

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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

|                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                          |                                                                  |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting</b> (last name, first, middle initial)<br><br>Fitzsimmons, Holly B.                                                                                                                | <b>2. Court or Organization</b><br><br>U.S.D.C., Connecticut                                                                                                                                                                                                                             | <b>3. Date of Report</b><br><br>07/28/2015                       |
| <b>4. Title</b> (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)<br><br>Magistrate Judge (full-time)                                                  | <b>5a. Report Type</b> (check appropriate type)<br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final<br><b>5b.</b> <input type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br><br>01/01/2014<br>to<br>12/31/2014 |
| <b>7. Chambers or Office Address</b><br><br>U.S. District Court<br>915 Lafayette Blvd<br>Bridgeport, CT 06604                                                                                             |                                                                                                                                                                                                                                                                                          |                                                                  |
| <p align="center"><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</p> |                                                                                                                                                                                                                                                                                          |                                                                  |

## 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. |             |                          |

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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. |               |                    |              |
| 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. | Ameriprise World MasterCard | credit card        | J                 |
| 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>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                                      |                                                 |                                           | Closed                                          | 8/1/14                  |                                 |                                |                                                                   |
| 7. Sikorsky FCU account                                                                                                     | A                                       | Interest                                      | J                                               | T                                         | Open                                            | 06/30/14                |                                 |                                |                                                                   |
| 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 (AIMMA)                                                                          | A                                       | Interest                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 13. 2 Roth IRAs, see lines 18 et seq. -cash portion in AIMMA                                                                | 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:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                  | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$250,000.01 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$5,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                          | T = Cash Market                                              |                         |

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Name of Person Reporting

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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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code I<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                       |   |          |   |   |                |          |   |   |  |
|---------------------------------------|---|----------|---|---|----------------|----------|---|---|--|
| 18. Roth #1 Ameriprise Trust Co. (H)  |   |          |   |   |                |          |   |   |  |
| 19. ---CAT common stock               | A | Dividend | J | T | Buy<br>(add'l) | 10/31/14 | J |   |  |
| 20. ---DIS common stock               | A | Dividend | K | T |                |          |   |   |  |
| 21. --XLP SPDR ETF                    | A | Dividend | J | T | Buy<br>(add'l) | 10/31/14 | J |   |  |
| 22. ---XLU SPDR ETF                   | A | Dividend | J | T | Buy<br>(add'l) | 10/31/14 | J |   |  |
| 23. ---XLV SPDR ETF                   | A | Dividend | J | T |                |          |   |   |  |
| 24. Roth # 2 Ameriprise Trust Co. (H) | B | Dividend | L | T | Sold           |          | L | D |  |
| 25. ---EMGAX                          |   | None     |   |   | Sold           | 11/21/14 | J | A |  |
| 26. ---PEEAX                          | A | Dividend |   |   | Sold           | 11/21/14 | J | A |  |
| 27. ---PURAX                          | A | Dividend |   |   | Sold           | 11/21/14 | J | A |  |
| 28. ---OIGAX                          | A | Dividend |   |   | Sold           | 11/21/14 | J | A |  |
| 29. ---MEIAX                          | A | Dividend |   |   | Sold           | 11/21/14 | J | B |  |
| 30. ---MGIAX                          | A | Dividend |   |   | Sold           | 11/21/14 | J | A |  |
| 31. ---MEDAX                          | A | Dividend |   |   | Sold           | 11/21/14 | J | A |  |
| 32.                                   |   |          |   |   |                |          |   |   |  |
| 33.                                   |   |          |   |   |                |          |   |   |  |
| 34. ---GCMAX                          |   | None     |   |   | Sold           | 10/14/14 | J | A |  |

|                         |                                  |                             |                                |                                 |                         |
|-------------------------|----------------------------------|-----------------------------|--------------------------------|---------------------------------|-------------------------|
| 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 |                         |
|                         | P3 = \$25,000,001 - \$50,000,000 |                             | P4 = More than \$50,000,000    |                                 |                         |
| 3. Value Method Codes   | Q = Appraisal                    | R = Cost (Real Estate Only) | S = Assessment                 | T = Cash Market                 |                         |
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|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|              |   |              |  |  |                |          |   |   |  |
|--------------|---|--------------|--|--|----------------|----------|---|---|--|
| 35. ---GSCAX |   | None         |  |  | Sold           | 04/16/14 | J | A |  |
| 36. ---AIOAX |   | None         |  |  | Sold           | 11/21/14 | J | A |  |
| 37. ---CSLGX | A | Distribution |  |  | Sold           | 11/21/14 | J | B |  |
| 38. ---CDEIX | A | Dividend     |  |  | Sold           | 11/21/14 | J | A |  |
| 39. ---BHYAX | A | Dividend     |  |  | Sold           | 11/21/14 | J | A |  |
| 40. ---CSCEX | A | Dividend     |  |  | Sold           | 11/21/14 | J | A |  |
| 41. ---CMCPX |   | None         |  |  | Buy<br>(add'l) |          | J |   |  |
| 42.          |   |              |  |  | Sold           | 11/21/14 | J | A |  |
| 43. ---OLGAX |   | None         |  |  | Sold           | 11/21/14 | J | A |  |
| 44. ---JSOAX |   | None         |  |  | Sold           | 11/21/14 | J | A |  |
| 45. --WFPAX  |   | None         |  |  | Buy            | 10/14/14 | J |   |  |
| 46.          |   |              |  |  | Sold           | 11/21/14 | J | A |  |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|-------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
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| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$50,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                           | T = Cash Market                                              |                         |

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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). All the noncash assets for Roth IRA #2, funds selected by a portfolio manager for the Active DF Mod. Aggressive portfolio without input from the account holder, were sold in 2014; the cash holdings of Roth #2 are combined with the cash holdings of Roth #1 on Line 13 to reflect the cash held by the two Roths in AIMMA at the close of 2014.

Aggregate gain and aggregate income figures for Roth #2 for 2014 are included in the header (Line 24). There were a number of transactions in this account conducted in 2014 but not reported because they did not reach the reporting threshold. For OIGAX (line 28) there was a reportable "buy addl" on 4/16 slightly above the threshold.

For CMPCX, the reportable "Buy Addl" on line 41 covered two dates, 4/21 and 7/11. The header also reflects the aggregate value of the portfolio at the time its assets were all sold; by the end of the reporting period, Roth #2 contained only cash, the value of which is included on line 13.

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 increased in value in 2014; the gain in value for the former was D; for the latter combined, C.

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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  
Suite 2-301  
One Columbus Circle, N.E.  
Washington, D.C. 20544