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Financial Disclosure Report

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Filer Information

Name: Hon. Daniel Lipinski
Status: Member
State/District: IL03

Filing Information

Filing Type: Annual Report
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Schedule A: Assets and "Unearned" Income

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
4 Ever Life Insurance GUL Policy [WU]	SP	$1,001 - $15,000	None		
401K AETNA INC, COMMON STOCK [MF]	SP	None	Tax-Deferred		
401K CVS Health Common Stock Fund [MF] Description: E - Exchanged from 401K Aetna	SP	$15,001 - $50,000	Tax-Deferred		
401K FID FREEDOM 2035 FUND [MF] Description: P	SP	$15,001 - $50,000	Tax-Deferred		
401K FIDELITY CONTRAFUND [MF]		$15,001 - $50,000	Tax-Deferred		
401K FIDELITY PURITAN FUND [MF]		$50,001 - $100,000	Tax-Deferred		
401K FIXED INCOME BALANCED RISK Fd [MF]	SP	$15,001 - $50,000	Tax-Deferred		
401K Intl Developed Mkt Index Fund [MF]	SP	$15,001 - $50,000	Tax-Deferred		

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
401K MARSH & MCLENNAN STOCK FUND [MF]	SP	$50,001 - $100,000	Tax-Deferred		☐
401K S&P 500 Index Fund [MF]	SP	$100,001 - $250,000	Tax-Deferred		☐
401K S&P Midcap Index Fund [MF]	SP	$250,001 - $500,000	Tax-Deferred		☐
401K Stable Value Option [MF]	SP	$15,001 - $50,000	Tax-Deferred		☐
401K Target Retirement 2035 Fund [MF]	SP	$250,001 - $500,000	Tax-Deferred		☐
Aetna Inc. (AET) [ST] DESCRIPTION: E - Exchanged for CVS Health + Cash	SP	None	Capital Gains	$15,001 - $50,000	☑
Amplify Online Retail ETF [MF] DESCRIPTION: P,S	SP	None	Capital Loss	None	☐
AQR LONG-SHORT EQUITY [OT] DESCRIPTION: S	SP	None	None		☑
ARK Innovation ETF [MF] DESCRIPTION: P	SP	$15,001 - $50,000	Capital Gains, Dividends	$201 - $1,000	☐
BRIGHTHOUSE FINANCIAL INC. [MF]	SP	$1,001 - $15,000	None		☐
Columbia Balanced Fund-R5 [MF] DESCRIPTION: S	SP	None	Capital Gains, Dividends	$201 - $1,000	☑
CVS Health Corporation [MF] DESCRIPTION: E	SP	$1,001 - $15,000	None		☐
Delaware Healthcare Instl [MF]	SP	$15,001 - $50,000	Capital Gains, Dividends	$201 - $1,000	☐
E-TRADE BANK DEPOSIT ACCOUNT (CASH) [BA]	SP	$15,001 - $50,000	None		☐

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
FIRST EAGLE GLOBAL [MF]	SP	$15,001 - $50,000	Capital Gains, Dividends	$1,001 - $2,500	☐
FNBC Bank & Trust [BA]	JT	$15,001 - $50,000	Interest	$1 - $200	☐
Guggenheim Floating Rate Strategy [MF]	SP	$1,001 - $15,000	Dividends	$201 - $1,000	☐
Guggenheim Macro Opp. [IH]	SP	$15,001 - $50,000	Capital Gains, Dividends	$201 - $1,000	☐
INVESCO (POWERSHARES) QQQ Trust [MF] DESCRIPTION: P	SP	$15,001 - $50,000	Dividends	$1 - $200	☑
INVESCO (POWERSHARES) S&P500 LO.VOL. FUND [MF] DESCRIPTION: S	SP	None	Capital Gains, Dividends	$1,001 - $2,500	☑
Invesco S&P Small Cap Growth Core [MF] DESCRIPTION: P,S	SP	None	Dividends, Capital Loss	None	☐
IRA (INVESCO POWERSHARES) QQQ ETF [IH]	SP	$1,001 - $15,000	Tax-Deferred		☐
IRA (INVESCO POWERSHARES) S&P500 LO.VOL [IH] DESCRIPTION: S	SP	None	Tax-Deferred		☑
IRA Alpha CentrIc Income [IH] DESCRIPTION: P	SP	$15,001 - $50,000	Tax-Deferred		☐
IRA Ameriserve Account [IH]	SP	$1,001 - $15,000	Tax-Deferred		☐
IRA Columbia Balanced Fund-R5 [IH] DESCRIPTION: S	SP	None	Tax-Deferred		☑
IRA Deer Park Total Return [IH] DESCRIPTION: P	SP	$15,001 - $50,000	Tax-Deferred		☐
IRA DOUBLE LINE TOTAL RETURN - INST'L [IH] DESCRIPTION: S	SP	None	Tax-Deferred		☑

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
IRA EATON VANCE FLOATING RATE [IH]	SP	$1,001 - $15,000	Tax-Deferred		☐
IRA GUGGENHEIM MACRO OPP [IH]	SP	$1,001 - $15,000	Tax-Deferred		☐
IRA Guggenhein Floating Rate Strategy [IH]	SP	$1,001 - $15,000	Tax-Deferred		☐
IRA Leuthold Core [IH] DESCRIPTION: P	SP	$1,001 - $15,000	Tax-Deferred		☐
IRA Loomis Sayles Global Alloction Y [IH] DESCRIPTION: P	SP	$1,001 - $15,000	Tax-Deferred		☐
IRA Loomis Sayles Sen Floating Rate Y [IH]	SP	$15,001 - $50,000	Tax-Deferred		☐
IRA POWERSHARES (GUGGENHEIM) EQUAL WEIGHT UTILITIES [IH]	SP	None	Tax-Deferred		☑
IRA PRINCIPAL REAL ESTATE SECURITIES [IH] DESCRIPTION: S	SP	None	Tax-Deferred		☐
IRA SPDR S&P REGIONAL BANKING [IH] DESCRIPTION: P,S	SP	None	Tax-Deferred		☑
IRA TD FDIC INSURED DEPOSIT ACCOUNT [IH]	SP	$1,001 - $15,000	Tax-Deferred		☐
IRA VANGUARD 500 INDEX FUND [IH]		$15,001 - $50,000	Tax-Deferred		☐
iSHARES PHLX SEMICONDUCTOR ETF [OT] DESCRIPTION: P	SP	$15,001 - $50,000	Dividends	$201 - $1,000	☐
iShares US Aerospace & Defense [MF] DESCRIPTION: P	SP	$15,001 - $50,000	Dividends	$1 - $200	☐
J. HANCOCK DISC VAL. MID CAP [OT] DESCRIPTION: S	SP	None	Capital Gains	$201 - $1,000	☑
LEUTHOLD CORE [MF]	SP	$15,001 - $50,000	Dividends	$1,001 -	☐

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
				$2,500	
DESCRIPTION: P					
LOOMIS SAYLES GLOBAL ALLOCATION [OT]	SP	$15,001 - $50,000	Capital Gains, Dividends	$1,001 - $2,500	☐
DESCRIPTION: P					
Loomis Sayles Sen. Floating Rate-Y [MF]	SP	$15,001 - $50,000	Dividends	$1,001 - $2,500	☐
Marsh & McLennan Companies, Inc. (MMC) [ST]	SP	$100,001 - $250,000	Dividends	$1,001 - $2,500	☐
MB FINANCIAL [BA]		$500,001 - $1,000,000	Interest	$201 - $1,000	☐
METLIFE TCA MONEY MARKET ACCOUNT [BA]	SP	$50,001 - $100,000	Interest	$1,001 - $2,500	☐
MetLife, Inc. (MET) [ST]	SP	$15,001 - $50,000	Dividends	$201 - $1,000	☐
PIMCO INCOME - INST'L [MF]	SP	None	Capital Gains, Dividends	$201 - $1,000	☑
Powershares (Guggenheim) Eq. Wgt. Cons. Staple [MF]	SP	None	Capital Gains	$1 - $200	☐
DESCRIPTION: S					
Principal Real Estate Securities [MF]	SP	None	Capital Gains	$201 - $1,000	☑
DESCRIPTION: S					
RETIREMENT CREF BOND MARKET [BA]		$1,001 - $15,000	Tax-Deferred		☐
RETIREMENT CREF EQUITY INDEX [HE]		$1,001 - $15,000	Tax-Deferred		☐
RETIREMENT CREF GROWTH [BA]		$1,001 - $15,000	Tax-Deferred		☐
RETIREMENT CREF STOCK [MF]		$15,001 - $50,000	Tax-Deferred		☐
RETIREMENT TIAA TRADITIONAL [IH]		$1,001 - $15,000	Tax-Deferred		☐

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
SCHWAB U.S. LARGE-CAP GROWTH [OT]	SP	$15,001 - $50,000	Dividends	$201 - $1,000	☐
Description: other					
SPDR S&P REGIONAL BANKING ETF [OT]	SP	None	Dividends, CAPITAL LOSS	None	☑
Description: P,S					
T. Rowe Price Real Estate [MF]	SP	None	Capital Gains	$201 - $1,000	☑
Description: S					
TD FDIC Insured Deposit Account [BA]	SP	$50,001 - $100,000	Interest	$1 - $200	☐
UBS Bank Deposit [BA]	SP	$1,001 - $15,000	None		☐
VAN ECK VECTORS FALLEN ANGEL ETF [MF]	SP	None	Capital Gains, Dividends	$1,001 - $2,500	☑
VANGUARD 500 [MF]		$250,001 - $500,000	Dividends	$5,001 - $15,000	☐
Virtus KAR Small Cap Growth [MF]	SP	$15,001 - $50,000	Capital Gains	$201 - $1,000	☐
Description: P					
WELLS FARGO [BA]	SP	$500,001 - $1,000,000	Interest	$201 - $1,000	☐
WISDOMTREE EUROPE HEDGED EQUITY [OT]	SP	None	Capital Gains	$201 - $1,000	☑
Description: S					

* 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?
401K CVS Health Coventry Stock Fund & Cash [MF]	SP	11/29/2018	E	$15,001 - $50,000	
Description: Exchanged from 401K Aetna Stock					

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > $200?
401K FID Freedom 2035 Fund [MF]	SP	Bi-weekly	P	$15,001 - $50,000	
Amplify Online Retail [MF]	SP	06/25/2018	P	$15,001 - $50,000	
Amplify Online Retail [MF]	SP	12/19/2018	S	$15,001 - $50,000	☐
AQR Long-Short Equity [MF]	SP	06/22/2018	S	$15,001 - $50,000	☐
AQR Long-Short Equity [MF]	SP	12/17/2018	S	$1,001 - $15,000	☐
ARK Innovation EFT [MF]	SP	06/22/2018	P	$15,001 - $50,000	
Columbia Balanced Fund R5 [MF]	SP	06/22/2018	S	$15,001 - $50,000	☑
CVS Health Corporation & Cash [MF] Description: Exchanged from Aetna Stock	SP	11/28/2018	E	$15,001 - $50,000	
INVESCO (POWERSHARES) QQQ Trust [MF]	SP	06/22/2018	P	$15,001 - $50,000	
Invesco S&P Lo.Vol. Fund [MF]	SP	03/27/2018	S	$15,001 - $50,000	☑
Invesco S&P Small Cap HealthCare [MF]	SP	06/22/2018	P	$15,001 - $50,000	
Invesco S&P Small Cap HealthCare [MF]	SP	12/21/2018	S	$15,001 - $50,000	☐
IRA Alpha CentrIc Income [IR]	SP	03/26/2018	P	$15,001 - $50,000	
IRA Columbia Balanced Fund R5 [IR]	SP	06/22/2018	S	$1,001 - $15,000	☐
IRA Deer Park Total Return Credit [IH]	SP	03/26/2018	P	$15,001 - $50,000	
IRA Doubline Core Return Inst'l [IH]	SP	03/13/2018	S	$15,001 - $50,000	☐
IRA Invesco S&P 500 Lo. Vol. [IH]	SP	03/22/2018	S	$1,001 - $15,000	☐
IRA Leuthold Core [IH]	SP	07/12/2018	P	$1,001 - $15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > $200?
IRA Loomis Sayles Global Allocation Y [IR]	SP	07/12/2018	P	$1,001 - $15,000	
IRA Powershares Equal Weight Utilities [IR]	SP	01/11/2018	S	$15,001 - $50,000	☐
IRA SPDR S&P Regional Banking [IH]	SP	06/22/2018	P	$1,001 - $15,000	
IRA SPDR S&P Regional Banking [IH]	SP	12/10/2018	S	$1,001 - $15,000	☐
IRA SPDR S&P Regional Banking [MF]	SP	06/22/2018	P	$15,001 - $50,000	
iShares PHLY Semiconductor ETF [MF]	SP	06/22/2018	P	$1,001 - $15,000	
iShares PHLY Semiconductor ETF [MF]	SP	03/13/2018	P	$1,001 - $15,000	
iShares US Aerospace & Defense [MF]	SP	06/22/2018	P	$15,001 - $50,000	
J. Hancock Disc Val. Mid Cap [MF]	SP	03/22/2018	S	$15,001 - $50,000	☑
Pimco Income Inst'l [MF]	SP	03/22/2018	S	$15,001 - $50,000	☑
Pricipal Real Estate Securities [MF]	SP	01/2/2018	S	$1,001 - $15,000	☐
SPDR S&P Regional Banking [MF]	SP	12/10/2018	S	$1,001 - $15,000	☐
T. Rowe Price Real Estate [MF]	SP	01/2/2018	S	$1,001 - $15,000	☑
Van Eck Vectors Fallen Angel ETF [MF]	SP	03/22/2018	S	$15,001 - $50,000	☑
Virtus KR Small-Cap Growth [MF]	SP	06/22/2018	P	$15,001 - $50,000	
Wisdom Tree Europe Hedged Equity [MF]	SP	01/2/2018	S	$1,001 - $15,000	☑

* For the complete list of asset type abbreviations, please visit https://fd.house.gov/reference/asset-type-codes.aspx.

Schedule C: Earned Income

None disclosed.

Schedule D: Liabilities

None disclosed.

Schedule E: Positions

None disclosed.

Schedule F: Agreements

None disclosed.

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?**
POLIS: Duke University Center for Political Leadership, Inn	09/9/2018	09/10/2018	Chicago, IL - Raleigh, NC - Washington, DC	0	☑	☑	☐

Schedule I: Payments Made to Charity in Lieu of Honoraria

None disclosed.

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. Daniel Lipinski , 05/17/2019