



Filing ID #10022064

FINANCIAL DISCLOSURE REPORT

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

FILER INFORMATION

Name: Hon. Jim Costa
Status: Member
State/District: CA16

FILING INFORMATION

Filing Type: Annual Report
Filing Year: 2017
Filing Date: 05/15/2018

SCHEDULE A: ASSETS AND "UNEARNED" INCOME

| Asset | Owner | Value of Asset | Income Type(s) | Income | Tx. > \$1,000? |
|---|-------|---------------------------|----------------|-------------------------|--------------------------|
| Bank of America [BA] | | \$1,001 - \$15,000 | Interest | \$1 - \$200 | <input type="checkbox"/> |
| Heartland Financial USA, Inc. (HTLF) [ST] | | \$15,001 - \$50,000 | Dividends | \$201 - \$1,000 | <input type="checkbox"/> |
| James M. Costa Farms (Sole Proprietorship) [FA] LOCATION: Fresno, CA, US DESCRIPTION: Farming operation | | \$1,000,001 - \$5,000,000 | Farm Income | \$100,001 - \$1,000,000 | <input type="checkbox"/> |
| Portuguese Fraternal Society of America [WU] | | \$1,001 - \$15,000 | Interest | \$1 - \$200 | <input type="checkbox"/> |
| Rental Home [RP] LOCATION: Fresno, CA, US COMMENTS: This property was not rented in 2017 | | \$250,001 - \$500,000 | Rent | None | <input type="checkbox"/> |
| Rental Home [RP] LOCATION: Washington, DC, US | | \$500,001 - \$1,000,000 | Rent | \$15,001 - \$50,000 | <input type="checkbox"/> |

| Asset | Owner | Value of Asset | Income Type(s) | Income | Tx. > \$1,000? |
|---|-------|-----------------------|----------------|--------|-------------------------------------|
| United Security Bank [BA] | | \$250,001 - \$500,000 | None | | <input type="checkbox"/> |
| Wells Fargo Advisors 401(k) ⇒ American Funds EuroPacific Growth Fund Class F-2 (AEPFX) (EIF) [MF] | | \$15,001 - \$50,000 | Tax-Deferred | | <input checked="" type="checkbox"/> |
| Wells Fargo Advisors 401(k) ⇒ American Funds Washington Mutual Investors Fund Class F-2 (WMFFX) (EIF) [MF] | | \$15,001 - \$50,000 | Tax-Deferred | | <input checked="" type="checkbox"/> |
| Wells Fargo Advisors 401(k) ⇒ Baron Inv't Funds Trust Small Cap Fund (BSFIX) (EIF) [MF] | | \$50,001 - \$100,000 | Tax-Deferred | | <input checked="" type="checkbox"/> |
| Wells Fargo Advisors 401(k) ⇒ Deutsche Enhanced Commodity Strategy Fund Institutional Class (SKIRX) (EIF) [MF] | | \$1,001 - \$15,000 | Tax-Deferred | | <input type="checkbox"/> |
| Wells Fargo Advisors 401(k) ⇒ Deutsche Global Real Estate Securities Fund Institutional Class (RRGIX) (EIF) [MF] | | None | Tax-Deferred | | <input checked="" type="checkbox"/> |
| Wells Fargo Advisors 401(k) ⇒ Eaton Vance Income Fund of Boston Class I (EIBIX) (EIF) [MF] | | \$15,001 - \$50,000 | Tax-Deferred | | <input type="checkbox"/> |
| Wells Fargo Advisors 401(k) ⇒ Edgewood Growth Fund Class Institutional (EGFIX) (EIF) [MF] | | \$15,001 - \$50,000 | Tax-Deferred | | <input checked="" type="checkbox"/> |
| Wells Fargo Advisors 401(k) ⇒ Franklin Small Cap Value Adv (FVADX) (EIF) [MF] | | None | Tax-Deferred | | <input type="checkbox"/> |
| Wells Fargo Advisors 401(k) ⇒ Goldman Sachs FS Treasury Instruments Fund (FTIXX) (EIF) [MF] | | \$1,001 - \$15,000 | Tax-Deferred | | <input checked="" type="checkbox"/> |
| Wells Fargo Advisors 401(k) ⇒ Harbor FD CAP APPRECIATION FD INSTL CL (HACAX) (EIF) [MF] | | \$15,001 - \$50,000 | Tax-Deferred | | <input checked="" type="checkbox"/> |
| Wells Fargo Advisors 401(k) ⇒ HARBOR FD INTL FD INSTL CL (HAINX) (EIF) [MF] | | \$15,001 - \$50,000 | Tax-Deferred | | <input checked="" type="checkbox"/> |
| Wells Fargo Advisors 401(k) ⇒ Janus INVT FD FLEXIBLE BD FD CLASS 1 (JFLEX) | | \$50,001 - \$100,000 | Tax-Deferred | | <input checked="" type="checkbox"/> |

| Asset | Owner | Value of Asset | Income Type(s) | Income | Tx. > \$1,000? |
|---|-------|----------------------|----------------|--------|-------------------------------------|
| (EIF) [MF] | | | | | |
| Wells Fargo Advisors 401(k) ⇒ JP Morgan 100% US Treasury Securities [OT] | | \$15,001 - \$50,000 | Tax-Deferred | | <input type="checkbox"/> |
| DESCRIPTION: Cash and Sweep Balances | | | | | |
| Wells Fargo Advisors 401(k) ⇒ Lazard Emerging Markets Equity Portfolio Institutional Shares (LZEMX) (EIF) [MF] | | \$15,001 - \$50,000 | Tax-Deferred | | <input checked="" type="checkbox"/> |
| Wells Fargo Advisors 401(k) ⇒ MFS SER TR 1 VALUE FD (MEIIX) (EIF) [MF] | | \$50,001 - \$100,000 | Tax-Deferred | | <input checked="" type="checkbox"/> |
| Wells Fargo Advisors 401(k) ⇒ MFS SER TR X EMERGING MKTS DEBT FD CLASS I (MEDIX) (EIF) [MF] | | \$15,001 - \$50,000 | Tax-Deferred | | <input type="checkbox"/> |
| Wells Fargo Advisors 401(k) ⇒ Oppenheimer INTL GRWTH FD CL Y SHS (OIGYX) (EIF) [MF] | | \$15,001 - \$50,000 | Tax-Deferred | | <input type="checkbox"/> |
| Wells Fargo Advisors 401(k) ⇒ Principal Funds Inc Global Real Estate (POSIX) (EIF) [MF] | | \$15,001 - \$50,000 | Tax-Deferred | | <input checked="" type="checkbox"/> |
| Wells Fargo Advisors 401(k) ⇒ RIDGEWORTH FUNDS CEREDX MID CAP VALUE EQUITY FUND CLASS 1 (SMVTX) (EIF) [MF] | | \$15,001 - \$50,000 | Tax-Deferred | | <input checked="" type="checkbox"/> |
| Wells Fargo Advisors 401(k) ⇒ ROWE T PRICE MID CAP GROWTH FUND (RPMGX) (EIF) [MF] | | \$15,001 - \$50,000 | Tax-Deferred | | <input type="checkbox"/> |
| Wells Fargo Advisors 401(k) ⇒ RS Small Cap Growth Fund Class Y (RSYEX) (EIF) [MF] | | None | Tax-Deferred | | <input type="checkbox"/> |
| Wells Fargo Advisors 401(k) ⇒ T ROWE PRICE REAL EST FUND (TRREX) (EIF) [MF] | | \$1,001 - \$15,000 | Tax-Deferred | | <input type="checkbox"/> |
| Wells Fargo Advisors 401(k) ⇒ Victory Sycamore Small Co Oppty (VSOIX) (EIF) [MF] | | \$15,001 - \$50,000 | Tax-Deferred | | <input checked="" type="checkbox"/> |
| Wells Fargo Advisors 401(k) ⇒ VITRUS OPPORTUNITIES TR EMERGING MKTS OPPTYs FD CL 1 (HIEMX) (EIF) [MF] | | \$15,001 - \$50,000 | Tax-Deferred | | <input checked="" type="checkbox"/> |

| Asset | Owner | Value of Asset | Income Type(s) | Income | Tx. > \$1,000? |
|--|-------|---------------------|----------------|-----------------|--------------------------|
| Westamerica Bancorporation (WABC) [ST] | | \$15,001 - \$50,000 | Dividends | \$201 - \$1,000 | <input type="checkbox"/> |

* 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? |
|---|-------|------------|----------------|---------------------|--------------------------|
| Wells Fargo Advisors 401(k) ⇒ American Funds EuroPacific Growth Fund Class F-2 (AEPFX) (EIF) [MF] | | 09/13/2017 | S (partial) | \$15,001 - \$50,000 | <input type="checkbox"/> |
| Wells Fargo Advisors 401(k) ⇒ American Funds EuroPacific Growth Fund Class F-2 (AEPFX) (EIF) [MF] | | 09/13/2017 | S (partial) | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Wells Fargo Advisors 401(k) ⇒ Baron Invst Funds Trust Small Cap Fund (BSFIX) (EIF) [MF] | | 09/13/2017 | P | \$15,001 - \$50,000 | |
| Wells Fargo Advisors 401(k) ⇒ Deutsche Global Real Estate Securities Fund Institutional Class (RRGIX) (EIF) [MF] | | 09/13/2017 | S | \$15,001 - \$50,000 | <input type="checkbox"/> |
| Wells Fargo Advisors 401(k) ⇒ Edgewood Growth Fund Class Institutional (EGFIX) (EIF) [MF] | | 09/13/2017 | S (partial) | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Wells Fargo Advisors 401(k) ⇒ Franklin Small Cap Value Adv (FVADX) (EIF) [MF] | | 09/13/2017 | S | \$15,001 - \$50,000 | <input type="checkbox"/> |
| Wells Fargo Advisors 401(k) ⇒ Goldman Sachs FS Treasury Instruments Fund (FTIXX) (EIF) [MF] | | 09/14/2017 | P | \$1,001 - \$15,000 | |
| Wells Fargo Advisors 401(k) ⇒ Harbor FD CAP APPRECIATION FD INSTL CL (HACAX) (EIF) [MF] | | 09/13/2017 | P | \$1,001 - \$15,000 | |
| Wells Fargo Advisors 401(k) ⇒ HARBOR FD INTL FD INSTL CL (HAINX) (EIF) [MF] | | 09/13/2017 | P | \$1,001 - \$15,000 | |
| Wells Fargo Advisors 401(k) ⇒ Janus INVT FD FLEXIBLE BD FD CLASS 1 (JFLEX) (EIF) | | 09/13/2017 | P | \$1,001 - \$15,000 | |

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > \$200? |
|---|-------|------------|----------------|---------------------|--------------------------|
| [MF] | | | | | |
| Wells Fargo Advisors 401(k) ⇒ Lazard Emerging Markets Equity Portfolio Institutional Shares (LZEMX) (EIF) [MF] | | 09/13/2017 | S (partial) | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Wells Fargo Advisors 401(k) ⇒ MFS SER TR 1 VALUE FD (MEIIX) (EIF) [MF] | | 09/13/2017 | P | \$1,001 - \$15,000 | |
| Wells Fargo Advisors 401(k) ⇒ Principal Funds Inc Global Real Estate (POSIX) (EIF) [MF] | | 09/13/2017 | P | \$15,001 - \$50,000 | |
| Wells Fargo Advisors 401(k) ⇒ RIDGEWORTH FUNDS CEREDX MID CAP VALUE EQUITY FUND CLASS 1 (SMVTX) (EIF) [MF] | | 09/13/2017 | P | \$1,001 - \$15,000 | |
| Wells Fargo Advisors 401(k) ⇒ RS Small Cap Growth Fund Class Y (RSYEX) (EIF) [MF] | | 09/13/2017 | S | \$15,001 - \$50,000 | <input type="checkbox"/> |
| Wells Fargo Advisors 401(k) ⇒ Victory Sycamore Small Co Oppty (VSOIX) (EIF) [MF] | | 09/13/2017 | P | \$15,001 - \$50,000 | |
| Wells Fargo Advisors 401(k) ⇒ VITRUS OPPORTUNITIES TR EMERGING MKTS OPPTYS FD CL 1 (HIEMX) (EIF) [MF] | | 09/13/2017 | S (partial) | \$1,001 - \$15,000 | <input type="checkbox"/> |

* 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 |
|--|---------------------|------------|
| California Public Employees Retirement Systems | Legislative Pension | \$3,958.00 |
| California Legislator Retirement System | Legislative Pension | \$9,691.00 |

SCHEDULE D: LIABILITIES

| Owner | Creditor | Date Incurred | Type | Amount of Liability |
|-------|---------------------------|---------------|--------------------------------------|-----------------------|
| | The National Capital Bank | July 2006 | Mortgage on Washington D.C. property | \$250,001 - \$500,000 |
| | Wells Fargo Home Mortgage | Oct 2017 | Mortgage on personal residences | \$250,001 - \$500,000 |

| Owner | Creditor | Date Incurred | Type | Amount of Liability |
|-------|----------|---------------|------|---------------------|
| | | | | |

SCHEDULE E: POSITIONS

| Position | Name of Organization |
|--|--|
| Board Member COMMENTS: Not compensated | The Maddy Institute, CA State University, Fresno |
| Advisory Council Member COMMENTS: Not compensated | The Congressional Hispanic Caucus Institute |

SCHEDULE F: AGREEMENTS

| Date | Parties To | Terms of Agreement |
|--------------|---|----------------------------|
| January 2005 | Myself & California Public Employees Retirement Systems | Pension Plan Participation |
| January 2003 | Myself & California Legislator Retirement Systems | Pension Plan Participation |

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? |
| Center Forward | 03/24/2017 | 03/25/2017 | Washington DC - Middleburg, VA - Washington DC | 0 | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| Luso-American Development Foundation | 04/20/2017 | 04/23/2017 | Fresno, CA - Lisbon, Portugal - 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

| |
|---|
| <ul style="list-style-type: none"> Wells Fargo Advisors 401(k) |
|---|

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. Jim Costa , 05/15/2018