

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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 08/02/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge (recalled fulltime)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
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.		
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.		

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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.)*DATESOURCE AND TYPEINCOME
(yours, not spouse's)

1. _____

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.)*DATESOURCE AND TYPE

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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. _____

2. _____

3. _____

4. _____

5. _____

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

1.

2.

3.

4.

5.

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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			Donated				
2. FLR common stock	A	Dividend			Donated				
3. WGO common stock (see Part VIII)		None							
4. WBS common stock	A	Dividend	J	T	Donated (part)				
5. TD Bank North account	A	Interest	K	T					
6.									
7. Sikorsky FCU account	A	Interest	J	T					
8. Newtown Savings Bank accts (checking and savings)	A	Interest	K	T					
9. 3 Rental units, [REDACTED] (1 location)	D	Rent	M	W					
10.									
11. Ameriprise One acct (lines 11-12) (H)									
12. --ATT common stock	C	Dividend	L	T	Donated (part)				
13. --Ameriprise Insured Money Market fund (AIMMA)	A	Interest	M	T					
14.									
15. 4 IRAs, see lines 21 et seq. -cash portion in AIMMA	A	Interest	L	T					
16.									
17. RiverSource Life Ins. Co. (lines 18-19) (H)									

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	
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	

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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 I (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)

18. --RVS Retirement Advantage Plus VA, VP moderate		None			Closed	4/28/16	M	E	
19. --2 IRAs (same type as line 18 but VP moderate aggressive)-roll over		None			Closed	02/11/16	L	E	
20.									
21. Roth #1 Ameriprise Trust Co. (H)									
22. ---CAT common stock	A	Dividend	J	T					
23. ---DIS common stock	A	Dividend	K	T					
24. --XLP SPDR ETF	A	Dividend	J	T					
25. ---XLU SPDR ETF	A	Dividend	J	T					
26. ---XLV SPDR ETF	A	Dividend	J	T					
27. --CASY common stock	A	Dividend	J	T	Buy	3/11/16	J		
28. --GNTX common stock	A	Dividend	K	T	Buy	03/10/16	J		
29. --GILD common stock	A	Dividend	J	T	Buy	08/18/16	J		
30. --OAK common stock	A	Dividend	J	T	Buy	08/18/16	J		
31. --OKE common stock	A	Dividend	J	T	Buy	03/22/16	J		
32. --PAG common stock	A	Dividend	J	T	Buy	08/18/16	J		
33. Roth # 2 Ameriprise Trust Co. (H)									
34. -AAPL	A	Dividend	K	T	Buy (add'l)	01/27/16	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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35. --SE	A	Dividend	K	T					
36. --TSLA		None	J	T					
37. --TGH	A	Dividend	J	T					
38. --VA		None			Sold	12/15/16	J	D	
39. --GOOGL		None	J	T	Buy	01/27/16	J		
40. --SAM		None	J	T	Buy	01/28/16	J		
41. --GPT	A	Dividend	J	T	Buy	01/28/16	J		
42. --SE	A	Dividend	J	T	Buy	01/28/16	J		
43.									
44. IRA #3 (H)									
45. surrender variable annuity formerly line 16 & rollover to new IRA					Open	02/11/16	K	D	
46. --SCTY common stock		None			Buy	03/08/16	J		
47. --TSLA		None	J	T	Merged (with line 46)	11/28/16	J		
48.									
49. IRA #4 (H)									
50. surrender variable annuity(line 16 in 2015 rpt) & rollover to new IRA					Open	02/11/16	K	D	
51. --GOOG		None	J	T	Buy	03/10/16	J		

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52. --BRK-B		None	K	T	Buy	03/10/16	K		
53. --BABY		None	J	T	Buy	03/10/16	J		
54. --TRIP		None	J	T	Buy	04/11/16	J		
55. --AHS		None	J	T	Buy	08/18/16	J		
56. --ENSG	A	Dividend	J	T	Buy	08/18/16	J		
57. --EGOV	A	Dividend	J	T	Buy	08/18/16	J		
58. --SHOP			J	T	Buy	08/18/16	J		
59. --ILMN			J	T	Buy	08/18/16	J		
60.									
61.									
62.									
63.									
64.									
65.									

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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 11 through 59) has been organized under the following headings, the Ameriprise One account (lines 11-13); RiverSource Life Insurance Company (lines 17-19), IRAs 1-4, and noncash assets for four IRAs first mentioned on line 15 (lines 21-59).

The three Riversource variable annuities, 2 of which were held in IRAs and reported for 2015 at lines 15 and 16, were all surrendered in 2016; the cash from the non-IRA variable annuity went into the Ameriprise One account; and the cash from the IRA annuities was rolled over into IRAs ## 3 and 4.

Lines 18 19, 45, 50.. The "gain" from each listed in column D is the amount by which the variable annuity increased in value from its purchase to the surrender date. Line 19, column D, is the total of Lines 45 & 50, column D.

Lines 13,15. These AIMMA funds hold the cash portion of the Ameriprise One account and the cash portions of the four IRAs. AIMMA funds were deposited by Ameriprise in 2016 at First TN Bank, Wells Fargo, and US Bank. I had no input into where the funds were deposited.

Part VII, line 3. This stock was apparently surrendered tby WGO to the State of Connecticut, which sold it and is holding the proceeds. I do not yet have information about when this occurred or how much the proceeds were.

Part VII, lines 46-47. TSLA stock listed on line 47 was acquired in exchange for SCTY stock listed on line 46, when TSLA acquired SCTY.

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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