



# FINANCIAL DISCLOSURE REPORT

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

## FILER INFORMATION

**Name:** Hon. Jim Costa  
**Status:** Member  
**State/District:** CA16

## FILING INFORMATION

**Filing Type:** Annual Report  
**Filing Year:** 2020  
**Filing Date:** 08/13/2021

## SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Bank of America [BA]		\$1,001 - \$15,000	Interest	\$1 - \$200	<input type="checkbox"/>
Heartland Financial USA, Inc. (HTLF) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
James M. Costa Farms (Sole Proprietorship) [FA]		\$1,000,001 - \$5,000,000	Farm Income	\$100,001 - \$1,000,000	<input type="checkbox"/>
LOCATION: Fresno, CA, US DESCRIPTION: Farming operation					
Portuguese Fraternal Society of America [WU]		\$1,001 - \$15,000	Interest	\$1 - \$200	<input type="checkbox"/>
Rental Home [RP]		\$250,001 - \$500,000	Rent	\$15,001 - \$50,000	<input type="checkbox"/>
LOCATION: Fresno, CA, US					
Rental Home [RP]		\$500,001 - \$1,000,000	Rent	\$5,001 - \$15,000	<input type="checkbox"/>
LOCATION: Washington, DC, US					
United Security Bank [BA]		\$50,001 - \$100,000	None		<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Wells Fargo Advisors 401(k) ⇒ American Funds EuroPacific Growth Fund Class F-2 (AEPFX) (EIF) [MF]		None	Tax-Deferred		<input checked="" type="checkbox"/>
Wells Fargo Advisors 401(k) ⇒ American Funds Washington Mutual Investors Fund Class F-2 (WMFFX) (EIF) [MF]		\$50,001 - \$100,000	Tax-Deferred		<input checked="" type="checkbox"/>
Wells Fargo Advisors 401(k) ⇒ Baird Aggregate Bond Fund Class Institutional (BAGIX) (EIF) [MF]		\$50,001 - \$100,000	Tax-Deferred		<input checked="" type="checkbox"/>
Wells Fargo Advisors 401(k) ⇒ Baron Invt Funds Trust Small Cap Fund (BSFIX) (EIF) [MF]		\$50,001 - \$100,000	Tax-Deferred		<input checked="" type="checkbox"/>
Wells Fargo Advisors 401(k) ⇒ Baron Select Funds Emerging Markets FD (BEXIX) (EIF) [MF]		\$50,001 - \$100,000	Tax-Deferred		<input checked="" type="checkbox"/>
Wells Fargo Advisors 401(k) ⇒ Dodge & Cox International Stock Fund (DODFX) (EIF) [MF]		None	Tax-Deferred		<input checked="" type="checkbox"/>
Wells Fargo Advisors 401(k) ⇒ Eaton Vance Income Fund of Boston Class I (EIBIX) (EIF) [MF]		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Wells Fargo Advisors 401(k) ⇒ Edgewood Growth Fund Class Institutional (EGFIX) (EIF) [MF]		\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Wells Fargo Advisors 401(k) ⇒ Goldman Sachs FS Treasury Instruments Fund (FTIXX) (EIF) [MF]		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Wells Fargo Advisors 401(k) ⇒ Harbor FD CAP APPRECIATION FD INSTL CL (HACAX) (EIF) [MF]		\$50,001 - \$100,000	Tax-Deferred		<input checked="" type="checkbox"/>
Wells Fargo Advisors 401(k) ⇒ JP Morgan 100% US Treasury Securities [OT] DESCRIPTION: Cash and Sweep Balances		None	Tax-Deferred		<input type="checkbox"/>
Wells Fargo Advisors 401(k) ⇒ Lazard Emerging Markets Equity Portfolio Institutional Shares (LZEMX) (EIF) [MF]		None	Tax-Deferred		<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Wells Fargo Advisors 401(k) ⇒ MFS SER TR 1 VALUE FD (MEIIX) (EIF) [MF]		\$100,001 - \$250,000	Tax-Deferred		<input type="checkbox"/>
Wells Fargo Advisors 401(k) ⇒ MFS SER TR X EMERGING MKTS DEBT FD CLASS I (MEDIX) (EIF) [MF]		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Wells Fargo Advisors 401(k) ⇒ ROWE T PRICE MID CAP GROWTH FUND (RPMGX) (EIF) [MF]		\$50,001 - \$100,000	Tax-Deferred		<input checked="" type="checkbox"/>
Wells Fargo Advisors 401(k) ⇒ T Rowe Price Overseas Stock Fund (TROSX) (EIF) [MF]		\$50,001 - \$100,000	Tax-Deferred		<input checked="" type="checkbox"/>
Wells Fargo Advisors 401(k) ⇒ Victory Sycamore Small Co Oppty (VSOIX) (EIF) [MF]		\$50,001 - \$100,000	Tax-Deferred		<input checked="" type="checkbox"/>
Wells Fargo Advisors 401(k) ⇒ Virtus Ceredex Mid-Cap Value Equity Fund Class I(SMVTX) (EIF) [MF]		\$50,001 - \$100,000	Tax-Deferred		<input checked="" type="checkbox"/>
Wells Fargo Advisors 401(k) ⇒ VITRUS OPPORTUNITIES TR EMERGING MKTS OPPTYS FD CL 1 (HIEMX) (EIF) [MF]		\$50,001 - \$100,000	Tax-Deferred		<input checked="" type="checkbox"/>
Westamerica Bancorporation (WABC) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>

\* 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?
Wells Fargo Advisors 401(k) ⇒ American Funds EuroPacific Growth Fund Class F-2 (AEPFX) (EIF) [MF]		06/16/2020	S	\$15,001 - \$50,000	<input type="checkbox"/>
Wells Fargo Advisors 401(k) ⇒ American Funds EuroPacific Growth Fund Class F-2 (AEPFX) (EIF) [MF]		05/1/2020	P	\$1,001 - \$15,000	
Wells Fargo Advisors 401(k) ⇒		05/1/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
American Funds Washington Mutual Investors Fund Class F-2 (WMFFX) (EIF) [MF]			(partial)		
Wells Fargo Advisors 401(k) ⇒ Baird Aggregate Bond Fund Class Institutional (BAGIX) (EIF) [MF]		06/17/2020	P	\$1,001 - \$15,000	
Wells Fargo Advisors 401(k) ⇒ Baird Aggregate Bond Fund Class Institutional (BAGIX) (EIF) [MF]		05/1/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Wells Fargo Advisors 401(k) ⇒ Baron Select Funds Emerging Markets FD (BEXIX) (EIF) [MF]		06/16/2020	P	\$15,001 - \$50,000	
Wells Fargo Advisors 401(k) ⇒ Baron Select Funds Emerging Markets FD (BEXIX) (EIF) [MF]		06/17/2020	P	\$1,001 - \$15,000	
Wells Fargo Advisors 401(k) ⇒ Barron Invt Funds Trust Small Cap Fund (BSFIX) (EIF) [MF]		05/1/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Wells Fargo Advisors 401(k) ⇒ Dodge & Cox International Stock Fund (DODFX) (EIF) [MF]		06/16/2020	S	\$15,001 - \$50,000	<input type="checkbox"/>
Wells Fargo Advisors 401(k) ⇒ Dodge & Cox International Stock Fund (DODFX) (EIF) [MF]		05/4/2020	P	\$1,001 - \$15,000	
Wells Fargo Advisors 401(k) ⇒ Edgewood Growth Fund Class Institutional (EGFIX) (EIF) [MF]		05/1/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Wells Fargo Advisors 401(k) ⇒ Goldman Sachs FS Treasury Instruments Fund (FTIXX) (EIF) [MF]		01/10/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Wells Fargo Advisors 401(k) ⇒ Goldman Sachs FS Treasury Instruments Fund (FTIXX) (EIF) [MF]		03/25/2020	P	\$1,001 - \$15,000	
Wells Fargo Advisors 401(k) ⇒ Goldman Sachs FS Treasury Instruments Fund (FTIXX) (EIF) [MF]		04/9/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>

Asset	Owner Date	Tx. Type	Amount	Cap. Gains > \$200?
Wells Fargo Advisors 401(k) ⇒ Goldman Sachs FS Treasury Instruments Fund (FTIXX) (EIF) [MF]	05/1/2020	P	\$1,001 - \$15,000	
Wells Fargo Advisors 401(k) ⇒ Goldman Sachs FS Treasury Instruments Fund (FTIXX) (EIF) [MF]	07/10/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Wells Fargo Advisors 401(k) ⇒ Goldman Sachs FS Treasury Instruments Fund (FTIXX) (EIF) [MF]	10/9/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Wells Fargo Advisors 401(k) ⇒ Harbor FD CAP Appreciation FD Instl CL (HACAX) (EIF) [MF]	05/1/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Wells Fargo Advisors 401(k) ⇒ Lazard Emerging Markets Equity Portfolio Institutional Shares (LZEMX) (EIF) [MF]	06/16/2020	S	\$15,001 - \$50,000	<input type="checkbox"/>
Wells Fargo Advisors 401(k) ⇒ Lazard Emerging Markets Equity Portfolio Institutional Shares (LZEMX) (EIF) [MF]	05/1/2020	P	\$1,001 - \$15,000	
Wells Fargo Advisors 401(k) ⇒ MFS SER TR1 VALUE FD (MEIIX) (EIF) [MF]	05/1/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Wells Fargo Advisors 401(k) ⇒ Rowe T Price Mid Cap Growth Fund (RPMGX) (EIF) [MF]	05/1/2020	P	\$1,001 - \$15,000	
Wells Fargo Advisors 401(k) ⇒ T Rowe Price Overseas Stock Fund (TROSX) (EIF) [MF]	06/16/2020	P	\$15,001 - \$50,000	
Wells Fargo Advisors 401(k) ⇒ T Rowe Price Overseas Stock Fund (TROSX) (EIF) [MF]	05/1/2020	P	\$1,001 - \$15,000	
Wells Fargo Advisors 401(k) ⇒ Victory Sycamore Small Co Oppty (VSOIX) (EIF) [MF]	05/1/2020	P	\$1,001 - \$15,000	
Wells Fargo Advisors 401(k) ⇒ Virtus Ceredex Mid-Cap Value Equity Fund Class I (SMVTX) (EIF) [MF]	05/1/2020	P	\$1,001 - \$15,000	
Wells Fargo Advisors 401(k) ⇒ Virtus Opportunities Tr Emerging Mkts Opptys FD CL 1	05/1/2020	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
(HIEMX) (EIF) [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
California Public Employees Retirement System	Legislative Pension	\$4,152.00
California Legislator Retirement System	Legislative Pension	\$8,469.00

### SCHEDULE D: LIABILITIES

Owner	Creditor	Date Incurred	Type	Amount of Liability
	The National Capital Bank	July 2006	Mortgage on Washington D.C. property	\$250,001 - \$500,000
	Wells Fargo Home Mortgage	Oct 2017	Mortgage on personal residences	\$250,001 - \$500,000
	Premier Valley Bank	March 2019	Line of Credit	\$250,001 - \$500,000
	Specialized Loan Servicing	October 2020	Mortgage on personal residence	\$250,001 - \$500,000

### SCHEDULE E: POSITIONS

Position	Name of Organization
Board Member COMMENTS: Not compensated	The Maddy Institute, CA State University, Fresno
Advisory Council Member COMMENTS: Not compensated	The Congressional Hispanic Caucus Institute
Advisory Steering Committee - U.S. Chair COMMENTS: Not compensated	Transatlantic Policy Network

### SCHEDULE F: AGREEMENTS

Date	Parties To	Terms of Agreement
January 2005	Myself & California Public Employees Retirement Systems	Pension Plan Participation
January 2003	Myself & California Legislator Retirement Systems	Pension Plan Participation

### **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**

- Wells Fargo Advisors 401(k)

### **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. Jim Costa , 08/13/2021