



Filing ID #10037228

FINANCIAL DISCLOSURE REPORT

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FILER INFORMATION

Name: Hon. Raúl M. Grijalva
Status: Member
State/District: AZ03

FILING INFORMATION

Filing Type: Annual Report
Filing Year: 2019
Filing Date: 07/29/2020

SCHEDULE A: ASSETS AND "UNEARNED" INCOME

| Asset | Owner | Value of Asset | Income Type(s) | Income | Tx. > \$1,000? |
|--|-------|----------------------|--------------------------|--------------------|-------------------------------------|
| 3426 9TH AVE [RP] | | \$50,001 - \$100,000 | Rent | \$5,001 - \$15,000 | <input type="checkbox"/> |
| LOCATION: Tucson, AZ, US | | | | | |
| AMERICAN CAP WRLD GR & INC F2 (WGIFX) [MF] | SP | \$1,001 - \$15,000 | Capital Gains, Dividends | \$1 - \$200 | <input type="checkbox"/> |
| ARIZONA STATE RETIREMENT SYSTEM [PE] | | | | | |
| BLACKROCK EN GLBL DIV TR [EF] | SP | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | <input checked="" type="checkbox"/> |
| CITY OF TUCSON SUPPLEMENTAL RETIREMENT SYSTEM [PE] | SP | Undetermined | Tax-Deferred | | <input type="checkbox"/> |
| CLEARBRIDGE ALL CAP VALUE I (SFVYX) [MF] | SP | \$1,001 - \$15,000 | Capital Gains, Dividends | \$1 - \$200 | <input checked="" type="checkbox"/> |
| CLEARBRIDGE APPRECIATION I (SAPYX) [MF] | SP | \$1,001 - \$15,000 | Capital Gains, Dividends | \$201 - \$1,000 | <input type="checkbox"/> |
| COHEN&STEERS INFRASTRUCTURE FD (UTF) [EF] | SP | \$1,001 - \$15,000 | Capital Gains, | \$201 - \$1,000 | <input checked="" type="checkbox"/> |

| Asset | Owner | Value of Asset | Income Type(s) | Income | Tx. > \$1,000? |
|--|-------|--------------------|--------------------------|-----------------|-------------------------------------|
| Dividends | | | | | |
| CONGRESS MID CAP GROWTH INSTL (IMIDX) [MF] | SP | \$1,001 - \$15,000 | Capital Gains, Dividends | \$201 - \$1,000 | <input type="checkbox"/> |
| FIRST EAGLE OVERSEAS I (SGOIX) [MF] | SP | None | None | | <input checked="" type="checkbox"/> |
| FIRST TR VALU.LN DIV IDX (FVD) [EF] | SP | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | <input type="checkbox"/> |
| FIRST TRUST WATER ETF (FIW) [EF] | SP | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | <input type="checkbox"/> |
| FT NASDAQ CYBERSECUR ETF (CIBR) [EF] | SP | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | <input type="checkbox"/> |
| INVESTCO DIVERSIFIED DIVIDEND Y (LCEYX) [MF] | SP | \$1,001 - \$15,000 | Capital Gains, Dividends | \$1 - \$200 | <input type="checkbox"/> |
| ISHARES MSCI EMERGING MKTS ETF (EEM) [EF] | SP | None | Dividends | \$1 - \$200 | <input checked="" type="checkbox"/> |
| JOHN HANCOCK FINANCIAL OPPS FD BTO [EF] | SP | \$1,001 - \$15,000 | Capital Gains, Dividends | \$1 - \$200 | <input checked="" type="checkbox"/> |
| MFS MA INVESTORS GW STK I (MGTIX) [MF] | SP | \$1,001 - \$15,000 | Capital Gains, Dividends | \$201 - \$1,000 | <input type="checkbox"/> |
| MORGAN STANLEY BANK NA [BA] | SP | \$1,001 - \$15,000 | Interest | \$1 - \$200 | <input type="checkbox"/> |
| OPPENHEIMER GLOBAL Y (OGLYX) [MF] | SP | \$1,001 - \$15,000 | Capital Gains, Dividends | \$201 - \$1,000 | <input type="checkbox"/> |
| PGIM JENN GLBL OPPORTUNITIES Z (PRJZX) [MF] | SP | \$1,001 - \$15,000 | Capital Gains, Dividends | None | <input type="checkbox"/> |
| DESCRIPTION: listed as PRUDENTIAL JENNISON GLB OPP Z in 2017 filings | | | | | |
| PIMCO EMERGING MKTS BD I2 (PEMPX [MF] | SP | None | Dividends | \$1 - \$200 | <input checked="" type="checkbox"/> |
| PRINCIPAL SM MDCP DIV INC I (PMDDIX) [MF] | SP | None | None | | <input checked="" type="checkbox"/> |
| PUBLIC SAFETY PERSONNEL RETIREMENT SYSTEM [PE] | | Undetermined | Tax-Deferred | | <input type="checkbox"/> |

| Asset | Owner | Value of Asset | Income Type(s) | Income | Tx. > \$1,000? |
|--|-------|--------------------|-----------------------------|-----------------|-------------------------------------|
| SPDR S&P 500 ETF TRUST (SPY) [EF] | SP | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | <input type="checkbox"/> |
| VANGUARD MIDCAP GROWTH ETF (VOT) [EF] | SP | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | <input checked="" type="checkbox"/> |
| WELLS FARGO SPECIAL MDCP VL I (WFMIX) [MF] | SP | \$1,001 - \$15,000 | Capital Gains, Dividends | \$201 - \$1,000 | <input checked="" type="checkbox"/> |

* For the complete list of asset type abbreviations, please visit <https://fd.house.gov/reference/asset-type-codes.aspx>.

SCHEDULE B: TRANSACTIONS

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > \$200? |
|---|-------|------------|----------------|--------------------|-------------------------------------|
| AMERICAN CAP WRLD GR & INC F2 (WGIFX) [MF] | SP | 12/9/2019 | P | \$1,001 - \$15,000 | |
| BLACKROCK EN GLBL DIV TR [EF] | SP | 12/17/2019 | P | \$1,001 - \$15,000 | |
| CLEARBRIDGE ALL CAP VALUE I (SFVYX) [MF] | SP | 12/17/2019 | S (partial) | \$1,001 - \$15,000 | <input type="checkbox"/> |
| COHEN&STEERS INFRASTRUCTURE FD (UTF) [EF] | SP | 02/7/2019 | P | \$1,001 - \$15,000 | |
| COHEN&STEERS INFRASTRUCTURE FD (UTF) [EF] | SP | 03/7/2019 | P | \$1,001 - \$15,000 | |
| COHEN&STEERS INFRASTRUCTURE FD (UTF) [EF] | SP | 08/22/2019 | S (partial) | \$1,001 - \$15,000 | <input type="checkbox"/> |
| COHEN&STEERS INFRASTRUCTURE FD (UTF) [EF] | SP | 10/16/2019 | S (partial) | \$1,001 - \$15,000 | <input checked="" type="checkbox"/> |
| FIRST EAGLE OVERSEAS I (SGOIX) [MF] | SP | 03/7/2019 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| FIRST TRUST WATER ETF (FIW) [EF] | SP | 03/7/2019 | P | \$1,001 - \$15,000 | |
| ISHARES MSCI EMERGING MKTS ETF (EEM) [EF] | SP | 10/16/2019 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| JOHN HANCOCK FINANCIAL OPPS FD BTO [EF] | SP | 10/16/2019 | P | \$1,001 - \$15,000 | |
| PGIM JENN GLBL OPPORTUNITIES Z (PRJZX) [MF] | SP | 12/17/2019 | P | \$1,001 - \$15,000 | |

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > \$200? |
|--|--------------|-------------|-----------------|--------------------|-------------------------------|
| PIMCO EMERGING MKTS BD [MF] | SP | 02/7/2019 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| PRINCIPAL SM MDCP DIV INC I (PMDIX) [MF] | SP | 03/7/2019 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| PRINCIPAL SM MDCP DIV INC I (PMDIX) [MF] | SP | 02/7/2019 | P | \$1,001 - \$15,000 | |
| VANGUARD MIDCAP GROWTH ETF (VOT) [EF] | SP | 12/17/2019 | S (partial) | \$1,001 - \$15,000 | <input type="checkbox"/> |
| WELLS FARGO SPECIAL MDCP VL I (WFMIX) [MF] | SP | 03/7/2019 | P | \$1,001 - \$15,000 | |
| WELLS FARGO SPECIAL MDCP VL I (WFMIX) [MF] | SP | 12/17/2019 | S (partial) | \$1,001 - \$15,000 | <input type="checkbox"/> |

* For the complete list of asset type abbreviations, please visit <https://fd.house.gov/reference/asset-type-codes.aspx>.

SCHEDULE C: EARNED INCOME

| Source | Type | Amount |
|---|----------------|---------------|
| CITY OF TUCSON SUPPLEMENTAL RETIREMENT SYSTEM | SPOUSE PENSION | N/A |

SCHEDULE D: LIABILITIES

| Owner Creditor | Date Incurred | Type | Amount of Liability |
|-----------------------|----------------------|--|----------------------------|
| WELLS FARGO BANK | 2008 | MORTGAGE ON 220 13TH ST SE #4, WASHINGTON DC 20003 | \$250,001 - \$500,000 |

SCHEDULE E: POSITIONS

| Position | Name of Organization |
|---|---|
| ADVISORY COUNCIL MEMBER (UNCOMPENSATED) | CONGRESSIONAL HISPANIC CAUCUS INSTITUTE |
| BOARD MEMBER (UNCOMPENSATED) | PROGRESSIVE CONGRESS |

SCHEDULE F: AGREEMENTS

| Date | Parties To | Terms of Agreement |
|---------------|--|--|
| December 1999 | RAUL GRIJALVA, ARIZONA STATE RETIREMENT SYSTEM | RETIREMENT PLAN (NOT SELF DIRECTED) |
| February 2002 | RAUL GRIJALVA, PUBLIC SAFETY PERSONNEL RETIREMENT SYSTEM | ELECTED OFFICIALS RETIREMENT ACCOUNT (NOT SELF DIRECTED) |

SCHEDULE G: GIFTS

None disclosed.

SCHEDULE H: TRAVEL PAYMENTS AND REIMBURSEMENTS

| Source | Trip Details | | | | Inclusions | | |
|---|--------------|------------|--------------------|------------------|-------------------------------------|-------------------------------------|--------------------------|
| | Start Date | End Date | Itinerary | Days at Own Exp. | Lodging? | Food? | Family? |
| United States Hispanic Leadership Institute | 02/14/2019 | 02/16/2019 | DC - Chicago - TUS | 0 | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> |

SCHEDULE I: PAYMENTS MADE TO CHARITY IN LIEU OF HONORARIA

None disclosed.

EXCLUSIONS OF SPOUSE, DEPENDENT, OR TRUST INFORMATION

IPO: Did you purchase any shares that were allocated as a part of an Initial Public Offering?

Yes No

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 No

Exemption: 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?

Yes No

CERTIFICATION AND SIGNATURE

I CERTIFY that the statements I have made on the attached Financial Disclosure Report are true, complete, and correct to the best of my knowledge and belief.

Digitally Signed: Hon. Raúl M. Grijalva , 07/29/2020