



Filing ID #20017260

PERIODIC TRANSACTION REPORT

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

FILER INFORMATION

Name: Hon. Joe Courtney**Status:** Member**State/District:** CT02

TRANSACTIONS

ID	Owner	Asset	Transaction Type	Date	Notification Date	Amount	Cap. Gains > \$200?
SP	AB	Global Bond [OT] FILING STATUS: New SUBHOLDING OF: Rollover IRA LOCATION: US DESCRIPTION: Mutual Fund	S	08/07/2020	08/07/2020	\$1,001 - \$15,000	<input type="checkbox"/>
SP	AB	High Income [OT] FILING STATUS: New SUBHOLDING OF: Rollover IRA LOCATION: US DESCRIPTION: Mutual Fund	S	08/07/2020	08/07/2020	\$1,001 - \$15,000	<input type="checkbox"/>
SP	Abbott Laboratories (ABT)	[ST] FILING STATUS: New SUBHOLDING OF: Rollover IRA	S	08/07/2020	08/07/2020	\$1,001 - \$15,000	<input type="checkbox"/>
SP	Alphabet Inc. - Class A (GOOGL)	[ST] FILING STATUS: New SUBHOLDING OF: Rollover IRA	S	08/07/2020	08/07/2020	\$1,001 - \$15,000	<input type="checkbox"/>
SP	Amazon.com, Inc. (AMZN)	[ST] FILING STATUS: New SUBHOLDING OF: Rollover IRA	S	08/07/2020	08/07/2020	\$15,001 - \$50,000	<input type="checkbox"/>
SP	American Tower Corporation		S	08/07/2020	08/07/2020	\$1,001 - \$15,000	<input type="checkbox"/>

ID	Owner	Asset	Transaction Type	Date	Notification Date	Amount	Cap. Gains > \$200?
		(AMT) [ST] FILING STATUS: New SUBHOLDING OF: Rollover IRA					
SP	Anthem, Inc. (ANTM) [ST]	S	08/07/2020	08/07/2020	\$1,001 - \$15,000	<input type="checkbox"/>	
	FILING STATUS: New SUBHOLDING OF: Rollover IRA						
SP	Apple Inc. (AAPL) [ST]	S	08/07/2020	08/07/2020	\$1,001 - \$15,000	<input type="checkbox"/>	
	FILING STATUS: New SUBHOLDING OF: Rollover IRA						
SP	Ball Corporation (BLL) [ST]	S	08/07/2020	08/07/2020	\$1,001 - \$15,000	<input type="checkbox"/>	
	FILING STATUS: New SUBHOLDING OF: Rollover IRA						
SP	BlackRock, Inc. (BLK) [ST]	S	08/07/2020	08/07/2020	\$1,001 - \$15,000	<input type="checkbox"/>	
	FILING STATUS: New SUBHOLDING OF: Rollover IRA						
SP	Brown Advantage Sustainable Growth [OT]	P	08/07/2020	08/07/2020	\$15,001 - \$50,000	<input type="checkbox"/>	
	FILING STATUS: New SUBHOLDING OF: Rollover IRA LOCATION: US DESCRIPTION: Mutual Fund						
SP	Brown Advantage Sustainable Growth [OT]	P	08/07/2020	08/07/2020	\$1,001 - \$15,000	<input type="checkbox"/>	
	FILING STATUS: New SUBHOLDING OF: Rollover IRA LOCATION: US DESCRIPTION: Mutual Fund						
SP	Calvert Equity Fund [OT]	P	08/07/2020	08/07/2020	\$15,001 - \$50,000	<input type="checkbox"/>	
	FILING STATUS: New SUBHOLDING OF: Rollover IRA LOCATION: US DESCRIPTION: Mutual Fund						
SP	Calvert US Large Cap Value Responsible Index [OT]	P	08/07/2020	08/07/2020	\$15,001 - \$50,000	<input type="checkbox"/>	

ID	Owner	Asset	Transaction Type	Date	Notification Date	Amount	Cap. Gains > \$200?
		FILING STATUS: New SUBHOLDING OF: Rollover IRA LOCATION: US DESCRIPTION: Mutual Fund					
SP	Capital One Financial Corporation (COF) [ST]	S	08/07/2020	08/07/2020	\$1,001 - \$15,000	<input type="checkbox"/>	
	FILING STATUS: New SUBHOLDING OF: Rollover IRA						
SP	Chevron Corporation (CVX) [ST]	S	08/07/2020	08/07/2020	\$1,001 - \$15,000	<input type="checkbox"/>	
	FILING STATUS: New SUBHOLDING OF: Rollover IRA						
SP	Cisco Systems, Inc. (CSCO) [ST]	S	08/07/2020	08/07/2020	\$1,001 - \$15,000	<input type="checkbox"/>	
	FILING STATUS: New SUBHOLDING OF: Rollover IRA						
SP	Citigroup, Inc. (C) [ST]	S	08/07/2020	08/07/2020	\$1,001 - \$15,000	<input type="checkbox"/>	
	FILING STATUS: New SUBHOLDING OF: Rollover IRA						
SP	Constellation Brands, Inc. (STZ) [ST]	S	08/07/2020	08/07/2020	\$1,001 - \$15,000	<input type="checkbox"/>	
	FILING STATUS: New SUBHOLDING OF: Rollover IRA						
SP	Costco Wholesale Corporation (COST) [ST]	S	08/07/2020	08/07/2020	\$1,001 - \$15,000	<input type="checkbox"/>	
	FILING STATUS: New SUBHOLDING OF: Rollover IRA						
SP	CRA Qualified Investment Fund [OT]	P	08/07/2020	08/07/2020	\$1,001 - \$15,000	<input type="checkbox"/>	
	FILING STATUS: New SUBHOLDING OF: Rollover IRA LOCATION: US DESCRIPTION: Mutual Fund						
SP	CRA Qualified Investment Fund [OT]	P	08/07/2020	08/07/2020	\$1,001 - \$15,000	<input type="checkbox"/>	
	FILING STATUS: New SUBHOLDING OF: Rollover IRA LOCATION: US						

ID	Owner	Asset	Transaction Type	Date	Notification Date	Amount	Cap. Gains > \$200?
DESCRIPTION: Mutual Fund							
SP	Danaher Corporation (DHR) [ST]	S	08/07/2020	08/07/2020	\$1,001 - \$15,000	<input type="checkbox"/>	
FILING STATUS: New SUBHOLDING OF: Rollover IRA							
SP	Delaware Corporate Bond [OT]	P	08/07/2020	08/07/2020	\$1,001 - \$15,000	<input type="checkbox"/>	
FILING STATUS: New SUBHOLDING OF: Rollover IRA LOCATION: US DESCRIPTION: Mutual Fund							
SP	Delaware Corporate Bond [OT]	P	08/07/2020	08/07/2020	\$1,001 - \$15,000	<input type="checkbox"/>	
FILING STATUS: New SUBHOLDING OF: Rollover IRA LOCATION: US DESCRIPTION: Mutual Fund							
SP	Delaware Small Cap Core [OT]	P	08/07/2020	08/07/2020	\$1,001 - \$15,000	<input type="checkbox"/>	
FILING STATUS: New SUBHOLDING OF: Rollover IRA LOCATION: US DESCRIPTION: Mutual Fund							
SP	Delaware Small Cap Core Fund [OT]	P	08/07/2020	08/07/2020	\$1,001 - \$15,000	<input type="checkbox"/>	
FILING STATUS: New SUBHOLDING OF: Rollover IRA LOCATION: US DESCRIPTION: Mutual Fund							
SP	Fidelity Advisor Total Bond [OT]	S	08/07/2020	08/07/2020	\$1,001 - \$15,000	<input type="checkbox"/>	
FILING STATUS: New SUBHOLDING OF: Rollover IRA LOCATION: US DESCRIPTION: Mutual Fund							
SP	Fiserv, Inc. (FISV) [ST]	S	08/07/2020	08/07/2020	\$1,001 - \$15,000	<input type="checkbox"/>	
FILING STATUS: New SUBHOLDING OF: Rollover IRA							
SP	Guggenheim Total Return [OT]	S	08/07/2020	08/07/2020	\$1,001 - \$15,000	<input type="checkbox"/>	

ID	Owner	Asset	Transaction Type	Date	Notification Date	Amount	Cap. Gains > \$200?
		FILING STATUS: New SUBHOLDING OF: Rollover IRA LOCATION: US DESCRIPTION: Mutual Fund					
	SP	Hilton Worldwide Holdings Inc. (HLT) [ST] FILING STATUS: New SUBHOLDING OF: Rollover IRA	S	08/07/2020	08/07/2020	\$1,001 - \$15,000	<input type="checkbox"/>
	SP	Home Depot, Inc. (HD) [ST] FILING STATUS: New SUBHOLDING OF: Rollover IRA	S	08/07/2020	08/07/2020	\$1,001 - \$15,000	<input type="checkbox"/>
	SP	Honeywell International Inc. (HON) [ST] FILING STATUS: New SUBHOLDING OF: Rollover IRA	S	08/07/2020	08/07/2020	\$1,001 - \$15,000	<input type="checkbox"/>
	SP	ISH USD High Yield Corporate Bond [OT] FILING STATUS: New SUBHOLDING OF: Rollover IRA LOCATION: US DESCRIPTION: Mutual Fund	P	08/07/2020	08/07/2020	\$1,001 - \$15,000	<input type="checkbox"/>
	SP	IShares MSCI EM ESG Optimized [OT] FILING STATUS: New SUBHOLDING OF: Rollover IRA LOCATION: US DESCRIPTION: ETF	P	08/07/2020	08/07/2020	\$1,001 - \$15,000	<input type="checkbox"/>
	SP	IShares Trust MSCI EAFE ESG Optimized [OT] FILING STATUS: New SUBHOLDING OF: Rollover IRA LOCATION: US DESCRIPTION: ETF	P	08/07/2020	08/07/2020	\$15,001 - \$50,000	<input type="checkbox"/>
	SP	IShares US Treasury Bond [OT] FILING STATUS: New SUBHOLDING OF: Rollover IRA LOCATION: US DESCRIPTION: Mutual Fund	P	08/07/2020	08/07/2020	\$1,001 - \$15,000	<input type="checkbox"/>

ID	Owner Asset	Transaction Type	Date	Notification Date	Amount	Cap. Gains > \$200?
SP	JP Morgan Chase & Co. (JPM) [ST] FILING STATUS: New SUBHOLDING OF: Rollover IRA	S	08/07/2020	08/07/2020	\$1,001 - \$15,000	<input type="checkbox"/>
SP	Keurig Dr Pepper Inc. (KDP) [ST] FILING STATUS: New SUBHOLDING OF: Rollover IRA	S	08/07/2020	08/07/2020	\$1,001 - \$15,000	<input type="checkbox"/>
SP	Lockheed Martin Corporation (LMT) [ST] FILING STATUS: New SUBHOLDING OF: Rollover IRA	S	08/07/2020	08/07/2020	\$1,001 - \$15,000	<input type="checkbox"/>
SP	Microchip Technology Incorporated (MCHP) [ST] FILING STATUS: New SUBHOLDING OF: Rollover IRA	S	08/07/2020	08/07/2020	\$1,001 - \$15,000	<input type="checkbox"/>
SP	Microsoft Corporation (MSFT) [ST] FILING STATUS: New SUBHOLDING OF: Rollover IRA	S	08/07/2020	08/07/2020	\$1,001 - \$15,000	<input type="checkbox"/>
SP	NextEra Energy, Inc. (NEE) [ST] FILING STATUS: New SUBHOLDING OF: Rollover IRA	S	08/07/2020	08/07/2020	\$1,001 - \$15,000	<input type="checkbox"/>
SP	Nuveen ESG Large Cap Value [OT] FILING STATUS: New SUBHOLDING OF: Rollover IRA LOCATION: US DESCRIPTION: Mutual Fund	P	08/07/2020	08/07/2020	\$15,001 - \$50,000	<input type="checkbox"/>
SP	Pepsico, Inc. (PEP) [ST] FILING STATUS: New SUBHOLDING OF: Rollover IRA	S	08/07/2020	08/07/2020	\$1,001 - \$15,000	<input type="checkbox"/>
SP	Pimco Income Fund [OT] FILING STATUS: New SUBHOLDING OF: Rollover IRA	S	08/07/2020	08/07/2020	\$1,001 - \$15,000	<input type="checkbox"/>

ID	Owner	Asset	Transaction Type	Date	Notification Date	Amount	Cap. Gains > \$200?
		LOCATION: US DESCRIPTION: Mutual Fund					
SP	ProLogis, Inc. (PLD) [ST]	S	08/07/2020	08/07/2020	\$1,001 - \$15,000	<input type="checkbox"/>	
	FILING STATUS: New SUBHOLDING OF: Rollover IRA						
SP	Ross Stores, Inc. (ROST) [ST]	S	08/07/2020	08/07/2020	\$1,001 - \$15,000	<input type="checkbox"/>	
	FILING STATUS: New SUBHOLDING OF: Rollover IRA						
SP	Sherwin-Williams Company (SHW) [ST]	S	08/07/2020	08/07/2020	\$1,001 - \$15,000	<input type="checkbox"/>	
	FILING STATUS: New SUBHOLDING OF: Rollover IRA						
SP	SPDR Bloomberg Barclays 1-3 month T-Bill [OT]	P	08/07/2020	08/07/2020	\$1,001 - \$15,000	<input type="checkbox"/>	
	FILING STATUS: New SUBHOLDING OF: Rollover IRA LOCATION: US DESCRIPTION: ETF						
SP	Thermo Fisher Scientific Inc (TMO) [ST]	S	08/07/2020	08/07/2020	\$1,001 - \$15,000	<input type="checkbox"/>	
	FILING STATUS: New SUBHOLDING OF: Rollover IRA						
SP	TIAA-CREF Core Impact Bond [OT]	P	08/07/2020	08/07/2020	\$1,001 - \$15,000	<input type="checkbox"/>	
	FILING STATUS: New SUBHOLDING OF: Rollover IRA LOCATION: US DESCRIPTION: Mutual Fund						
SP	TIAA-CREF Impact Bond [OT]	P	08/07/2020	08/07/2020	\$15,001 - \$50,000	<input type="checkbox"/>	
	FILING STATUS: New SUBHOLDING OF: Rollover IRA LOCATION: US DESCRIPTION: Mutual Fund						
SP	Truist Financial Corporation (TFC) [ST]	S	08/07/2020	08/07/2020	\$1,001 - \$15,000	<input type="checkbox"/>	

ID	Owner	Asset	Transaction Type	Date	Notification Date	Amount	Cap. Gains > \$200?
		FILING STATUS: New SUBHOLDING OF: Rollover IRA					
	SP	Union Pacific Corporation (UNP) [ST] FILING STATUS: New SUBHOLDING OF: Rollover IRA	S	08/07/2020	08/07/2020	\$1,001 - \$15,000	<input type="checkbox"/>
	SP	Vanguard Total International Bond [OT] FILING STATUS: New SUBHOLDING OF: Rollover IRA LOCATION: US DESCRIPTION: ETF	P	08/07/2020	08/07/2020	\$1,001 - \$15,000	<input type="checkbox"/>
	SP	Visa Inc. (V) [ST] FILING STATUS: New SUBHOLDING OF: Rollover IRA	S	08/07/2020	08/07/2020	\$1,001 - \$15,000	<input type="checkbox"/>
	SP	Walmart Inc. (WMT) [ST] FILING STATUS: New SUBHOLDING OF: Rollover IRA	S	08/07/2020	08/07/2020	\$1,001 - \$15,000	<input type="checkbox"/>
	SP	Walt Disney Company (DIS) [ST] FILING STATUS: New SUBHOLDING OF: Rollover IRA	S	08/07/2020	08/07/2020	\$1,001 - \$15,000	<input type="checkbox"/>
	SP	Zoetis Inc. Class A (ZTS) [ST] FILING STATUS: New SUBHOLDING OF: Rollover IRA	S	08/07/2020	08/07/2020	\$1,001 - \$15,000	<input type="checkbox"/>

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

ASSET CLASS DETAILS

- o Rollover IRA (Owner: SP)

INITIAL PUBLIC OFFERINGS

☐ Yes
 ☒ No

CERTIFICATION AND SIGNATURE

☒ I CERTIFY that the statements I have made on the attached Periodic Transaction Report are true, complete, and correct to the best of my knowledge and belief. Further, I CERTIFY that I have disclosed all transactions as required by the STOCK Act.

Digitally Signed: Hon. Joe Courtney , 08/27/2020