



Filing ID #20017600

# 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 | Alibaba Group Holding Limited American Depositary Shares each representing eight Ordinary share (BABA) [ST]<br><br>FILING STATUS: New<br>SUBHOLDING OF: Inherited Brokerage Account | S                | 10/09/2020 | 10/09/2020        | \$15,001 - \$50,000 | <input type="checkbox"/> |
| SP | Blackrock Advantage Large Cap - MALRX [OT]<br><br>FILING STATUS: New<br>SUBHOLDING OF: Inherited Brokerage Account<br>LOCATION: US<br>DESCRIPTION: MALRX                            | P                | 10/09/2020 | 10/09/2020        | \$1,001 - \$15,000  | <input type="checkbox"/> |
| SP | BlackRock Credit Allocation Income Trust (BTZ) [ST]<br><br>FILING STATUS: New<br>SUBHOLDING OF: Inherited Brokerage Account   | S                | 10/09/2020 | 10/09/2020        | \$1,001 - \$15,000  | <input type="checkbox"/> |
| SP | Blackrock Debt Strategies Fund, Inc. (DSU) [ST]<br><br>FILING STATUS: New<br>SUBHOLDING OF: Inherited Brokerage Account   | S                | 10/09/2020 | 10/09/2020        | \$1,001 - \$15,000  | <input type="checkbox"/> |
| SP | Blackrock Emerging Markets Fund - MADCX [OT]<br><br>FILING STATUS: New<br>SUBHOLDING OF: Inherited Brokerage Account<br>LOCATION: US  | P                | 10/09/2020 | 10/09/2020        | \$1,001 - \$15,000  | <input type="checkbox"/> |

| ID   | Owner | Asset  | Transaction Type | Date       | Notification Date | Amount             | Cap. Gains > \$200?      |
|--|-------|--|------------------|------------|-------------------|--------------------|--------------------------|
| DESCRIPTION: MADCX   |       |  |                  |            |                   |                    |                          |
| SP   |       | Blackrock High Yield Municipal Fund - MAYHX [OT]   | P                | 10/09/2020 | 10/09/2020        | \$1,001 - \$15,000 | <input type="checkbox"/> |
| FILING STATUS: New<br>SUBHOLDING OF: Inherited Brokerage Account<br>LOCATION: US<br>DESCRIPTION: MAYHX |       |  |                  |            |                   |                    |                          |
| SP   |       | Blackrock National Municipal Fund - MANLX [OT]   | P                | 10/09/2020 | 10/09/2020        | \$1,001 - \$15,000 | <input type="checkbox"/> |
| FILING STATUS: New<br>SUBHOLDING OF: Inherited Brokerage Account<br>LOCATION: US<br>DESCRIPTION: MANLX |       |  |                  |            |                   |                    |                          |
| SP   |       | Blackrock Technologies Opportunity Fund - BGSIX [OT]                                     | P                | 10/09/2020 | 10/09/2020        | \$1,001 - \$15,000 | <input type="checkbox"/> |
| FILING STATUS: New<br>SUBHOLDING OF: Inherited Brokerage Account<br>LOCATION: US<br>DESCRIPTION: BGSIX |       |  |                  |            |                   |                    |                          |
| SP   |       | Eaton Vance Limited Duration Income Fund Common Shares of Beneficial Interest (EVV) [ST] | S                | 10/09/2020 | 10/09/2020        | \$1,001 - \$15,000 | <input type="checkbox"/> |
| FILING STATUS: New<br>SUBHOLDING OF: Inherited Brokerage Account                                       |       |  |                  |            |                   |                    |                          |
| SP   |       | Energy Transfer LP Common Units (ET) [ST]  | S                | 10/09/2020 | 10/09/2020        | \$1,001 - \$15,000 | <input type="checkbox"/> |
| FILING STATUS: New<br>SUBHOLDING OF: Inherited Brokerage Account                                       |       |  |                  |            |                   |                    |                          |
| SP   |       | Ford Motor Company (F) [ST]  | S                | 10/09/2020 | 10/09/2020        | \$1,001 - \$15,000 | <input type="checkbox"/> |
| FILING STATUS: New<br>SUBHOLDING OF: Inherited Brokerage Account                                       |       |  |                  |            |                   |                    |                          |
| SP   |       | Global X Super Dividend ETF (DIV) [ST]   | S                | 10/09/2020 | 10/09/2020        | \$1,001 - \$15,000 | <input type="checkbox"/> |
| FILING STATUS: New<br>SUBHOLDING OF: Inherited Brokerage Account                                       |       |  |                  |            |                   |                    |                          |
| SP   |       | Goldman Sachs Dynamic Muni Income Fund [OT]  | S                | 10/09/2020 | 10/09/2020        | \$1,001 - \$15,000 | <input type="checkbox"/> |

| ID | Owner | Asset  | Transaction Type | Date       | Notification Date | Amount              | Cap. Gains > \$200?      |
|----|-------|--|------------------|------------|-------------------|---------------------|--------------------------|
|    |       | FILING STATUS: New<br>SUBHOLDING OF: Inherited Brokerage Account<br>LOCATION: US<br>DESCRIPTION: GSMTX   |                  |            |                   |                     |                          |
|    | SP    | Hartford Core Equity Fund - HGIIX [OT]<br><br>FILING STATUS: New<br>SUBHOLDING OF: Inherited Brokerage Account<br>LOCATION: US<br>DESCRIPTION: HGIIX | P                | 10/09/2020 | 10/09/2020        | \$15,001 - \$50,000 | <input type="checkbox"/> |
|    | SP    | iShares 20+ Year Treasury Bond ETF (TLT) [ST]<br><br>FILING STATUS: New<br>SUBHOLDING OF: Inherited Brokerage Account                                | P                | 10/09/2020 | 10/09/2020        | \$1,001 - \$15,000  | <input type="checkbox"/> |
|    | SP    | iShares 7-10 Year Treasury Bond ETF (IEF) [ST]<br><br>FILING STATUS: New<br>SUBHOLDING OF: Inherited Brokerage Account                               | P                | 10/09/2020 | 10/09/2020        | \$1,001 - \$15,000  | <input type="checkbox"/> |
|    | SP    | iShares Core MSCI EAFE ETF (IEFA) [ST]<br><br>FILING STATUS: New<br>SUBHOLDING OF: Inherited Brokerage Account                                       | P                | 10/09/2020 | 10/09/2020        | \$1,001 - \$15,000  | <input type="checkbox"/> |
|    | SP    | iShares Core S&P 500 ETF (IVV) [ST]<br><br>FILING STATUS: New<br>SUBHOLDING OF: Inherited Brokerage Account  | P                | 10/09/2020 | 10/09/2020        | \$15,001 - \$50,000 | <input type="checkbox"/> |
|    | SP    | iShares Core S&P Small-Cap ETF (IJR) [ST]<br><br>FILING STATUS: New<br>SUBHOLDING OF: Inherited Brokerage Account                                    | P                | 10/09/2020 | 10/09/2020        | \$1,001 - \$15,000  | <input type="checkbox"/> |
|    | SP    | iShares ESG Aware MSCI USA ETF (ESGU) [ST]<br><br>FILING STATUS: New<br>SUBHOLDING OF: Inherited Brokerage Account                                   | P                | 10/09/2020 | 10/09/2020        | \$1,001 - \$15,000  | <input type="checkbox"/> |
|    | SP    | iShares International Select Dividend ETF (IDV) [ST]<br><br>FILING STATUS: New   | S                | 10/09/2020 | 10/09/2020        | \$1,001 - \$15,000  | <input type="checkbox"/> |

| ID | Owner | Asset  | Transaction Type | Date       | Notification Date | Amount              | Cap. Gains > \$200?      |
|----|-------|--|------------------|------------|-------------------|---------------------|--------------------------|
|    |       | SUBHOLDING OF: Inherited Brokerage Account   |                  |            |                   |                     |                          |
|    | SP    | iShares MSCI EAFE Growth ETF (EFG) [ST]  | P                | 10/09/2020 | 10/09/2020        | \$1,001 - \$15,000  | <input type="checkbox"/> |
|    |       | FILING STATUS: New<br>SUBHOLDING OF: Inherited Brokerage Account                                       |                  |            |                   |                     |                          |
|    | SP    | iShares MSCI USA Min Vol Factor ETF (USMV) [ST]  | P                | 10/09/2020 | 10/09/2020        | \$1,001 - \$15,000  | <input type="checkbox"/> |
|    |       | FILING STATUS: New<br>SUBHOLDING OF: Inherited Brokerage Account                                       |                  |            |                   |                     |                          |
|    | SP    | iShares MSCI USA Value Factor ETF (VLUE) [ST]  | P                | 10/09/2020 | 10/09/2020        | \$1,001 - \$15,000  | <input type="checkbox"/> |
|    |       | FILING STATUS: New<br>SUBHOLDING OF: Inherited Brokerage Account                                       |                  |            |                   |                     |                          |
|    | SP    | iShares U.S. Medical Devices ETF (IHI) [ST]  | P                | 10/09/2020 | 10/09/2020        | \$1,001 - \$15,000  | <input type="checkbox"/> |
|    |       | FILING STATUS: New<br>SUBHOLDING OF: Inherited Brokerage Account                                       |                  |            |                   |                     |                          |
|    | SP    | Nintendo Co Ltd ADR (NTDOY) [ST]   | S                | 10/09/2020 | 10/09/2020        | \$15,001 - \$50,000 | <input type="checkbox"/> |
|    |       | FILING STATUS: New<br>SUBHOLDING OF: Inherited Brokerage Account                                       |                  |            |                   |                     |                          |
|    | SP    | Pimco Investments Income Inst'l [OT]   | S                | 10/09/2020 | 10/09/2020        | \$15,001 - \$50,000 | <input type="checkbox"/> |
|    |       | FILING STATUS: New<br>SUBHOLDING OF: Inherited Brokerage Account<br>LOCATION: US<br>DESCRIPTION: PIMIX |                  |            |                   |                     |                          |
|    | SP    | Pimco Municipal Bond Fund - PMUPX [OT]   | P                | 10/09/2020 | 10/09/2020        | \$1,001 - \$15,000  | <input type="checkbox"/> |
|    |       | FILING STATUS: New<br>SUBHOLDING OF: Inherited Brokerage Account<br>LOCATION: US<br>DESCRIPTION: PMUPX |                  |            |                   |                     |                          |
|    | SP    | Rivernorth Funds Doubleline Strategic Income [OT]  | S                | 10/09/2020 | 10/09/2020        | \$1,001 - \$15,000  | <input type="checkbox"/> |
|    |       | FILING STATUS: New<br>SUBHOLDING OF: Inherited Brokerage Account                                       |                  |            |                   |                     |                          |

| ID | Owner | Asset   | Transaction Type | Date       | Notification Date | Amount             | Cap. Gains > \$200?      |
|----|-------|---|------------------|------------|-------------------|--------------------|--------------------------|
|    |       | LOCATION: US<br>DESCRIPTION: RNSIX  |                  |            |                   |                    |                          |
| SP |       | SPDR Blackstone GSO Senior Loan ETF (SRLN) [ST]<br><br>FILING STATUS: New<br>SUBHOLDING OF: Inherited Brokerage Account<br>DESCRIPTION: Reported on FD as "SSGA Active" | S                | 10/09/2020 | 10/09/2020        | \$1,001 - \$15,000 | <input type="checkbox"/> |
| SP |       | Vanguard Div Appreciation ETF (VIG) [ST]<br><br>FILING STATUS: New<br>SUBHOLDING OF: Inherited Brokerage Account  | S                | 10/09/2020 | 10/09/2020        | \$1,001 - \$15,000 | <input type="checkbox"/> |
| SP |       | Vanguard Total Stock Market ETF (VTI) [ST]<br><br>FILING STATUS: New<br>SUBHOLDING OF: Inherited Brokerage Account  | S                | 10/09/2020 | 10/09/2020        | \$1,001 - \$15,000 | <input type="checkbox"/> |
| SP |       | WCM Focused Int'l Growth [OT]<br><br>FILING STATUS: New<br>SUBHOLDING OF: Inherited Brokerage Account<br>LOCATION: US<br>DESCRIPTION: WCMIX                             | S                | 10/09/2020 | 10/09/2020        | \$1,001 - \$15,000 | <input type="checkbox"/> |
| SP |       | WisdomTree CBOE S&P 500 PutWrite Strategy Fund (PUTW) [ST]<br><br>FILING STATUS: New<br>SUBHOLDING OF: Inherited Brokerage Account                                      | S                | 10/09/2020 | 10/09/2020        | \$1,001 - \$15,000 | <input type="checkbox"/> |
| SP |       | WisdomTree Emerging Markets Ex-State Owned Enterprises Fund (XSOE) [ST]<br><br>FILING STATUS: New<br>SUBHOLDING OF: Inherited Brokerage Account                         | P                | 10/09/2020 | 10/09/2020        | \$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 Inherited Brokerage Account (Owner: SP)  
LOCATION: US  
DESCRIPTION: Account inherited in 2019

## 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 , 11/06/2020