



Filing ID #10035000

# FINANCIAL DISCLOSURE REPORT

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## FILER INFORMATION

**Name:** Hon. Adam Smith  
**Status:** Member  
**State/District:** WA09

## FILING INFORMATION

**Filing Type:** Annual Report  
**Filing Year:** 2019  
**Filing Date:** 04/16/2020

## SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Chase Checking Account [BA]	JT	\$1,001 - \$15,000	Interest	\$1 - \$200	<input type="checkbox"/>
Chase Performance Savings [BA]	JT	\$15,001 - \$50,000	Interest	None	<input type="checkbox"/>
DreamAhead College Investment Plan #1 [5P] LOCATION: WA		\$50,001 - \$100,000	Tax-Deferred		<input type="checkbox"/>
DreamAhead College Investment Plan #2 [5P] LOCATION: WA		\$50,001 - \$100,000	Tax-Deferred		<input type="checkbox"/>
Fidelity IRA ⇒ Calamos Growth A [MF]	SP	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000	<input type="checkbox"/>
Fidelity IRA ⇒ Cash Reserves [IH]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
Fidelity IRA ⇒ International Business Machines Corporation (IBM) [ST]	SP	\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Union Bank Savings Account [BA]	DC	\$1,001 - \$15,000	None		<input type="checkbox"/>
USAA Checking Account [BA]	JT	\$15,001 - \$50,000	Interest	\$1 - \$200	<input type="checkbox"/>
USAA Performance First Savings Account [BA]	JT	\$50,001 - \$100,000	Interest	None	<input type="checkbox"/>
USAA Savings Account [BA]	JT	\$1 - \$1,000	Interest	\$1 - \$200	<input type="checkbox"/>
Vanguard 500 Index Fund Adm. [MF]	JT	\$50,001 - \$100,000	Capital Gains	\$1,001 - \$2,500	<input type="checkbox"/>
Washington State Retirement Account [PE]		\$15,001 - \$50,000	None		<input type="checkbox"/>
Washington State Retirement Account [OT]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: Spouse's Washington State Retirement Account. She has not vested in the system and is not eligible for a pension.					

\* Asset class details available at the bottom of this form. 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?
DreamAhead College Investment Plan #1 [5P]		01/7/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
LOCATION: WA DESCRIPTION: Partial withdrawal from fund to pay education expenses for DC #1 at the University of Washington.					
DreamAhead College Investment Plan #1 [5P]		03/25/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
LOCATION: WA DESCRIPTION: Partial withdrawal from fund to pay education expenses for DC #1 at the University of Washington.					
DreamAhead College Investment Plan #1 [5P]		03/29/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
LOCATION: WA DESCRIPTION: Partial withdrawal from fund to pay education expenses for DC #1 at the University of Washington.					
DreamAhead College Investment Plan #1 [5P]		04/8/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
LOCATION: WA					

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
DESCRIPTION: Partial withdrawal from fund to pay education expenses for DC #1 at the University of Washington.					
DreamAhead College Investment Plan #1 [5P]		09/9/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
LOCATION: WA					
DESCRIPTION: Partial withdrawal from fund to pay education expenses for DC #1 at the University of Washington.					

\* Asset class details available at the bottom of this form. 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
Metropolitan King County Council	Spouse Salary	N/A

## SCHEDULE D: LIABILITIES

Owner	Creditor	Date Incurred	Type	Amount of Liability
JT	Chase Mortgage	July 2012	Mortgage on Primary Residence	\$250,001 - \$500,000

## SCHEDULE E: POSITIONS

None disclosed.

## SCHEDULE F: AGREEMENTS

Date	Parties To	Terms of Agreement
January 1997	Adam Smith and the State of Washington	I was employed by the State of Washington for 6 years and vested in the pension system under PERS 2. I will receive a pension in the future based on my employment as a state senator.

## SCHEDULE G: GIFTS

None disclosed.

## SCHEDULE H: TRAVEL PAYMENTS AND REIMBURSEMENTS

None disclosed.

## SCHEDULE I: PAYMENTS MADE TO CHARITY IN LIEU OF HONORARIA

None disclosed.

## SCHEDULE A AND B ASSET CLASS DETAILS

- Fidelity IRA (Owner: SP)

## 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. Adam Smith , 04/16/2020