Filing ID #10020594

Financial Disclosure Report

Clerk of the House of Representatives • Legislative Resource Center • 135 Cannon Building • Washington, DC 20515

Filer Information

Name: Hon. Elizabeth H. Esty
Status: Member
State/District: CT05

Filing Information

Filing Type: Annual Report
Filing Year: 2017
Filing Date: 08/13/2018

Schedule A: Assets and "Unearned" Income

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
Accordia Life & Annuity [WU]	SP	$50,001 - $100,000	None		
Boulder Point Associates LTD [RP]	SP	$15,001 - $50,000	None		
Location: St. Lawrence, NY, US Description: This company owns real estate, consisting of land and buildings, in Cranberry Lake, St. Lawrence County, New York.					
CGP Interest Holdings, LLC [HE]	SP	$100,001 - $250,000	None		
Description: This company, in which my husband has a beneficial interest in a share of the profits, is located in Greenwich, Connecticut, in turn owns a profit interest in a general partnership that manages certain assets for Catterton Growth Partners. The company itself does not own any specific underlying assets.					
Constellation Research and Technology [OL]	SP	None	None		
Location: Belmont, MA, US Description: Start-up venture seeking to provide advanced Environmental/Social/Governance (ESG) metrics and analytics to sustainability-minded investors.					
Esty & Associates 401(k) ⇒ Invesco Equally Weighted S&P 500 Fd-Cl R [MF]		$1,001 - $15,000	Tax-Deferred		
Fidelity Brokerage Joint Trust ⇒	JT	$50,001 -	Dividends	$201 - $1,000	

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
American International Growth and Income Fund [MF]		$100,000			
Fidelity Brokerage Joint Trust ⇒ American New World Class F1 [MF]	JT	$50,001 - $100,000	Capital Gains	$201 - $1,000	
Fidelity Brokerage Joint Trust ⇒ Fidelity Advisor High Income Advanced CL I [EF]	JT	$50,001 - $100,000	None		
Fidelity Brokerage Joint Trust ⇒ Fidelity Government Cash Reserves, FDRXX [MF]	JT	$15,001 - $50,000	Dividends	$1 - $200	
Fidelity Brokerage Joint Trust ⇒ Fidelity Municipal Money Market Fund [MF]	JT	$15,001 - $50,000	Dividends, Interest	$1,001 - $2,500	
Fidelity Brokerage Joint Trust ⇒ IShares 1-3 Yr Credit Bond ETF [EF]	JT	$15,001 - $50,000	Dividends	$201 - $1,000	
Fidelity Brokerage Joint Trust ⇒ IShares TIPS Bond ETF [EF]	JT	$15,001 - $50,000	Dividends	$201 - $1,000	
Fidelity Brokerage Joint Trust ⇒ IShares TR Intl Sel Div ETF (IDV) [EF]	JT	$15,001 - $50,000	Dividends	$1,001 - $2,500	
Fidelity Brokerage Joint Trust ⇒ IShares Trust IShares Core High [EF]	JT	$50,001 - $100,000	Dividends	$1,001 - $2,500	
Fidelity Brokerage Joint Trust ⇒ JP Morgan US Large CAP Core Plus CL A [MF]	JT	$100,001 - $250,000	Capital Gains	$15,001 - $50,000	
Fidelity Brokerage Joint Trust ⇒ SP DR S&P 500 ETF Trust Unit Ser 1 S&P [EF]	JT	$100,001 - $250,000	Dividends	$2,501 - $5,000	
Fidelity Brokerage Joint Trust ⇒ Vanguard Bond Index FD Inc Short Term Bond ETF [EF]	JT	$15,001 - $50,000	Capital Gains, Dividends	$201 - $1,000	
Fidelity Brokerage Joint Trust ⇒ Vanguard Index FDS Vanguard Mid CAP Vipers [EF]	JT	$15,001 - $50,000	Dividends	$201 - $1,000	
Fidelity Brokerage Joint Trust ⇒ Vanguard Index FDS Vanguard Small CAP Vipers [EF]	JT	$50,001 - $100,000	Dividends	$201 - $1,000	
Fidelity Brokerage Joint Trust ⇒	JT	$50,001 -	Dividends	$1,001 - $2,500	

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
Vanguard Index FDS Vanguard Total Stock Market (ETF) [EF]		$100,000			
Fidelity Brokerage Joint Trust ⇒ Vanguard Total Intnl Stock Index Admiral fka Signal [MF]	JT	$15,001 - $50,000	Dividends	$201 - $1,000	
Gebhard Trust ⇒ Deco Products Co Ltd Partnership [OL] LOCATION: Decorah, IA, US DESCRIPTION: Zinc die cast manufacturer in Decorah, IA.		$15,001 - $50,000	Capital Gains, Partnership income	$5,001 - $15,000	
Gebhard Trust ⇒ Government Obligations Fund [GS]		$15,001 - $50,000	Interest	$1 - $200	
Gebhard Trust ⇒ Vanguard Index Fund TOT STKIDX ADM [MF]		$100,001 - $250,000	Dividends	$1,001 - $2,500	
HE-4 Trust ⇒ Deco Products Co Ltd Partnership [OL] LOCATION: Decorah, IA, US DESCRIPTION: Deco Products Co Ltd Partnership		$15,001 - $50,000	Capital Gains, Partnership income	$15,001 - $50,000	
HE-4 Trust ⇒ Government Obligations Fund [GS]		$15,001 - $50,000	Interest	$1 - $200	
HE-4 Trust ⇒ Vanguard Index FDS TOT STKIDX ADM [MF]		$100,001 - $250,000	Dividends	$1,001 - $2,500	
HE-8 Trust ⇒ Deco Products Co Ltd Partnership [OL] LOCATION: Decorah, IA, US DESCRIPTION: Zinc die cast manufacturer in Decorah, IA.		$50,001 - $100,000	Capital Gains, Partnership income	$15,001 - $50,000	
HE-8 Trust ⇒ Government Obligations Fund [GS]		$15,001 - $50,000	Interest	$1 - $200	
HE-8 Trust ⇒ Vanguard Index Fund TOT STKIDX ADM [MF]		$100,001 - $250,000	Dividends	$2,501 - $5,000	
Lincoln Choice Plus IRA- acct end 63 ⇒ Alliance Bernstein Global Thematic [MF]	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 ⇒ Alliance Bernstein Small Cap Value [MF]	SP	$15,001 - $50,000	None		
Lincoln Choice Plus IRA- acct end 63 ⇒ LVIP American Growth [MF]	SP	$1,001 - $15,000	None		
Lincoln Choice Plus IRA- acct end 63 ⇒ LVIP American International [MF]	SP	$1,001 - $15,000	None		
Lincoln Choice Plus IRA- acct end 63 ⇒ LVIP Del Dv Fl [MF]	SP	$1,001 - $15,000	None		
Lincoln Choice Plus IRA- acct end 63 ⇒ LVIP Global Inc [MF]	SP	$15,001 - $50,000	None		
Lincoln Choice Plus IRA- acct end 63 ⇒ LVIP Mon IT VA [MF]	SP	$1,001 - $15,000	None		
Lincoln Choice Plus IRA- acct end 63 ⇒ LVIP SSGA 500 [MF]	SP	$15,001 - $50,000	None		
Lincoln Choice Plus IRA acct end 66 ⇒ Alliance Bernstein Global Thematic [MF]	SP	$15,001 - $50,000	None		
Lincoln Choice Plus IRA acct end 66 ⇒ Alliance Bernstein Small Cap Value [MF]	SP	$15,001 - $50,000	None		
Lincoln Choice Plus IRA acct end 66 ⇒ LVIP American Growth [MF]	SP	$15,001 - $50,000	None		
Lincoln Choice Plus IRA acct end 66 ⇒ LVIP American International [MF]	SP	$15,001 - $50,000	None		
Lincoln Choice Plus IRA acct end 66 ⇒ LVIP Del DvFl [MF]	SP	$1,001 - $15,000	None		
Lincoln Choice Plus IRA acct end 66 ⇒ LVIP Global Inc [MF]	SP	$50,001 - $100,000	None		
Lincoln Choice Plus IRA acct end 66 ⇒ LVIP Mon It Va [MF]	SP	$15,001 - $50,000	None		
Lincoln Choice Plus IRA acct end 66 ⇒ LVIP SSGA 500 [MF]	SP	$15,001 - $50,000	None		

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
Lincoln Choice Plus IRA Acct1 (Acct. end 81) ⇒ Del Emerging Market [MF]		$1,001 - $15,000	None		
Lincoln Choice Plus IRA Acct1 (Acct. end 81) ⇒ Fidelity Contrafund [MF]		$15,001 - $50,000	None		
Lincoln Choice Plus IRA Acct1 (Acct. end 81) ⇒ LVIP American Global Growth [MF]		$1,001 - $15,000	None		
Lincoln Choice Plus IRA Acct1 (Acct. end 81) ⇒ LVIP American Global Small Cap [MF]		$1,001 - $15,000	None		
Lincoln Choice Plus IRA Acct1 (Acct. end 81) ⇒ LVIP Global Inc [MF]		$15,001 - $50,000	None		
Lincoln Choice Plus IRA Acct1 (Acct. end 81) ⇒ LVIP SSGA 500 [MF]		$15,001 - $50,000	None		
Lincoln Choice Plus IRA Acct1 (Acct. end 81) ⇒ LVIP SSGA Emerging Market [MF]		$1,001 - $15,000	None		
Lincoln Choice Plus IRA Acct1 (Acct. end 81) ⇒ LVIP SSGA Small Cap [MF]		$1,001 - $15,000	None		
Lincoln Choice Plus IRA Acct1 (Acct. end 81) ⇒ LVIP TRP MC Gr [MF]		$1,001 - $15,000	None		
Lincoln Choice Plus IRA Acct2 (Acct. end 65) ⇒ Del Emerging Markets [MF]		$1 - $1,000	None		
Lincoln Choice Plus IRA Acct2 (Acct. end 65) ⇒ Fidelity Contrafund [MF]		$1,001 - $15,000	None		
Lincoln Choice Plus IRA Acct2 (Acct. end 65) ⇒ LVIP American Global Growth [MF]		$1 - $1,000	None		
Lincoln Choice Plus IRA Acct2 (Acct. end 65) ⇒ LVIP American Global Small Cap [MF]		$1,001 - $15,000	None		
Lincoln Choice Plus IRA Acct2 (Acct. end 65) ⇒ LVIP Global Inc [MF]		$1,001 - $15,000	None		
Lincoln Choice Plus IRA Acct2 (Acct. end 65) ⇒ LVIP SSGA 500 [MF]		$1,001 - $15,000	None		

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
Lincoln Choice Plus IRA Acct2 (Acct. end 65) ⇒ LVIP SSGA Emerging Market [MF]		$1 - $1,000	None		☐
Lincoln Choice Plus IRA Acct2 (Acct. end 65) ⇒ LVIP SSGA Small Cap [MF]		$1 - $1,000	None		☐
Lincoln Choice Plus IRA Acct2 (Acct. end 65) ⇒ LVIP TRP MC Gr [MF]		$1,001 - $15,000	None		☐
Lincoln Joint Trust ⇒ Fidelity Government Money Market [BA]	JT	$15,001 - $50,000	Dividends	$1 - $200	☐
Lincoln Joint Trust ⇒ Fidelity Tax Exempt Fund Daily Money Class [EF]	JT	$1,001 - $15,000	Dividends	$1 - $200	☐
Lincoln Joint Trust ⇒ Hines Global Reit [RE]	JT	$50,001 - $100,000	Capital Gains	$2,501 - $5,000	☐
Lincoln Joint Trust ⇒ SPDR S&P 500 ETF Trust Unit Ser 1 S&P [EF]	JT	$1,001 - $15,000	Dividends	$201 - $1,000	☐
Lincoln Moneyguard Reserve Universal Life ⇒ Lincoln Moneyguard Reserve Universal Life [WU]		$100,001 - $250,000	None		☐
Lincoln Moneyguard Reserve Universal Life ⇒ Lincoln Moneyguard Reserve Universal Life [WU]	SP	$50,001 - $100,000	None		☐
Lincoln Moneyguard Reserve Universal Life ⇒ Moneyguard Reserve contract ending 88 [WU]	SP	$50,001 - $100,000	None		☐
Prudential IRA Premier Retirement ⇒ AST Academic Strategies Asset Allocation [IH]	SP	$100,001 - $250,000	Tax-Deferred		☑
Prudential IRA Premier Retirement ⇒ AST Investment Grade Bond [IH]	SP	None	Tax-Deferred		☑
Prudential IRA Premier Retirement ⇒ AST Prudential Growth Allocation [IH]	SP	$100,001 - $250,000	Tax-Deferred		☑
Schwab Contributory IRA ⇒ Deposit Account [BA]		$1,001 - $15,000	Tax-Deferred		☐
Schwab Contributory IRA ⇒ Schwab S&P 500 Index [IH]		$1,001 - $15,000	Tax-Deferred		☐

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
Schwab IRA Contributory ⇒ Deposit Accounts [BA]	SP	$1,001 - $15,000	Tax-Deferred		☐
Schwab IRA Contributory ⇒ Schwab S&P 500 Index Fund [BA]	SP	$15,001 - $50,000	Tax-Deferred		☐
Schwab SEP IRA ⇒ Deposit Accounts [BA]	SP	$15,001 - $50,000	Tax-Deferred		☐
Schwab SEP IRA ⇒ Schwab S&P 500 Index Fund [BA]	SP	$50,001 - $100,000	Tax-Deferred		☐
Schwab SEP IRA ⇒ Schwab S&P 500 Index Fund [BA]		$1,001 - $15,000	Tax-Deferred		☐
Sidley Austin Retirement (401(k)) ⇒ Harbor Capitol Appreciation Instl [EF]		$100,001 - $250,000	Tax-Deferred		☐
Societe Generale [BA]	JT	$1,001 - $15,000	None		☐
State of CT 457 Plan ⇒ American Funds EuroPac Gr R6 [MF]	SP	$1,001 - $15,000	Tax-Deferred		☑
State of CT 457 Plan ⇒ Fidelity VIP Contrafund Part I [MF]	SP	$1,001 - $15,000	Tax-Deferred		☐
State of CT 457 Plan ⇒ TIAA-CREF Instl Internatl [MF]	SP	$1,001 - $15,000	Tax-Deferred		☑
State of CT 457 Plan ⇒ Vanguard Instl Index Fund Instl Plus [MF]	SP	$1,001 - $15,000	Tax-Deferred		☐
State of CT 457 Plan ⇒ Vanguard Target Ret 2035 [MF]	SP	None	Tax-Deferred		☑
State of CT 457 Plan ⇒ Wells Fargo Adv Prem Lg Co Gwth FD [MF]	SP	$1,001 - $15,000	Tax-Deferred		☐
TIAA-CREF YaleURAP-403(B) & IIE 403(B)(DC) ⇒ CREF Equity Index R3 [MF]	SP	$250,001 - $500,000	Tax-Deferred		☐
TIAA-CREF YaleURAP-403(B) & IIE 403(B)(DC) ⇒ CREF Global Equities R3 [MF]	SP	$250,001 - $500,000	Tax-Deferred		☐

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
TIAA-CREF YaleURAP-403(B) & IIE 403(B)(DC) ⇒ CREF Growth R3 [MF]	SP	$250,001 - $500,000	Tax-Deferred		☐
TIAA-CREF YaleURAP-403(B) & IIE 403(B)(DC) ⇒ CREF Stock R3 [MF]	SP	$250,001 - $500,000	Tax-Deferred		☐
Wells Fargo Bank Accounts ⇒ Wells Fargo Bank Accounts [BA]	JT	$250,001 - $500,000	Interest	$1 - $200	☐
Wells Fargo Bank Accounts EHE ⇒ Wells Fargo Accounts EHE [BA]		$100,001 - $250,000	Interest	$1 - $200	☐
Yale 403(B)(7) ⇒ Vanguard Target Retirement 2025 [MF]	SP	$250,001 - $500,000	Tax-Deferred		☐
Yale 457(B) Plan ⇒ Vanguard PRIME Cap Fund Admiral [MF]	SP	$250,001 - $500,000	Tax-Deferred		☐
Yale 457(B) Plan ⇒ Vanguard Small Cap Value Index [MF]	SP	$250,001 - $500,000	Tax-Deferred		☐

* Asset class details available at the bottom of this form. For the complete list of asset type abbreviations, please visit https://fd.house.gov/reference/asset-type-codes.aspx.

Schedule B: Transactions

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > $200?
Prudential IRA Premier Retirement ⇒ AST Academic Strategies Asset Allocation [IR]	SP	06/5/2017	P	$15,001 - $50,000	
Prudential IRA Premier Retirement ⇒ AST Investment Grade Bond [IR]	SP	06/5/2017	S	$15,001 - $50,000	☐
Prudential IRA Premier Retirement ⇒ AST Prudential Growth Allocation [IR]	SP	06/5/2017	P	$15,001 - $50,000	
State of CT 457 Plan ⇒ American Funds EuroPac Gr R6 [MF]	SP	02/10/2017	P	$1,001 - $15,000	
State of CT 457 Plan ⇒ TIAA-CREF Instl Internatl [MF]	SP	02/10/2017	P	$1,001 - $15,000	
State of CT 457 Plan ⇒	SP	02/10/2017	S	$1,001 - $15,000	☐

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > $200?
Vanguard Target Ret 2035 [MF]					

* Asset class details available at the bottom of this form. For the complete list of asset type abbreviations, please visit https://fd.house.gov/reference/asset-type-codes.aspx.

Schedule C: Earned Income

Source	Type	Amount
Yale University	Spouse Salary	N/A
Columbia University	Spouse Honorarium	$3,000.00
Brown Investment & Advisory Trust	Spouse Board of Directors Fee	N/A
First Energy	Spouse Consulting Fee	N/A
Hydro Quebec	Spouse Consulting Fee	N/A
National Association for Environmental Management	Spouse Consulting Fee	N/A
International Creative Management Partners	Spouse Royalties	$1,351.00
The Authors Registry	Spouse Royalties	$399.00

Schedule D: Liabilities

Owner	Creditor	Date Incurred	Type	Amount of Liability
JT	Wells Fargo Bank	July 2017	Home Mortgage	$1,000,001 - $5,000,000

Schedule E: Positions

Position	Name of Organization
Director	Thomas Henderson Enterprises Inc

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?**
Aspen Institute Congressional Program	02/18/2017	02/27/2017	Washington, DC - New Delhi, India - Hyderabad, India - Washington, DC	1	☑	☑	☑

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 , 08/13/2018