



# FINANCIAL DISCLOSURE 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

## FILING INFORMATION

**Filing Type:** Annual Report  
**Filing Year:** 2014  
**Filing Date:** 05/12/2015

## SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
403(b) ⇒ American Century Mid Cap		\$1,001 - \$15,000	Tax-Deferred	None	<input type="checkbox"/>
403(b) ⇒ Delaware US Growth Institutional Class		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
403(b) ⇒ Guaranteed Income Fund		\$50,001 - \$100,000	Tax-Deferred		<input type="checkbox"/>
403(b) ⇒ Hartford Dividend Growth Y		\$1,001 - \$15,000	Tax-Deferred	None	<input type="checkbox"/>
403(b) ⇒ Lincoln Multi-Fund Variable Annuity Fixed Account		\$1,001 - \$15,000	Tax-Deferred	None	<input type="checkbox"/>
403(b) ⇒ MFS New Discovery R4 Fund		\$1,001 - \$15,000	Tax-Deferred	None	<input type="checkbox"/>
403(b) ⇒ Oakmark International Fund		\$1,001 - \$15,000	Tax-Deferred	None	<input type="checkbox"/>
403(b) ⇒		\$1,001 - \$15,000	Tax-Deferred	None	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Oppenheimer International Growth Y					
403(b) ⇒ PIMCO Total Return Institutional Fund		\$15,001 - \$50,000	Tax-Deferred	None	<input type="checkbox"/>
403(b) ⇒ T Rowe Price Growth Equity Portfolio		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
403(b) ⇒ Voya Mid Cap Opportunities		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: Name change in 2014 from ING to Voya.					
403(b) ⇒ William Blair Small Cap Value		\$1,001 - \$15,000	Tax-Deferred	None	<input type="checkbox"/>
Commonwealth Annuity and Life Insurance Co. "Exceptional Life Policy"		\$1,001 - \$15,000	None		<input type="checkbox"/>
Hartford Federal Credit Union		\$15,001 - \$50,000	Dividends	\$1 - \$200	<input type="checkbox"/>
IRA ⇒ American Growth Fund of America CL C (GFACX)		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
IRA ⇒ American Growth Fund of America CL F1 (GFAFX)		\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
IRA ⇒ American Small Cap World (SMCWX)		\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
IRA ⇒ Blackrock Focus Growth Fund (MCFOX)		\$1,001 - \$15,000	Tax-Deferred	None	<input type="checkbox"/>
IRA ⇒ Blackrock Large Cap (MCLRX)		\$50,001 - \$100,000	Tax-Deferred	None	<input type="checkbox"/>
IRA ⇒ Invesco Global Core Equity Fund (AWSCX)		\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
IRA ⇒ J Hancock Financial Indices (FIDAX)		\$15,001 - \$50,000	Tax-Deferred	None	<input type="checkbox"/>
IRA ⇒ Lord Abbett Calibrated Dividend Growth (LAMCX)		\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
IRA ⇒ Lord Abbett Value Opportunities (LVOCX)		\$1,001 - \$15,000	Tax-Deferred	None	<input type="checkbox"/>
IRA ⇒ Merrill Cash/Money Accounts		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
IRA ⇒ Putnam International Growth Fund (PIOCX)		\$1,001 - \$15,000	Tax-Deferred	None	<input type="checkbox"/>
Manulife Financial Corporation (MFC)		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Mass Mutual Whole Life Policy		\$15,001 - \$50,000	None		<input type="checkbox"/>
Rockville Financial, Inc. (RCKB)		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Saint Francis Hospital and Medical Center Pension Plan		Undetermined	None		<input type="checkbox"/>
Templeton World Fund - Class A (TEMWX)		\$15,001 - \$50,000	Capital Gains, Dividends	\$201 - \$1,000	<input type="checkbox"/>
United Financial Bancorp, Inc. (UBNK)		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>

\* Asset class details available at the bottom of this form.

## SCHEDULE B: TRANSACTIONS

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
403(b) ⇒ Delaware U.S. Growth Institutional Class		10/31/2014	P	\$1,001 - \$15,000	
403(b) ⇒ Hartford Dividend Growth Y DESCRIPTION: Capital Gains Reinvestment		12/12/2014	P	\$1,001 - \$15,000	
403(b) ⇒ Main Stay Large Cap Growth		10/31/2014	S	\$1,001 - \$15,000	<input type="checkbox"/>
IRA ⇒ American Growth Fund Of America Class C (GFACX)		12/19/2014	P	\$1,001 - \$15,000	

Asset	Owner Date	Tx. Type	Amount	Cap. Gains > \$200?
DESCRIPTION: Dividend Reinvestment				
IRA ⇒ American Growth Fund of America Class F1 (GFAFX)	12/19/2014	P	\$1,001 - \$15,000	
DESCRIPTION: Dividend Reinvestment				
IRA ⇒ American Small Cap World Fund Class A (SMCWX)	12/30/2014	P	\$1,001 - \$15,000	
DESCRIPTION: Dividend Reinvestment				
IRA ⇒ Invesco Global Core Equity Fund (AWSCX)	12/15/2014	P	\$1,001 - \$15,000	
DESCRIPTION: Dividend reinvestment				
IRA ⇒ Lord Abbett Calibrated Dividend Growth (LAMCX)	12/22/2014	P	\$1,001 - \$15,000	

\* Asset class details available at the bottom of this form.

### SCHEDULE C: EARNED INCOME

Source	Type	Amount
St. Francis Hospital and 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)	\$50,001 - \$100,000

### 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?
Connecticut District Export Council	02/9/2014	02/10/2014	Bradley, CT - Toronto, Canada - Washington, DC	0	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

## SCHEDULE I: PAYMENTS MADE TO CHARITY IN LIEU OF HONORARIA

None disclosed.

## SCHEDULE A AND B ASSET CLASS DETAILS

- o 403(b)
- o IRA

## 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 , 05/12/2015