Filing ID #10052358

Financial Disclosure Report

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Filer Information

Name: Robert W. MacGuffie
Status: Congressional Candidate
State/District: CT04

Filing Information

Filing Type: Candidate Report
Filing Year: 2023
Filing Date: 05/12/2023

Schedule A: Assets and "Unearned" Income

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
AdvisorShares Dorsey Wright Short ETF (DWSH) - IRA [EF] Description: Managed by independent advisor		$1,001 - $15,000	Dividends	$201 - $1,000	$201 - $1,000
AdvisorShares Dorsey Wright Short ETF (DWSH) - IRA [EF] Description: Independent Investment manager	SP	$1,001 - $15,000	Dividends	$201 - $1,000	$201 - $1,000
AGF U.S. Market Neutral Anti-Beta Fund (BTAL) [ST] Description: Managed by Independent Advisor		$1,001 - $15,000	Dividends	$1,001 - $2,500	$1,001 - $2,500
AGF U.S. Market Neutral Anti-Beta Fund (BTAL) - IRA [EF] Description: Independent Investment manager	SP	$1,001 - $15,000	Dividends	$201 - $1,000	$201 - $1,000
AGF U.S. Market Neutral Anti-Beta Fund (BTAL) - IRA [EF] Description: Managed by independent advisor		$1,001 - $15,000	Dividends	$201 - $1,000	$201 - $1,000
Allianz - Safe Harbor [FN]		$50,001 - $100,000	Interest	$2,501 - $5,000	$2,501 - $5,000

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
American General - LLIS [FN]		$15,001 - $50,000	Dividends, Interest	$2,501 - $5,000	$2,501 - $5,000
Bank of New York Retirement Plan [DB]		Undetermined	Dividends	$2,501 - $5,000	$2,501 - $5,000
Capital One 360 Money Market [BA]	JT	$1,001 - $15,000	Interest	$201 - $1,000	$201 - $1,000
Fidelity VIP Growth (Variable Annuity) [OT]		$1,001 - $15,000	Dividends	$201 - $1,000	$201 - $1,000
Description: Variable Annuity which is a Mutual Fund which reinvests its annual dividend.					
Fidelity VIP Growth (Variable Annuity) [OT]		$1,001 - $15,000	Dividends	$201 - $1,000	$201 - $1,000
Description: 2nd Variable Annuity which is a Mutual Fund which reinvests its dividend.					
First Internet Bank Business Money Market [BA]		$50,001 - $100,000	Interest	$201 - $1,000	$201 - $1,000
GE Pension Plan [DB]		Undetermined	Dividends	$5,001 - $15,000	$5,001 - $15,000
Genworth Universal Life [WU]		$100,001 - $250,000	None		
Description: First-to-Die Universal Life with any earnings compounded within the policy. Cash value is show above					
Hennessy Gas Utility-Investor/2299 [MF]	JT	$1,001 - $15,000	Capital Gains, Dividends	$201 - $1,000	$201 - $1,000
Invesco DB USD Index Bullish Fund ETF (UUP) [ST]		$15,001 - $50,000	Dividends	$1,001 - $2,500	$1,001 - $2,500
Description: Managed by independent advisor					
Invesco DB USD Index Bullish Fund ETF (UUP) - IRA [EF]		$1,001 - $15,000	Dividends	$201 - $1,000	$201 - $1,000
Description: Managed by independent advisor					
Invesco DB USD Index Bullish Fund ETF (UUP) - IRA [EF]	SP	$1,001 - $15,000	Dividends	$1 - $200	$1 - $200
Description: Independent Investment manager					
iShares 0-3 Month Treasury Bond ETF (SGOV) [ST]		$50,001 - $100,000	Dividends	$2,501 - $5,000	$2,501 - $5,000
Description: Managed by independent advisor					

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
iShares 0-3 Month Treasury Bond ETF (SGOV) - IRA [EF] DESCRIPTION: Managed by independent advisor		$1,001 - $15,000	Dividends	$1,001 - $2,500	$1,001 - $2,500
iShares 0-3 Month Treasury Bond ETF (SGOV) - IRA [EF] DESCRIPTION: Independent Investment manager	SP	$1,001 - $15,000	Dividends	$201 - $1,000	$201 - $1,000
iShares 1-3 Year Treasury Bond ETF (SHY) [ST] DESCRIPTION: Managed by independent advisor		$100,001 - $250,000	Dividends	$2,501 - $5,000	$2,501 - $5,000
iShares 1-3 Year Treasury Bond ETF (SHY) - IRA [EF] DESCRIPTION: Managed by independent advisor		$15,001 - $50,000	Dividends	$2,501 - $5,000	$2,501 - $5,000
iShares 1-3 Year Treasury Bond ETF (SHY) - IRA [EF] DESCRIPTION: Independent Investment manager	SP	$15,001 - $50,000	Dividends	$1,001 - $2,500	$1,001 - $2,500
iShares 20+ Year Treasury Bond ETF (TLT) [ST] DESCRIPTION: Managed by independent advisor		$15,001 - $50,000	Dividends	$1,001 - $2,500	$1,001 - $2,500
iShares 20+ Year Treasury Bond ETF (TLT) - IRA [EF] DESCRIPTION: Managed by independent advisor		$1,001 - $15,000	Dividends	$201 - $1,000	$201 - $1,000
iShares 20+ Year Treasury Bond ETF (TLT) - IRA [EF] DESCRIPTION: Independent Investment manager	SP	$1,001 - $15,000	Dividends	$201 - $1,000	$201 - $1,000
iShares Gold Strategy ETF (IAUF) [ST] DESCRIPTION: Managed by independent advisor		$15,001 - $50,000	Dividends	$1,001 - $2,500	$1,001 - $2,500
iShares Gold Trust Shares of the iShares Gold Trust (IAU) - IRA [EF] DESCRIPTION: Independent Investment manager	SP	$1,001 - $15,000	Dividends	$1,001 - $2,500	$1,001 - $2,500
iShares Gold Trust Shares of the iShares Gold Trust (IAU) - IRA [EF] DESCRIPTION: Managed by independent advisor		$1,001 - $15,000	Dividends	$1,001 - $2,500	$1,001 - $2,500

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
M&T Bank Business Checking [BA]		$15,001 - $50,000	None		
M&T Bank Personal Checking account [BA]		$1,001 - $15,000	None		
M&T Bank Personal Checking account [BA]	SP	$1,001 - $15,000	None		
M&T Money Market [BA]	SP	$1,001 - $15,000	Interest	$1 - $200	$1 - $200
NextEra Energy, Inc. (NEE) [ST] DESCRIPTION: Managed by an Independent Advisor		$1,001 - $15,000	Dividends	$201 - $1,000	$201 - $1,000
ProShares Short High Yield (SJB) [ST] DESCRIPTION: Managed by independent advisor		$1,001 - $15,000	Dividends	$201 - $1,000	$201 - $1,000
ProShares Short High Yield (SJB) - IRA [EF] DESCRIPTION: Managed by independent advisor		$1,001 - $15,000	Dividends	$201 - $1,000	$201 - $1,000
ProShares Short High Yield (SJB) - IRA [EF] DESCRIPTION: Independent Investment manager	SP	$1,001 - $15,000	Dividends	$1 - $200	$1 - $200
Schwab Value Advantage - IRA [BA] DESCRIPTION: Independent Investment manager	SP	$15,001 - $50,000	Dividends, Interest	$1,001 - $2,500	$201 - $1,000
Schwab Value Advantage - IRA [BA] DESCRIPTION: Managed by independent advisor		$15,001 - $50,000	Interest	$201 - $1,000	$201 - $1,000
Series I U.S. Savings Bond [GS] DESCRIPTION: Treasury-Direct I-Bond		$1,001 - $15,000	Interest	None	None
SPDR Select Sector Fund - Utilities (XLU) [ST] DESCRIPTION: Ma aged by independent advisor		$1,001 - $15,000	Dividends	$201 - $1,000	$201 - $1,000
SPDR Select Sector Fund - Utilities (XLU) - IRA [EF] DESCRIPTION: Managed by independent advisor		$1,001 - $15,000	Dividends	$201 - $1,000	$201 - $1,000
SPDR Select Sector Fund - Utilities (XLU) - IRA [EF]	SP	$1,001 - $15,000	Dividends	$1 - $200	$1 - $200

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
DESCRIPTION: Independent Investment manager					
Synchrony High Yield Savings [BA]	SP	$50,001 - $100,000	Interest	$2,501 - $5,000	$1,001 - $2,500
Synchrony High Yield Savings [BA]	JT	$15,001 - $50,000	Interest	$201 - $1,000	$201 - $1,000
T Rowe Price Capital Appreciation - IRA [MF]	SP	$50,001 - $100,000	Capital Gains, Dividends	$5,001 - $15,000	$5,001 - $15,000
T Rowe Price Dividend Growth [MF]	JT	$1,001 - $15,000	Capital Gains, Dividends	$1 - $200	$1 - $200
T Rowe Price Dividend Growth - IRA [MF]		$1,001 - $15,000	Capital Gains, Dividends	$201 - $1,000	$201 - $1,000
T Rowe Price Government Money [MF]	JT	$15,001 - $50,000	Interest	$1,001 - $2,500	$201 - $1,000
U.S. Treasury Series I Savings Bond [GS]	SP	$1,001 - $15,000	None		
VanEck Gold Miners ETF (GDX) [ST] DESCRIPTION: Managed by independent advisor		$15,001 - $50,000	Dividends	$1,001 - $2,500	$1,001 - $2,500
Vanguard Dividend Growth [MF]	JT	$15,001 - $50,000	Capital Gains, Dividends	$201 - $1,000	$201 - $1,000
Vanguard Dividend Growth - IRA [MF]	SP	$50,001 - $100,000	Capital Gains, Dividends	$2,501 - $5,000	$2,501 - $5,000
Vanguard Federal Money Market [MF]	JT	$1,001 - $15,000	Interest	$1 - $200	$1 - $200
Vanguard FTSE Emerging Markets ETF (VWO) [ST] DESCRIPTION: Managed by independent advisor		$1,001 - $15,000	Dividends	$1,001 - $2,500	$1,001 - $2,500
Vanguard Growth & Income [MF]	JT	$15,001 - $50,000	Capital Gains, Dividends	$201 - $1,000	$201 - $1,000
Vanguard U.S. Growth [MF]	JT	$15,001 - $50,000	Capital Gains, Dividends	$201 - $1,000	$201 - $1,000

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Vanguard U.S. Growth - IRA [MF]	SP	$50,001 - $100,000	Capital Gains, Dividends	$201 - $1,000	$5,001 - $15,000
Willis Towers Watson LTP Pension [DB] Description: Spouse Defined Benefit Pension Plan	SP	Undetermined	Dividends	$15,001 - $50,000	$5,001 - $15,000
Willis Towers Watson Savings Plan - 401 (K) [BA] Description: Spouse 401 (K)	SP	$250,001 - $500,000	Dividends	$5,001 - $15,000	$5,001 - $15,000
Willis Towers Watson WTW Pension [DB] Description: Spouse Defined Benefit Pension	SP	Undetermined	Dividends	$5,001 - $15,000	$5,001 - $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

Source	Type	Amount Current Year to Filing	Amount Preceding Year
Korn Ferry US	spouse salary	$107,075.00	$89,011.00
GE Pension Plan	Defined Benefit Pension Dividends	$10,209.00	$10,209.00
Bank of New York Retirement Plan	Defined Benefit Pension Dividends	$3,085.00	$3,085.00
Evergreen Insurance, LLC	Placing insurance for my sole-proprietor, Sub S Insurance agency	$18,846.00	$20,143.00
Willis Towers Watson WTW Pension	Spouse Pension	$13,020.00	N/A
Willis Towers Watson LTP Pension	Spouse Pension	$22,116.00	N/A

Schedule D: Liabilities

None disclosed.

Schedule E: Positions

None disclosed.

Schedule F: Agreements

None disclosed.

Schedule J: Compensation in Excess of $5,000 Paid by One Source

Source (Name and Address)	Brief Description of Duties
Oxford Finance, LLC (Alexandria, VA, US)	Insurance consulting. Advice on sufficiency of insurance.

Exclusions of Spouse, Dependent, or Trust Information

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: Robert W. MacGuffie , 05/12/2023