CREF Equity Index R3	SP	$250,001 - $500,000	Tax-Deferred		
TIAA-CREF YaleURAP-403(B) & IIE 403(B)(DC) ⇒ CREF Global Equities R3	SP	$250,001 - $500,000	Tax-Deferred		
TIAA-CREF YaleURAP-403(B) & IIE 403(B)(DC) ⇒ CREF Growth R3	SP	$250,001 - $500,000	Tax-Deferred		
TIAA-CREF YaleURAP-403(B) & IIE 403(B)(DC) ⇒ CREF Stock R3	SP	$250,001 - $500,000	Tax-Deferred		
Wells Fargo Bank Accounts ⇒ Wells Fargo Bank Accounts	JT	$50,001 - $100,000	Interest	$1 - $200	
Wells Fargo Bank Accounts EHE ⇒ Wells Fargo Accounts EHE		$100,001 - $250,000	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

None disclosed.

Schedule C: Earned Income

Source	Type	Amount
Brown Investment & Advisory Trust	Spouse Board of Directors Fee	N/A
delhaize Le Lion	Spouse Consulting Fee	N/A
EGADE Business Scholl	Spouse Honorarium	$60,000.00
First Energy	Spouse Consulting Fee	N/A
Hydro Quebec	Spouse Consulting Fee	N/A
Lewis and Clark College	Spouse Honorarium	$3,000.00
International Creative Management	Spouse Consulting Fee	N/A
Yale University Press	Spouse Royalites	$30.00
Yale University	Spouse Salary	N/A
Sustainable Holdings, LLC	Spouse Consulting Fee	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, 2015, 2016 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
- 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 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 , 08/11/2017