

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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 5/10/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge (recalled)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2015 to 12/31/2015
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 (until June 2015)	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.		

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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.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.	Connecticut Bar Association Federal Practice Section & Federal Bar Council	Reception in honor of retirement	
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*☒NONE *(No reportable liabilities.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
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	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.									
7. Sikorsky FCU account	A	Interest	J	T					
8. Newtown Savings Bank accts (checking and savings)	A	Interest	K	T					
9. 3 Rental units (location)	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 (AIMMA)	A	Interest	J	T					
13. 2 Roth IRAs, see lines 18 et seq. -cash portion in AIMMA	A	Interest	K	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 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 \$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	

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☐ 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 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. Roth #1 Ameriprise Trust Co. (H)									
19. ---CAT common stock	A	Dividend	J	T					
20. ---DIS common stock	A	Dividend	K	T	Buy (add'l)	8/26/15	J		
21. --XLP SPDR ETF	A	Dividend	J	T					
22. ---XLU SPDR ETF	A	Dividend	J	T					
23. ---XLV SPDR ETF	A	Dividend	J	T					
24. Roth # 2 Ameriprise Trust Co. (H)									
25. --AAPL	A	Dividend	J	T	Buy	09/01/15	J		
26. --SE	A	Dividend	J	T	Buy	09/01/15	J		
27. --TSLA		None	J	T	Buy	09/01/15	J		
28. --TGH	A	Dividend	J	T	Buy	09/01/15	J		
29. --VA		None	J	T	Buy	09/01/15	J		
30.									
31.									
32.									
33.									
34.									

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	N = \$250,001 - \$500,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000	R = Cost (Real Estate Only)	P4 = More than \$50,000,000	S = Assessment	T = Cash Market
(See Column C2)	Q = Appraisal	V = Other		W = Estimated	
	U = Book Value				

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35.									
36.								A	
37.									
38.									
39.									
40.									
41.									
42.									
43.									
44.									
45.									
46.									

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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 10 through 46) has been organized under three headings, the Ameriprise One account (lines 10-12); RiverSource Life Insurance Company (lines 14-16), and noncash assets for the two Roth IRAs first mentioned on line 13 (lines 18-45)

Lines 12,13. 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 decreased in value in 2015.

Part V. The Federal Practice Section of the Connecticut Bar Association and the Federal Bar Council combined to sponsor a reception in honor of my retirement. I do not know what it cost or what those attending paid to attend. In connection with that event, I was given as a gift a set of Bose noise-canceling headphones, the value of which was below the reporting threshold.

Also in connection with that reception, my past and present lawclerks combined to give me the services of a photographer for 2 hours and, subsequently, a flashdrive containing all the photos taken at the event. I do not know the value of that gift, which clerks contributed or how much.

On my last day of work, I was given a number of individual gifts from court personnel and lawyers, including flowers, a vase, and a bottle of champagne, none of which individually met the reporting threshold.

At its summer meeting, when I retired from the presidency of the Raymond Baldwin Inn of Court, the Inn gave me flowers, and a UConn Huskies national championship t-shirt and fleece, all of which aggregated did not meet the reporting threshold.

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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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