Filing ID #10026065

Financial Disclosure Report

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Filer Information

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

Filing Information

Filing Type: Annual Report
Filing Year: 2018
Filing Date: 05/10/2019

Schedule A: Assets and "Unearned" Income

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
Bank of America Accounts [BA]		$1,001 - $15,000	None		
Commonwealth Annuity and Life Insurance Co. "Exceptional Life Policy" [WU]		$1,001 - $15,000	None		
Hartford Federal Credit Union [BA]		$1 - $1,000	Dividends	$1 - $200	
Inherited IRA ⇒ Apple Inc. (AAPL) [ST]		$1,001 - $15,000	Dividends	$1 - $200	
Inherited IRA ⇒ Deposit Sweep Account [BA]		$1 - $1,000	Interest	$1 - $200	
Inherited IRA ⇒ DFA US Core Equity (DFEOX) [MF]		$1,001 - $15,000	Dividends	$1 - $200	
Inherited IRA ⇒ Natixis LS Senior Flat Rate (LSFYX) [MF]		$1,001 - $15,000	Dividends	$1 - $200	
Inherited IRA ⇒ PIMCO FDS Income Instl (PIMIX) [MF]		$15,001 - $50,000	Dividends	$1 - $200	

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
Inherited IRA ⇒ PNC Funds Multi Factor Small Cap (PLOIX) [MF]		$1,001 - $15,000	Dividends	$1 - $200	☐
Inherited IRA ⇒ SPDR Series Trust Portfolio (SPTM) [EF]		$1,001 - $15,000	Dividends	$1 - $200	☐
Inherited IRA ⇒ T Rowe Price Blue Chip Growth [MF]		$1,001 - $15,000	Dividends	$1 - $200	☐
Inherited IRA ⇒ WCM Focust Int Growth Inst (WCMIX) [MF]		$1,001 - $15,000	Dividends	$1 - $200	☐
Inherited IRA ⇒ Wisdomtree CBOE S&P 500 [EF]		$1,001 - $15,000	Dividends	$1 - $200	☐
Inherited IRA ⇒ Wisdomtree Dynamic (DYLS) [EF]		$1,001 - $15,000	Dividends	$1 - $200	☐
IRA ⇒ American Growth Fund of America CL F1 (GFAFX) [EF]		None	Tax-Deferred		☑
IRA ⇒ American Small Cap World (SMCWX) [EF]		None	Tax-Deferred		☑
IRA ⇒ Blackrock Advantage Large Cap (MCLRX) [EF]		None	Tax-Deferred		☑
IRA ⇒ Blackrock Focus Growth Fund (MCFOX) [EF]		None	Tax-Deferred		☑
IRA ⇒ Blackrock High Yield Bond Fund (BHYIX) [EF]		$1,001 - $15,000	Tax-Deferred		☑
IRA ⇒ Calvert Equity Fund (CEYIX) [EF]		$15,001 - $50,000	Tax-Deferred		☑
IRA ⇒ Calvert US Large Cap Value (CFJIX) [EF]		$15,001 - $50,000	Tax-Deferred		☑
IRA ⇒ CRA Qualified Investment Fund (CRANX) [EF]		$15,001 - $50,000	Tax-Deferred		☑
IRA ⇒ Delaware Corporate Bond Fund (DGCIX) [EF]		$1,001 - $15,000	Tax-Deferred		☑

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
IRA ⇒ Delaware Small Cap Core (DCCIX) [EF]		$15,001 - $50,000	Tax-Deferred		☑
IRA ⇒ Domini Impact International Equity Fund (DOMYX) [EF]		$15,001 - $50,000	Tax-Deferred		☑
IRA ⇒ Invesco Global Core Equity Fund (AWSCX) [EF]		None	Tax-Deferred		☑
IRA ⇒ IShares MSCI ACWI Low Carbon Target (CRBN) [EF]		$15,001 - $50,000	Tax-Deferred		☑
IRA ⇒ IShares MSCI EM ESG Optimized (ESGE) [EF]		$15,001 - $50,000	Tax-Deferred		☑
IRA ⇒ IShares MSCI USA ESG Select (SUSA) [EF]		$1,001 - $15,000	Tax-Deferred		☑
IRA ⇒ IShares US Treasury Bond (GOVT) [EF]		$15,001 - $50,000	Tax-Deferred		☑
IRA ⇒ J Hancock Financial Indices (FIDAX) [EF]		None	Tax-Deferred		☑
IRA ⇒ Lord Abbett Calibrated Dividend Growth (LAMCX) [EF]		None	Tax-Deferred		☑
IRA ⇒ Lord Abbett Value Opportunities (LVOCX) [EF]		None	Tax-Deferred		☑
IRA ⇒ Merrill Cash/Money Accounts [BA]		$15,001 - $50,000	Tax-Deferred		☐
IRA ⇒ Putnam International Growth Fund (PIOCX) [EF]		None	Tax-Deferred		☑
IRA ⇒ Schwab US Large Cap (SCHV) [EF]		$15,001 - $50,000	Tax-Deferred		☑
IRA ⇒ TIAA CREF Social Choice [EF]		$50,001 - $100,000	Tax-Deferred		☑
IRA ⇒ Vanguard Total International Equity Fund (BNDX) [EF]		$1,001 - $15,000	Tax-Deferred		☑

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
Manulife Financial Corporation (MFC) [ST]		$1,001 - $15,000	Dividends	$201 - $1,000	
Mass Mutual Whole Life Policy [WU]		$15,001 - $50,000	None		
Saint Francis Hospital and Medical Center Pension Plan [PE]		Undetermined	None		
Templeton World Fund - Class A (TEMWX) [EF] DESCRIPTION: Reduction in asset value due to decrease in share price		$1,001 - $15,000	Capital Gains, Dividends	$201 - $1,000	
TR 403(b) ⇒ Lincoln Multi-Fund Variable Annuity Fixed Account [MF]		$1,001 - $15,000	Tax-Deferred	None	
TR 403(b) ⇒ T Rowe Price Growth Equity Portfolio [MF]		$1,001 - $15,000	Tax-Deferred		
TR 403(b) ⇒ T. Rowe Price Retirement 2025 [MF]		$15,001 - $50,000	Tax-Deferred		
TR 403(b) ⇒ Voya Intermediate Bond Portfolio [MF]		$1,001 - $15,000	Tax-Deferred		
Trinity 403(b) ⇒ American Funds Euro Pacific Growth [MF]		$15,001 - $50,000	Tax-Deferred		
Trinity 403(b) ⇒ Columbia Small Cap Value Fund [MF]		$1,001 - $15,000	Tax-Deferred		
Trinity 403(b) ⇒ Diamond Hill Large Cap [MF]		$15,001 - $50,000	Tax-Deferred		
Trinity 403(b) ⇒ Franklin Small Cap Growth Advantage [MF]		$1,001 - $15,000	Tax-Deferred		
Trinity 403(b) ⇒ Lincoln Stable Value Fund [MF]		$50,001 - $100,000	Tax-Deferred		
Trinity 403(b) ⇒ Loomis Sayles Growth [MF]		$15,001 - $50,000	Tax-Deferred		
Trinity 403(b) ⇒		$50,001 -	Tax-Deferred		

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
Metropolitan West Total Return Fund [MF]		$100,000			
United Bank Accounts [BA]		$15,001 - $50,000	Interest	$1 - $200	☐
United Financial Bancorp, Inc. (UBNK) [ST]		$15,001 - $50,000	Dividends	$201 - $1,000	☐

* 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 B: Transactions

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > $200?
IRA ⇒ American Growth Fund of America CL F1 (GFAFX) [EF]		09/14/2018	S	$50,001 - $100,000	☐
IRA ⇒ American Small Cap World (SMCWX) [EF]		09/14/2018	S	$50,001 - $100,000	☐
IRA ⇒ Blackrock Advantage Large Cap (MCLRX) [EF]		09/14/2018	S	$50,001 - $100,000	☐
IRA ⇒ Blackrock Focus Growth Fund (MCFOX) [EF]		09/14/2018	S	$1,001 - $15,000	☐
IRA ⇒ Blackrock High Yield Bond Fund (BHYIX) [EF]		09/14/2018	P	$1,001 - $15,000	
IRA ⇒ Blackrock High Yield Bond Fund (BHYIX) [EF]		09/17/2018	P	$1,001 - $15,000	
IRA ⇒ Calvert Equity Fund (CEYIX) [MF]		09/14/2018	P	$15,001 - $50,000	
IRA ⇒ Calvert Equity Fund (CEYIX) [EF]		09/17/2018	P	$15,001 - $50,000	
IRA ⇒ Calvert US Large Cap Value (CFJIX) [EF]		09/14/2018	P	$15,001 - $50,000	
IRA ⇒ Calvert US Large Cap Value (CFJIX) [EF]		09/17/2018	P	$15,001 - $50,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > $200?
IRA ⇒ CRA Qualified Investment Fund (CRANX) [MF]		09/14/2018	P	$1,001 - $15,000	
IRA ⇒ CRA Qualified Investment Fund (CRANX) [EF]		09/17/2018	P	$1,001 - $15,000	
IRA ⇒ Delaware Corporate Bond Fund (DGCIX) [MF]		09/14/2018	P	$1,001 - $15,000	
IRA ⇒ Delaware Corporate Bond Fund (DGCIX) [EF]		09/17/2018	P	$1,001 - $15,000	
IRA ⇒ Delaware Small Cap Core (DCCIX) [MF]		09/14/2018	P	$1,001 - $15,000	
IRA ⇒ Delaware Small Cap Core (DCCIX) [EF]		09/17/2018	P	$1,001 - $15,000	
IRA ⇒ Domini Impact International Equity Fund (DOMYX) [MF]		09/14/2018	P	$15,001 - $50,000	
IRA ⇒ Domini Impact International Equity Fund (DOMYX) [EF]		09/17/2018	P	$15,001 - $50,000	
IRA ⇒ Invesco Global Core Equity Fund (AWSCX) [EF]		09/14/2018	S	$50,001 - $100,000	
IRA ⇒ IShares MSCI ACWI Low Carbon Target (CRBN) [EF]		09/17/2018	P	$15,001 - $50,000	
IRA ⇒ IShares MSCI EM ESG Optimized (ESGE) [EF]		09/17/2018	P	$15,001 - $50,000	
IRA ⇒ IShares MSCI USA ESG Select (SUSA) [EF]		09/17/2018	P	$1,001 - $15,000	
IRA ⇒ IShares US Treasury Bond (GOVT) [EF]		09/17/2018	P	$15,001 - $50,000	
IRA ⇒ J Hancock Financial Indices (FIDAX) [EF]		09/14/2018	S	$15,001 - $50,000	
IRA ⇒		09/14/2018	S	$50,001 -	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > $200?
Lord Abbett Calibrated Dividend Growth (LAMCX) [EF]				$100,000	
IRA ⇒ Lord Abbett Value Opportunities (LVOCX) [EF]		09/14/2018	S	$1,001 - $15,000	☐
IRA ⇒ Putnam International Growth Fund (PIOCX) [EF]		09/14/2018	S	$1,001 - $15,000	☐
IRA ⇒ Schwab US Large Cap (SCHV) [EF]		09/17/2018	P	$50,001 - $100,000	
IRA ⇒ TIAA CREF Social Choice Bond Fund (TSBHX) [EF]		09/14/2018	P	$50,001 - $100,000	
IRA ⇒ TIAA CREF Social Choice Bond Fund (TSBHX) [EF]		09/17/2018	P	$15,001 - $50,000	
IRA ⇒ Vanguard Total International Fund (BNDX) [EF]		09/17/2018	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

Source	Type	Amount
Connecticut Children's Medical Center	Spouse Salary	N/A

Schedule D: Liabilities

Owner	Creditor	Date Incurred	Type	Amount of Liability
	Chase Bank	July 2011	Mortgage on personal residence (not rented)	$15,001 - $50,000

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?**
Hudson Institute, Henry Jackson Society	12/13/2018	12/18/2018	Dulles, VA - London, UK - Dulles, VA	0	☑	☑	☑

Schedule I: Payments Made to Charity in Lieu of Honoraria

None disclosed.

Schedule A and B Asset Class Details

- Inherited IRA
  Description: IRA inherited in December 2018
- IRA
- TR 403(b)
- Trinity 403(b)

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. Joe Courtney , 05/10/2019