

UNITED STATES HOUSE OF REPRESENTATIVES CALENDAR YEAR 2011 FINANCIAL DISCLOSURE STATEMENT

FORM A
For use by Members, officers, and employees

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**HAND
DELIVERED**

LEGISLATIVE RESOURCE CENTER

Henry A. Waxman

202-225-3976

2012 MAY 15 AM 9:39

(Full Name)

(Daytime Telephone)

(Office Use Only)

Filer Status

☒ Member of the U.S. House of Representatives

State: CA
District: 30

☐ Officer Or Employee

Employing Office:

U.S. HOUSE OF REPRESENTATIVES
A \$200 penalty shall be assessed against anyone who files more than 30 days late.

Report Type

☒ Annual (May 15)

☐ Amendment

☐ Termination

Termination Date:

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

| | | | |
|--|---|--|---|
| I. Did you or your spouse have "earned" income (e.g., salaries or fees) of \$200 or more from any source in the reporting period? If yes, complete and attach Schedule I. | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> | VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than \$350 and not otherwise exempt)? If yes, complete and attach Schedule VI. | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> |
| II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If yes, complete and attach Schedule II. | Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> | VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than \$350 from one source)? If yes, complete and attach Schedule VII. | Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> |
| III. Did you, your spouse, or a dependent child receive "unearned" income of more than \$200 in the reporting period or hold any reportable asset worth more than \$1,000 at the end of the period? If yes, complete and attach Schedule III. | Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> | VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? If yes, complete and attach Schedule VIII. | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> |
| IV. Did you, your spouse, or a dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding \$1,000 during the reporting period? If yes, complete and attach Schedule IV. | Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> | IX. Did you have any reportable agreement or arrangement with an outside entity? If yes, complete and attach Schedule IX. | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> |
| V. Did you, your spouse, or a dependent child have any reportable liability (more than \$10,000) during the reporting period? If yes, complete and attach Schedule V. | Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> | Each question in this part must be answered and the appropriate schedule attached for each "Yes" response. | |

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

| | |
|--|---|
| 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 <input type="checkbox"/> No <input checked="" type="checkbox"/> |
| Exemptions- 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? Do not answer "yes" unless you have first consulted with the Committee on Ethics. | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> |

SCHEDULE II - PAYMENTS MADE TO CHARITY IN LIEU OF HONORARIA

Name Henry A. Waxman

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List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Ethics. A green envelope for transmitting the list is included in each Member's filing package. Employees may request a green envelope from the Clerk or use a plain envelope that is appropriately labeled.

| Source | Activity | Date | Amount |
|---|--------------|---------------|---------|
| World Generics Medicines Congress, London England | Video Speech | Feb. 24, 2011 | \$2,000 |
| World Research Group, Washington D.C. | Speech | Mar. 1, 2011 | \$2,000 |
| Global Energy and Materials McKinsey & Company, Washington D.C. | Speech | Mar. 14, 2011 | \$2,000 |
| Bertelsmann Foundation, Washington D.C. | Speech | Apr. 14, 2011 | \$2,000 |
| World Generic Medicines Congress, Washington D.C. | Speech | Nov. 16, 2011 | \$2,000 |

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Henry A. Waxman

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| BLOCK A Asset and/or Income Source Identify (a) each asset held for investment or production of income with a fair market value exceeding \$1,000 at the end of the reporting period, and (b) any other reportable asset or source of income which generated more than \$200 in "unearned" income during the year. Provide complete names of stocks and mutual funds (do not use ticker symbols.) For all IRAs and other retirement plans (such as 401(k) plans) that are self-directed (i.e., plans in which you have the power, even if not exercised, to select the specific investments), provide the value for each asset held in the account that exceeds the reporting thresholds. For retirement accounts which are not self-directed, provide only the name of the institution holding the account and its value at the end of the reporting period. For rental or other real property held for investment, provide a complete address. For an ownership interest in a privately-held business that is not publicly traded, state the name of the business, the nature of its activities, and its geographic location in Block A. Exclude: Your personal residence, including second homes and vacation homes (unless there was rental income during the reporting period); any deposits totaling \$5,000 or less in a personal checking or saving accounts; and any financial interest in, or income derived from, a federal retirement program, including the Thrift Savings Plan. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC), or is jointly held with your spouse (JT), in the optional column on the far left. | BLOCK B Year-End Value of Asset At close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None." | BLOCK C Type of Income Check all columns that apply. For retirement accounts that do not allow you to choose specific investments or that generate tax-deferred income (such as 401(k) plans or IRAs), you may check the "None" column. Dividends, interest, and capital gains, even if reinvested, must be disclosed as income. Check "None" if the asset generated no income during the reporting period. | BLOCK D Amount of Income For retirement accounts that do not allow you to choose specific investments or that generate tax-deferred income (such as 401(k) plans or IRAs), you may check the "None" column. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, interest, and capital gains, even if reinvested, must be disclosed as income. Check "None" if no income was earned or generated. | BLOCK E Transaction Indicate if asset had purchases (P), sales (S), or exchanges (E) exceeding \$1,000 in reporting year. |
|--|--|---|--|---|
| Vanguard REIT Index Fund (IRA) | \$100,001 - \$250,000 | DIVIDENDS | \$5,001 - \$15,000 | S(part) |
| Vanguard Mid-Cap Index Fund (IRA) | \$100,001 - \$250,000 | DIVIDENDS | \$1,001 - \$2,500 | S(part) |
| Vanguard Inflation-Protected Securities Fund (IRA) | \$15,001 - \$50,000 | DIVIDENDS | \$1,001 - \$2,500 | |
| Vanguard Total Bond Market Index Fund (IRA) | \$15,001 - \$50,000 | DIVIDENDS | \$201 - \$1,000 | |
| Vanguard Global ex-U.S. Real Estate Index Fund (IRA) | \$15,001 - \$50,000 | DIVIDENDS | \$1,001 - \$2,500 | P |
| Vanguard Prime Money Market Fund (IRA) | \$1 - \$1,000 | DIVIDENDS | \$1 - \$200 | |

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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| | | | | | |
|----|---|-----------------------|------------------|--------------------|----------|
| | Vanguard Total Bond Market (Roth IRA) | \$15,001 - \$50,000 | DIVIDENDS | \$201 - \$1,000 | |
| JT | Vanguard Emerging Markets Stock Index Fund | \$50,001 - \$100,000 | DIVIDENDS | \$5,001 - \$15,000 | S(part) |
| JT | Vanguard Tax-Managed International Fund | \$50,001 - \$100,000 | DIVIDENDS | \$2,501 - \$5,000 | PS(part) |
| JT | Vanguard Extended Market Index Fund | \$100,001 - \$250,000 | DIVIDENDS | \$1,001 - \$2,500 | P |
| JT | Vanguard Pacific Stock Index Fund | \$15,001 - \$50,000 | DIVIDENDS | \$2,501 - \$5,000 | P |
| JT | Vanguard European Stock Index Fund | \$15,001 - \$50,000 | DIVIDENDS | \$201 - \$1,000 | |
| JT | Vanguard Prime Money Market Fund | \$1,001 - \$15,000 | DIVIDENDS | \$201 - \$1,000 | |
| JT | State of Israel Bonds | \$1,001 - \$15,000 | DIVIDENDS | \$201 - \$1,000 | |
| SP | Vanguard Small-Cap Index (IRA) | \$15,001 - \$50,000 | DIVIDENDS | \$201 - \$1,000 | |
| SP | Vanguard Inflation Protection Securities (IRA) | \$15,001 - \$50,000 | DIVIDENDS | \$201 - \$1,000 | P |
| SP | Vanguard Inflation Protection Securities (Roth IRA) | \$1,001 - \$15,000 | DIVIDENDS | \$201 - \$1,000 | |
| | CALPERS (CA State Retirement) | None | Other: (Annuity) | \$5,001 - \$15,000 | |
| | Vanguard 529 Plan Account #2 | \$15,001 - \$50,000 | DIVIDENDS | \$201 - \$1,000 | P |
| | Vanguard 529 Plan Account #3 | \$15,001 - \$50,000 | DIVIDENDS | \$201 - \$1,000 | P |

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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|----|------------------------------|-----------------------|-----------|-------------------|----------|
| | Vanguard 529 Plan Account #1 | \$1,001 - \$15,000 | DIVIDENDS | \$201 - \$1,000 | P |
| JT | Vanguard 500 Index Fund | \$100,001 - \$250,000 | DIVIDENDS | \$2,501 - \$5,000 | PS(part) |

SCHEDULE IV - TRANSACTIONS

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Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Provide a brief description of any exchange transaction. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below.

| SP, DC, JT | Asset | Type of Transaction | Capital Gain in Excess of \$200? | Date | Amount of Transaction |
|------------------|--|------------------------|---|----------|-----------------------|
| JT | Vanguard 500 Index Fund | S(part) | N/A | 09-22-11 | \$1,001 - \$15,000 |
| JT | Vanguard 500 Index Fund | S(part) | N/A | 12-22-11 | \$1,001 - \$15,000 |
| JT | Vanguard 500 Index Fund | P | N/A | 01-07-11 | \$1,001 - \$15,000 |
| | Vanguard 529 Plan Account #1 | P | N/A | Monthly | \$1,001 - \$15,000 |
| | Vanguard 529 Plan Account #2 | P | N/A | Monthly | \$1,001 - \$15,000 |
| | Vanguard 529 Plan Account #3 | P | N/A | Monthly | \$1,001 - \$15,000 |
| JT | Vanguard Emerging Markets Stock Index Fund | S(part) | N/A | 12-20-11 | \$1,001 - \$15,000 |
| | Vanguard Global ex-U.S. Real Estate Index Fund (IRA) | P | N/A | 02-07-11 | \$15,001 - \$50,000 |
| | Vanguard Global ex-U.S. Real Estate Index Fund (IRA) | P | N/A | 04-01-11 | \$1,001 - \$15,000 |
| | Vanguard Global ex-U.S. Real Estate Index Fund (IRA) | P | N/A | 02-15-11 | \$1,001 - \$15,000 |
| SP | Vanguard Inflation Protection Securities (IRA) | P | N/A | Monthly | \$1,001 - \$15,000 |

SCHEDULE IV - TRANSACTIONS

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Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Provide a brief description of any exchange transaction. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below.

| SP, DC, JT | Asset | Type of Transaction | Capital Gain in Excess of \$200? | Date | Amount of Transaction |
|------------------|---|------------------------|---|----------|-----------------------|
| | Vanguard Mid-Cap Index Fund (IRA) | S(part) | N/A | Monthly | \$1,001 - \$15,000 |
| | Vanguard Mid-Cap Index Fund (IRA) | S(part) | N/A | 02-07-11 | \$1,001 - \$15,000 |
| JT | Vanguard Pacific Stock Index Fund (IRA) | P | N/A | 03-15-11 | \$1,001 - \$15,000 |
| | Vanguard REIT Index Fund (IRA) | S(part) | N/A | 02-07-11 | \$1,001 - \$15,000 |
| | Vanguard REIT Index Fund (IRA) | S(part) | N/A | 02-15-11 | \$1,001 - \$15,000 |
| | Vanguard REIT Index Fund (IRA) | S(part) | N/A | 04-01-11 | \$1,001 - \$15,000 |
| | Vanguard REIT Index Fund (IRA) | S(part) | N/A | Monthly | \$1,001 - \$15,000 |
| JT | Vanguard Tax-Managed International Fund | S(part) | N/A | 12-20-11 | \$1,001 - \$15,000 |
| | Vanguard Tax-Managed International Fund | P | N/A | Monthly | \$1,001 - \$15,000 |
| JT | Vanguard Tax-Managed International Fund | P | N/A | 02-15-11 | \$1,001 - \$15,000 |
| JT | Vanguard Extended Market Fund | P | N/A | Monthly | \$1,001 - \$15,000 |

SCHEDULE V - LIABILITIES

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Report liabilities of over \$10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless all or part of it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report "revolving charge accounts" (i.e., credit cards) only if the balance at the close of the preceding calendar year exceeded \$10,000. NOTE: Pending legislation may require Members to report mortgages on personal residences.

| SP, DC, JT | Creditor | Date Liability Incurred | Type of Liability | Amount of Liability |
|------------------|------------|-------------------------------|------------------------------------|-----------------------|
| JT | Chase Bank | existing home mortgage | 6913 Ayr Lane Bethesda MD 20817 | \$100,001 - \$250,000 |

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

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Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totaling more than \$350 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

| Source | Date(s) | Point of Departure-- Destination--Point of Return | Lodging? (Y/N) | Food? (Y/N) | Was a Family Member Included? (Y/N) | Days not at sponsor's expense |
|--|----------------------|---|-------------------|----------------|---|-------------------------------------|
| Aspen Institute Congressional Program | April 19 - May 1 | Washington, DC - Vienna, Austria - Washington, DC | Y | Y | Y | 6 |
| World Jewish Congress- US (American Section) | June 25 - July 3 | Washington, DC - Tel Aviv - Washington DC | Y | Y | Y | 3 |
| The Aspen Institute Congressional Program | Feb. 22 - Feb. 27 | Washington, DC - San Juan, Puerto Rico, Washington DC | Y | Y | Y | none |
| The Aspen Institute with support from a grant from the Carnegie Corporation of New York | Aug. 15 - Aug. 20 | Los Angeles, California - Banff, Alberta, Canada - Washington, DC | Y | Y | Y | none |