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Financial Disclosure Report

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Filer Information

Name: Hon. James A. Himes
Status: Member
State/District: CT04

Filing Information

Filing Type: Annual Report
Filing Year: 2019
Filing Date: 08/7/2020

Schedule A: Assets and "Unearned" Income

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
Chase Savings Account [BA]	DC	$1,001 - $15,000	Interest	$1 - $200	☐
Chase Savings Account [BA]	DC	$1,001 - $15,000	Interest	$1 - $200	☐
Chase Savings Account [BA]	JT	$50,001 - $100,000	Interest	$1 - $200	☐
Chase Workplace Checking [BA]	JT	$15,001 - $50,000	Interest	$1 - $200	☐
DC1 ⇒ CT High Equity Option [5P] Location: CT Description: Connecticut Higher Education Trust	DC	$15,001 - $50,000	Tax-Deferred		☐
DC1 ⇒ Index Fixed Income Option [5P] Location: CT	DC	$1,001 - $15,000	Tax-Deferred		☐
DC2 ⇒ CT High Equity Option [5P] Location: CT	DC	$100,001 - $250,000	Tax-Deferred		☐

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
DESCRIPTION: Connecticut Higher Education Trust					
DC2 ⇒ CT Index Fixed-Income Option [5P] LOCATION: CT	DC	$15,001 - $50,000	Tax-Deferred		
Fidelity Brokerage ⇒ Columbia Contrarian Core Fund [EF]	JT	$50,001 - $100,000	Capital Gains, Dividends	$5,001 - $15,000	
Fidelity Brokerage ⇒ Fidelity Capital Appreciation [EF]	JT	$100,001 - $250,000	Capital Gains, Dividends	$15,001 - $50,000	
Fidelity Brokerage ⇒ Fidelity Government Money Market [EF]	JT	$500,001 - $1,000,000	Interest	$2,501 - $5,000	
Fidelity Brokerage ⇒ Fidelity International Discovery [EF]	JT	$100,001 - $250,000	Capital Gains, Dividends	$5,001 - $15,000	
Fidelity Brokerage ⇒ Fidelity International Small Cap [EF]	JT	$100,001 - $250,000	Capital Gains, Dividends	$2,501 - $5,000	
Fidelity Brokerage ⇒ Fidelity Intl Cap Appreciation [EF]	JT	$100,001 - $250,000	Capital Gains, Dividends	$5,001 - $15,000	
Fidelity Brokerage ⇒ Fidelity Intl Real Estate Fund [EF]	JT	$15,001 - $50,000	Dividends	$1,001 - $2,500	
Fidelity Brokerage ⇒ Fidelity Pacific Basin [EF]	JT	$50,001 - $100,000	Dividends, Interest	$201 - $1,000	
Fidelity Brokerage ⇒ Fidelity Total Mkt Index FID Advantage [EF]	JT	$1,000,001 - $5,000,000	Capital Gains, Dividends	$15,001 - $50,000	
Fidelity Brokerage ⇒ GS Asia Equity Class A [EF]	JT	$250,001 - $500,000	Capital Gains, Dividends	$2,501 - $5,000	
Fidelity Brokerage ⇒ GS Small Cap Value [EF]	JT	$100,001 - $250,000	Capital Gains, Dividends	$5,001 - $15,000	
Fidelity Brokerage ⇒ Microsoft Corporation (MSFT) [ST]	JT	$50,001 - $100,000	Capital Gains, Dividends	$1,001 - $2,500	
Fidelity Rollover IRA ⇒ Fidelity Blue Chip Value [EF]		$100,001 - $250,000	Tax-Deferred		

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
Fidelity Rollover IRA ⇒ Fidelity Capital & Income [EF]		$100,001 - $250,000	Tax-Deferred		☐
Fidelity Rollover IRA ⇒ Fidelity Growth Strategies Fund [EF]		$100,001 - $250,000	Tax-Deferred		☐
Fidelity Rollover IRA ⇒ Fidelity Intl Cap Appreciation [EF]		$50,001 - $100,000	Tax-Deferred		☐
Fidelity Rollover IRA ⇒ Fidelity Real Estate Income [EF]		$50,001 - $100,000	Tax-Deferred		☐
Fidelity Rollover IRA ⇒ Fidelity Total Bond [EF]		$50,001 - $100,000	Tax-Deferred		☐
Fidelity Rollover IRA ⇒ Fidelity Total Mkt Index FID Advantage [EF]		$100,001 - $250,000	Tax-Deferred		☐
Fidelity Rollover IRA ⇒ Fidelity Value Discovery [EF]		$100,001 - $250,000	Tax-Deferred		☐
Fidelity Rollover IRA ⇒ Hennessy Cornerstone Growth Inv [EF]		$15,001 - $50,000	Tax-Deferred		☐
Fidelity Self-Employed 401(k) ⇒ Columbia Select Large Cap Equity [EF]		$15,001 - $50,000	Tax-Deferred		☐
Fidelity Self-Employed 401(k) ⇒ Fidelity Blue Chip Value [EF]		$1,001 - $15,000	Tax-Deferred		☐
Fidelity Self-Employed 401(k) ⇒ Fidelity Cash Reserves [BA]		$1,001 - $15,000	Tax-Deferred		☐
Fidelity Self-Employed 401(k) ⇒ Fidelity Export and Multinational [EF]		$15,001 - $50,000	Tax-Deferred		☐
Financial Tracking LLC Stock [PS] DESCRIPTION: Private Company based in Greenwich, CT		$15,001 - $50,000	None		☐
Great West Aggressive Fund [IH]		$100,001 - $250,000	Tax-Deferred		☐
GS Cash Deposits [BA]	JT	$15,001 - $50,000	Interest	$1 - $200	☐

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
GS Funds ⇒ GS Distressed Opportunities Employee LP [HE] Description: EIF	JT	None	Capital Gains, Dividends, Interest	None	☐
GS Funds ⇒ GS Private Equity Partners 2002 LP [HE] Description: EIF	JT	$1,001 - $15,000	Capital Gains, Dividends, Interest	$201 - $1,000	☐
GS Funds ⇒ GS Vintage II Employee Fund LP [HE] Description: EIF	JT	None	Dividends, Interest	None	☐
GS Funds ⇒ Stone Street Real Estate Fund 1999 [HE] Description: EIF	JT	$1,001 - $15,000	None		☐
GS Funds ⇒ Stone Street Real Estate Fund 2000 [HE] Description: EIF	JT	None	None		☐
GS Funds ⇒ Whitehall Street Global Employee Fund [HE] Description: EIF	JT	$1,001 - $15,000	Capital Gains, Dividends, Interest	$1 - $200	☐
Principal Bank Safe Harbor IRA [IH]		$1,001 - $15,000	Tax-Deferred		☐
Spouse IRA ⇒ Fidelity Magellan [MF]	SP	$50,001 - $100,000	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?
DC1 ⇒ Fixed Income Option [MF] Description: Rebalance from High Equity Option	DC	06/10/2019	P	$15,001 - $50,000	
DC1 ⇒ High Equity Option [MF]	DC	03/21/2019	P	$1,001 - $15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > $200?
DESCRIPTION: Contribution to 529 Plan					
DC1 ⇒ High Equity Option [MF] DESCRIPTION: Rebalance from High Equity Option to Indexed Fixed Income	DC	06/10/2019	S (partial)	$15,001 - $50,000	☐
DC1 ⇒ Indexed Fixed Income Option [MF] DESCRIPTION: Contribution to 529 Plan	DC	03/21/2019	P	$1,001 - $15,000	
DC2 ⇒ Fixed Income Option [MF] DESCRIPTION: Rebalance from High Equity Option	DC	06/19/2019	P	$1,001 - $15,000	
DC2 ⇒ High Equity Option [MF] DESCRIPTION: Contribution to 529 Plan	DC	03/21/2019	P	$1,001 - $15,000	
DC2 ⇒ High Equity Option [MF] DESCRIPTION: Rebalance to Fixed Income Option	DC	06/19/2019	S (partial)	$1,001 - $15,000	☐
Fidelity Rollover IRA ⇒ Fidelity Blue Chip Value [MF] DESCRIPTION: Reinvestment		12/13/2019	P	$1,001 - $15,000	
Fidelity Rollover IRA ⇒ Fidelity Blue Chip Value [MF] DESCRIPTION: Reinvestment		09/6/2019	P	$1,001 - $15,000	
Fidelity Rollover IRA ⇒ Fidelity Growth Strategies Fund [MF] DESCRIPTION: Reinvestment		12/27/2019	P	$1,001 - $15,000	
Fidelity Rollover IRA ⇒ Fidelity Intl Cap Appreciation [MF] DESCRIPTION: Reinvestment		12/6/2019	P	$1,001 - $15,000	
Fidelity Rollover IRA ⇒ Fidelity Real Estate Income [MF] DESCRIPTION: Reinvestment		12/20/2019	P	$1,001 - $15,000	
Fidelity Rollover IRA ⇒ Fidelity Real Estate Income [MF]		09/6/2019	P	$1,001 - $15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > $200?
Description: Reinvestment					
Fidelity Rollover IRA ⇒ Fidelity Total Market Index [MF] Description: Reinvestment		12/13/2019	P	$1,001 - $15,000	
Fidelity Rollover IRA ⇒ Fidelity Value Discovery [MF] Description: Reinvestment		12/13/2019	P	$1,001 - $15,000	
Fidelity Rollover IRA ⇒ Fidelity Value Discovery [MF] Description: Reinvestment		09/6/2019	P	$1,001 - $15,000	
Fidelity Self-Employed 401(k) ⇒ Fidelity Export and Multinational [MF] Description: Reinvestment		10/4/2019	P	$1,001 - $15,000	
Spouse IRA ⇒ Fidelity Magellan [MF] Description: Reinvestment	SP	12/13/2019	P	$1,001 - $15,000	

* 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

None disclosed.

Schedule D: Liabilities

Owner	Creditor	Date Incurred	Type	Amount of Liability
JT	JP Morgan Chase	October 1998	Mortgage on 197 Valley Rd, Cos Cob, CT	$100,001 - $250,000
JT	American Express	Year End Balance	Credit card	$10,000 - $15,000

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?**
American Enterprise Institute World Forum	03/8/2019	08/10/2020	New York, NY - Jacksonville, FL - New York, NY	0	☑	☑	☐

Schedule I: Payments Made to Charity in Lieu of Honoraria

None disclosed.

Schedule A and B Asset Class Details

- DC1 (Owner: DC)
  Location: CT
- DC2 (Owner: DC)
  Location: CT
- Fidelity Brokerage (Owner: JT)
  Location: US
- Fidelity Rollover IRA
- Fidelity Self-Employed 401(k)
- GS Funds (Owner: JT)
  Location: US
  Description: EIF
- Spouse IRA (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. James A. Himes , 08/7/2020