

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (last name, first, middle initial) Fitzsimmons, Holly B.	2. Court or Organization U.S.D.C., Connecticut	3. Date of Report 07/24/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge (full-time)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address U.S.District Court 915 Lafayette Blvd Bridgeport, CT 06604		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.		
2.	Executor	2 estates
3.	President	Raymond E. Baldwin Inn of Court
4.		
5.		

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ NONE (No reportable agreements.)

	<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.		
2.		
3.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 8

Name of Person Reporting

Fitzsimmons, Holly B.

Date of Report

07/24/2014

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***A. Filer's Non-Investment Income**☐ NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. spring2013	Teaching, Yale Law School	\$1,850.00
2.		
3.		
4.		

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*☐ NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. annual	self-employment as a writer; royalties on previously published works
2.	
3.	
4.	

IV. REIMBURSEMENTS *— transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*☐ NONE *(No reportable reimbursements.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. Practicing Law Institute (PLI)	5/20/2013	New York City	teach at CLE for attorneys	transportation, meals
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 8

Name of Person Reporting
Fitzsimmons, Holly B.

Date of Report
07/24/2014

V. GIFTS. (Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)

☒ NONE (No reportable gifts.)

SOURCE	DESCRIPTION	VALUE
1.		
2.		
3.		
4.		
5.		

VI. LIABILITIES. (Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)

☒ NONE (No reportable liabilities.)

CREDITOR	DESCRIPTION	VALUE CODE
1.		
2.		
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 8

Name of Person Reporting

Fitzsimmons, Holly B.

Date of Report

07/24/2014

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. ATT common stock	A	Dividend	J	T					
2. FLR common stock	A	Dividend	J	T					
3. WGO common stock	A	Dividend	J	T					
4. WBS common stock	A	Dividend	J	T					
5. TD Bank North account	A	Interest	K	T					
6. Citizens Bank acct	A	Interest	J	T					
7.									
8. Newtown Savings Bank accts (checking and savings)	A	Interest	K	T					
9. 3 Rental units, [REDACTED]	E	Rent	M	W					
10. Ameriprise One acct (lines 11-12) (H)									
11. --ATT common stock	D	Dividend	M	T					
12. --Ameriprise Insured Money Market fund	A	Interest	J	T					
13. 2 Roth IRAs, see lines 18 et seq.	A	Interest	L	T					
14. RiverSource Life Ins. Co. (lines 15-16) (H)									
15. --RVS Retirement Advantage Plus VA, VP moderate		None	M	T					
16. --2 IRAs (same type as line 15 but VP moderate aggressive)		None	L	T					
17.									

1. Income Gain Codes: (See Columns B1 and D4)	A ~\$1,000 or less F ~\$50,001 - \$100,000	B ~\$1,001 - \$2,500 G ~\$100,001 - \$1,000,000	C ~\$2,501 - \$5,000 H ~\$1,000,001 - \$5,000,000	D ~\$5,001 - \$15,000 H2 ~More than \$5,000,000	E ~\$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J ~\$15,000 or less N ~\$250,001 - \$500,000 P3 ~\$25,000,001 - \$50,000,000	K ~\$15,001 - \$50,000 O ~\$500,001 - \$1,000,000	L ~\$50,001 - \$100,000 P1 ~\$1,000,001 - \$5,000,000 P4 ~More than \$5,000,000	M ~\$100,001 - \$250,000 P2 ~\$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q ~Appraisal U ~Book Value	R ~Cost (Real Estate Only) V ~Other	S ~Assessment W ~Estimated	T ~Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 5 of 8

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Fitzsimmons, Holly B.

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18. Roth #1 Ameriprise Trust Co. (H)									
19. ---CAT common stock	A	Dividend	J	T	Buy	6/11/13	J		
20. ---DIS common stock	A	Dividend	K	T	Buy	6/10/13	K		
21. --XLP SPDR ETF	A	Dividend	J	T	Buy	6/12/13	J		
22. ---XLU SPDR ETF	A	Dividend	J	T	Buy	6/13/13	J		
23. ---XLV SPDR ETF	A	Dividend	J	T	Buy	6/14/13	J		
24. Roth # 2 Ameriprise Trust Co. Active DF Mod. Aggressive (H)									
25. ---EMGAX		None	J	T	Buy	6/10/13	J		
26. ---PEEAX	A	Dividend	J	T	Buy	6/10/13	J		
27. ---PURAX	A	Dividend	J	T	Buy	6/10/13	J		
28. ---OIGAX	A	Dividend	J	T	Buy	6/10/13	J		
29. ---MEIAX	A	Dividend	J	T	Buy	6/10/13	J		
30. ---MGIAX	A	Dividend	J	T	Buy	6/10/13	J		
31. ---MEDAX	A	Dividend	J	T	Buy	6/10/13	J		
32. ---JDGAX		None			Buy	6/10/13	J		
33.					Sold	7/16/13	J	A	
34. ---GCMAX		None	J	T	Buy	6/10/13	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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FINANCIAL DISCLOSURE REPORT

Page 6 of 8

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Fitzsimmons, Holly B.

Date of Report

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35. ---GSCAX		None	J	T	Buy	6/10/13	J		
36. ---AIOAX		None	J	T	Buy	6/10/13	J		
37. ---CSLGX		None	J	T	Buy	6/10/13	J		
38. ---CDEIX	A	Dividend	J	T	Buy	6/10/13	J		
39. ---BHYAX	A	Dividend	J	T	Buy	6/10/13	J		
40. ---CSCEX	A	Dividend	J	T	Buy	6/10/13	J		
41. ---CMCPX		None	J	T	Buy	6/10/13	J		
42.					Sold (part)	8/14/13	J	A	
43. ---OLGAX		None	J	T	Buy	7/16/13	J		
44. ---JSOAX		None	J	T	Buy	8/14/13	J		
45.									

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FINANCIAL DISCLOSURE REPORT

Page 7 of 8

Name of Person Reporting

Fitzsimmons, Holly B.

Date of Report

07/24/2014

VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Part I. As previously indicated, the only remaining assets of the 2 estates are U.S. savings bonds. The total interest income generated annually does not reach the reporting threshold; the aggregate value is J, but no individual bond has a value that reaches the reporting threshold.

Part VII The listing of assets held through various Ameriprise entities (lines 10 through 16) had been organized under two headings, the Ameriprise One account (lines 10-12); and RiverSource Life Insurance Company (lines 14-16).

Newly acquired assets for the two Roth IRAs listed last year on line 13 are now listed on lines 18-44. All the listed assets for Roth #2 are funds selected by a portfolio manager without input from the account holder.

Line 12. These AIMMA funds are held by Ameriprise at American Express Centurion Bank and at Amex Bank, NY Community Bank, Capital One Bank, Ameriprise Bank and SunTrust. I have no input into where the funds are deposited.

Lines 15 and 16. These are variable annuities which do not generate "income" but increase (or decrease) in value depending on investment performance. Both the annuity listed on Line 15 and the two IRA annuities listed on Line 16 increased in value in 2013; the gain in value for the former was D; for the latter combined, also D.

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

Fitzsimmons, Holly B.

Date of Report

07/24/2014

IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: s/ **Holly B. Fitzsimmons**

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
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Washington, D.C. 20544