

# UNITED STATES HOUSE OF REPRESENTATIVES

FORM A  
For use by Members, officers, and employees

Page 1 of 10

LEGISLATIVE RESOURCE CENTER  
DELIVERED

Henry A. Waxman

202-225-3976

(Full Name)

(Daytime Telephone)

Filer ☒ Member of the U.S. House of Representatives State: CA District: 30

Officer Or Employee

Employing Office:

Report Type ☒ Annual (May 15)

☐ Amendment

☐ Termination

Termination Date:

A \$200 penalty shall be assessed against anyone who files more than 30 days late.

## 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?	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 \$335 and not otherwise exempt)?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
If yes, complete and attach Schedule I.		If yes, complete and attach Schedule VI.	
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?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	VII. Did your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than \$335 from one source)?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
If yes, complete and attach Schedule II.		If yes, complete and attach Schedule VII.	
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?	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?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
If yes, complete and attach Schedule III.		If yes, complete and attach Schedule VIII.	
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding \$1,000 during the reporting period?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	IX. Did you have any reportable agreement or arrangement with an outside entity?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
If yes, complete and attach Schedule IV.		If yes, complete and attach Schedule IX.	
V. Did you, your spouse, or a dependent child have any reportable liability (more than \$10,000) during the reporting period?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.	
If yes, complete and attach Schedule V.			

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

Trusts-- Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct 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 Standards of Official Conduct.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>

# SCHEDULE II - PAYMENTS MADE TO CHARITY IN LIEU OF HONORARIA

Name Henry A. Waxman

Page 2 of 10

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 Standards of Official Conduct. 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
Kelley Drye & Warren, LLP Washington Harbor 3050 K Street, NW, Washington, D.C. 20007	speech	January 13, 2009	\$2,000
Potomac Research Group 600 New Hampshire Avenue, NW, Washington, D. C. 20037	speech	January 16, 2009	\$2,000
World Generic Medicines Congress, Health Network Communications Ltd., Welken House 10-11 Charterhouse Square, London, EC1M 6 EH	speech	February 25, 2009	\$2,000
World Research Group Conference on Medicaid Managed Care, 16 East 40th Street, 5th Floor, New York	speech	February 26, 2009	\$2,000
American Medical Association Washington, D. C.	speech	March 10, 2009	\$2,000
Avalere Healthcare LLC Washington, D. C.	speech	May 4, 2009	\$2,000
Healthcare Research, Marwood Group Washington, D. C.	speech	June 15, 2009	\$2,000
National Community Pharmacy Association Washington, D. C.	speech	May 12, 2009	\$2,000
Generic Pharmaceutical Association, Arlington, VA 22201	speech	September 18, 2009	\$2,000
World Generic Medicines Congress videotaping - Washington, D. C.	speech	November 19, 2009	\$2,000

# SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Henry A. Waxman

Page 3 of 10

BLOCK A					BLOCK B		BLOCK C		BLOCK D		BLOCK E
Asset and/or Income Source					Year-End Value of Asset		Type of Income		Amount of Income		Transaction
<p>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 assets or sources of income which generated more than \$200 in "unearned" income during the year. For rental property or land, provide a complete address. Provide full 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 and income information on each asset in the account that exceeds the reporting threshold. For retirement plans that are not self-directed, name the institution holding the account and its value at the end of the reporting period. For an active business that is not publicly traded, state the name of the business, the nature of its activities, and its geographic location in Block A. For additional information, see the instruction booklet.</p> <p>Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent or sibling; any deposits totaling \$5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.</p> <p>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 (JT), in the optional column on the far left.</p>					<p>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."</p>		<p>Check all columns that apply. For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA". For all other assets including all IRAs, indicate the type of income by checking the appropriate box below. Dividends and interest, even if reinvested, should be listed as income. Check "None" if asset did not generate any income during the calendar year.</p>		<p>For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, including all IRAs, indicate the category of income by checking the appropriate box below. Dividends and interest, even if reinvested, should be listed as income. Check "None" if no income was earned or generated.</p>		<p>Indicate if asset had purchases (P), sales (S), or exchanges (E) exceeding \$1,000 in reporting year.</p>
Vanguard Short Term Investment Shares (IRA)					\$15,001 - \$50,000		dividend		\$1,001 - \$2,500		Partial S
Vanguard Pacific Stock Index Fund Investor Share (IRA)					\$15,001 - \$50,000		dividend		\$201 - \$1,000		
Vanguard European Stock Fund Investor Shares (IRA)					\$15,001 - \$50,000		dividend		\$201 - \$1,000	P	
Vanguard Total Bond Market Fund Investor Stock (IRA)					\$1,001 - \$15,000		dividend		\$201 - \$1,000		
Vanguard Inflation-Protected Securities Fund Investor Shares (IRA)					\$15,001 - \$50,000		dividend		\$201 - \$1,000	P	
Vanguard Mid-Cap Index Fund Investor Shares (IRA)					\$50,001 - \$100,000		dividend		\$201 - \$1,000	P	

# SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Henry A. Waxman

Page 4 of 10

	Vanguard REIT Index Fund Admiral Shares (IRA)	\$100,001 - \$250,000	dividend	\$250-\$5000	P
	Fidelity Low Price Stock FLPSX (IRA)	None	dividend	\$201 - \$1,000	S
	Vanguard Total Bond Market Total Index Fund Investor Shares (Roth IRA)	\$15,001 - \$50,000	dividend	\$201 - \$1,000	
	CALPERS (CA State Retirement)(not self directed)	\$50,001 - \$100,000	dividend	NONE	
	State of Israel Bond	\$1,001 - \$15,000	interest	\$201 - \$1,000	
	Henry Waxman & Janet Waxman Trust				
JT	Vanguard Prime Money Market Fund	\$15,001 - \$50,000	interest	\$1 - \$200	P
JT	Vanguard Pacific Stock Index Fund Investor	\$15,001 - \$50,000	dividend	\$201 - \$1,000	
JT	Vanguard European Stock Index Fund Investor Shares	\$15,001 - \$50,000	dividend	\$1,001 - \$2,500	
JT	Vanguard Extended Market Index Fund Investor Shares	\$100,001 - \$250,000	dividend	\$201 - \$1,000	P
JT	Vanguard Tax Managed International Fund	\$15,001 - \$50,000	dividend	\$201 - \$1,000	P
JT	Vanguard 500 Index Fund Admiral Shares	\$100,001 - \$250,000	dividend	\$1,001 - \$2,500	P
JT	Vanguard Emerging Markets Stock Index Fund Admiral Shares	\$100,001 - \$250,000	dividend	\$1001-\$2500	

**SCHEDULE III - ASSETS AND "UNEARNED" INCOME**

Name Henry A. Waxman

Page 5 of 10

	Janet Waxman Separate Investments						
SP	CA Health FFA Municipal Bond	None	interest	\$201 - \$1,000	S		
SP	CA State Municipal Bond	None	interest	\$201 - \$1,000	S		
SP	Vanguard Inflation Protected Securities (IRA)	\$15,001 - \$50,000	dividend	\$201 - \$1,000			
SP	Vanguard Small Cap Index Fund (IRA)	\$15,001 - \$50,000	dividend	\$201 - \$1,000			
SP	Vanguard Inflation Protected Securities (Roth IRA)_	\$1,001 - \$15,000	dividend	\$201 - \$1,000			

# SCHEDULE IV - TRANSACTIONS

Name Henry A. Waxman

Page 6 of 10

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
IRA	Vanguard Short Term Investment Index	S		4-27-09	\$1001-\$15,000
		S		8-11-09	\$1,001 - \$15,000
		S		10-09-09	\$1,001 - \$15,000
IRA	Vanguard European Stock Fund	P		10-09-09	\$1,001 - \$15,000
IRA	Vanguard Inflation-Protected Securities Fund	P		12-29-09	\$1,001 - \$15,000
IRA	Vanguard Mid-Cap Index Fund	P		12-7-09	\$15,001 - \$50,000
		P		12-21-09	\$1,001 - \$15,000
IRA	Vanguard Reit Index Fund	P		4-27-09	\$1,001 - \$15,000

# SCHEDULE IV - TRANSACTIONS

Name Henry A. Waxman

Page 7 of 10

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
		P		8-11-09	\$1,001 - \$15,000
IRA		P		12-21-09	\$1,001 - \$15,000
	Vanguard Inflation-Protected Fund	P		12-29-09	\$1,001 - \$15,000
IRA	Fidelity Low Priced Stock Fund	S		12-3-09	\$15,001 - \$50,000
JT	Vanguard Extended Market Index Fund	P		1-2-09	\$1,001 - \$15,000
		P		2-11-09	\$1,001-\$15,000
		P		4-7-09	\$1,001 - \$15,000
		P		9-17-09	\$1,001 - \$15,000
		P		11-5-09	\$1,001 - \$15,000

# SCHEDULE IV - TRANSACTIONS

Name Henry A. Waxman

Page 8 of 10

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 Prime Money Market Fund	S		12-7-09	\$15,001 - \$50,000
		S		12-21-09	\$1,001 - \$15,000
		S		12-29-09	\$1,001 - \$15,000
JT	Vanguard Tax Managed International Fund	P		9-17-09	\$1,001 - \$15,000
		P		11-5-09	\$1,001 - \$15,000
		P		12-2-09	\$1,001 - \$15,000
JT	Vanguard 500 Index Fund	P		4-21-09	\$1,001 - \$15,000
		P		12-21-09	\$1,001 - \$15,000



# SCHEDULE IV - TRANSACTIONS

Name Henry A. Waxman

Page 9 of 10

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
SP	CA Health FFA Municipal Bond	S		11-23-09	\$1,001 - \$15,000
SP	CA State Municipal Bond	S		9-1-09	\$15,001 - \$50,000

# SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Henry A. Waxman

Page 10 of 10

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totaling more than \$335 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
The Aspen Congressional Institute Program	February 14-23, 2009	DC-Arman, Jordan return from Tel Aviv, Washington, D.C.	Y	Y	Y	4 days
The Aspen Congressional Institute	May 24 - June 1, 2009	DC-Vienna-Dubrovnik, DC	Y	Y	Y	2 days
American Israel Education Foundation	August 8- 17, 2009	Wash-Tel Aviv-Wash	Y	Y	Y	none
Saban Forum	November 9-16, 2009	Wash-Tel Aviv-Wash	Y	Y	Y	none