



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]  LOCATION: Tucson, AZ, US		\$50,001 - \$100,000	Rent	\$5,001 - \$15,000	<input type="checkbox"/>
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]		Undetermined	Tax-Deferred		<input type="checkbox"/>
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"/>
INVESCO 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 (PMDIX) [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

Trip Details					Inclusions		
Source	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