

Financial Disclosures

Annual Report for Calendar 2016 (Amendment 1)

The Honorable Bernard Sanders (Sanders, Bernard)

Filed 07/19/2017 @ 2:40 PM

The following statements were checked before filing:

- I certify that the statements I have made on this form are true, complete and correct to the best of my knowledge and belief.
- I understand that reports cannot be edited once filed. To make corrections, I will submit an *electronic* amendment to this report.
- I omitted assets because they meet the three-part test for exemption.

Part 1. Honoraria Payments or Payments to Charity in Lieu of Honoraria

Did any individual or organization pay you or your spouse more than \$200 or donate any amount to a charity on your behalf, for an article, speech, or appearance? **Yes**

#	Date	Activity	Amount	Who Paid?	Who received payment?
1	05/27/2016	Appearance	\$850.00	Mahar Live Inc. Los Angeles, CA	A Charity
2	07/29/2016	Appearance	\$850.00	Mahar Live Inc. Los Angeles, CA	A Charity
3	10/14/2016	Appearance	\$850.00	Maher Live Inc. Los Angeles, CA	A Charity
4	11/29/2016	Appearance	\$500.00	Conoco LLC Los Angeles, CA	A Charity
5	10/18/2016	Appearance	\$1,000.00	Climate Change Leadership Institute Santa Fe, NM	A Charity

Part 2. Earned and Non-Investment Income

Did you or your spouse have reportable earned income or non-investment income? **Yes**

#	Who Was Paid	Type	Who Paid	Amount Paid
1	Self	Pension	City of Burlington Vermont Burlington, VT	\$5,086.92
2	Self	Royalties (Advance Against Earning)	Macmillan - St. Martin's Press, LLC New York, NY https://efdssearch.senate.gov/search/home/	\$795,000.00
3	Self	Royalties	Macmillan - Henry Holt and Company, LLC New York, NY	\$63,750.00

#	Who Was Paid	Type	Who Paid	Amount Paid
4	Self	Royalties	Verso Publications New York, NY	\$6,734.70
5	Self	Royalties	Todd R. Lockwood Works Burlington, VT	\$2,520.60
6	Spouse	Retirement	VALIC Retirementnet Amarillo, TX	> \$1,000

Part 3. Assets

Did you, your spouse, or dependent child own any asset worth more than \$1000, have a deposit account with a balance over \$5,000, or receive income of more than \$200 from an asset? **Yes**

	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
1	Spouse Retirement plan	Retirement Plans Defined Contribution Pension Plan	Spouse			
1.1	CREF Stock Account - R1	Mutual Funds Mutual Fund	Spouse	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
1.2	CREF Growth Account - R1	Mutual Funds Mutual Fund	Spouse	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
1.3	CREF Equity Index Account - R1	Mutual Funds Mutual Fund	Spouse	None (or less than \$1,001)	Excepted Investment Fund,	None (or less than \$201)
1.4	CREF Global Equities Account -	Mutual Funds Mutual Fund	Spouse	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)

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	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
1.5	TIAA-CREF Mid-Cap Growth Retire	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
1.6	TIAA-CREF Real Estate Sec Instl	Mutual Funds Mutual Fund	Spouse	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
1.7	CREF Bond Market Account - R1	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
1.8	CREF Inflation-Linked Bond Acco	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
1.9	TIAA-CREF Social Choice Eq Instl	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
1.10	TIAA Traditional Annuity	Mutual Funds Mutual Fund	Spouse	\$50,001 - \$100,000	Excepted Investment Fund,	None (or less than \$201)
1.11	Teachers Personal Annuity Fixed Account	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
1.12	TIAA Personal Annuity Stock Index Fund	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)

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	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
2	Spouse Retirement Plan 2	Retirement Plans Defined Contribution Pension Plan	Spouse			
2.1	VALIC Core Equity	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
2.2	VALIC Dividend Value	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
2.3	VALIC Socially Responsible	Mutual Funds Mutual Fund	Spouse	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
2.4	VALIC Stock Index	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
2.5	VALIC Mid Cap Index	Mutual Funds Mutual Fund	Spouse	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
2.6	VALIC Small Cap	Mutual Funds Mutual Fund	Spouse	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
2.7	VALIC Small Cap Index	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000 hide me	Excepted Investment Fund,	None (or less than \$201)

	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
2.8	VALIC Global Social Awareness	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
2.9	VALIC International Eqs Idx	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
2.10	VALIC Science & Technology	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
2.11	VALIC Asset Allocation	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
2.12	VALIC Vanguard LifeStrategy Growth Inv	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
2.13	VALIC Vanguard LifeStrategy Moderate Gr Inv	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
2.14	VALIC Government Securities	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
2.15	VALIC International Govt Bond	Mutual Funds Mutual Fund	Spouse	None (or less than \$1,001)	Excepted Investment Fund,	None (or less than \$201)
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	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
2.16	VALIC Strategic Bond	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
2.17	VALIC Vanguard Long-Term Treasury Inv	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
2.18	VALIC Vanguard Long-Term Investment-Grade Inv	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
3	Spousal Retirement IRA	Retirement Plans IRA	Spouse			
3.1	People's United Bank (Burlington, VT) <i>Type: IRA Cash Accounts,</i>	Bank Deposit	Spouse	\$15,001 - \$50,000	Dividends,	None (or less than \$201)
4	City of Burlington Pension Plan <i>Filer comment: Pension income reported in Part 2.</i>	Retirement Plans Defined Benefit Pension Plan	Self	Unascertainable	None,	None (or less than \$201)
5	U.S. Senate Federal Credit Union (Washington, DC) <i>Type: Checking, Savings,</i> <i>Filer comment: \$100,000 December tax payment was encumbered but not reflected on 12/31/16 statement.</i>	Bank Deposit	Joint	\$100,001 - \$250,000	Dividends,	None (or less than \$201)
6	People's United Bank (Burlington, VT) <i>Type: Checking, Savings,</i>	Bank Deposit	Joint	\$15,001 - \$50,000	Interest,	None (or less than \$201)
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	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
7	North Country Federal Credit Union (Burlington, VT) Type: Checking,	Bank Deposit	Spouse	\$1,001 - \$15,000	Interest,	None (or less than \$201)

Part 4a. Periodic Transaction Report Summary

In this section, electronically filed periodic transaction report (PTR) transactions are displayed for you. Have you filed any paper-based PTRs in this period? **No**

Part 4b. Transactions

Did you, your spouse, or dependent child buy, sell, or exchange an asset that exceeded \$1,000? **Yes**

#	Owner	Ticker	Asset Name	Transaction Type	Transaction Date	Amount	Comment
1	Spouse	--	VALIC Aggressive Growth Lifestyle	Sale (Full)	07/18/2016	\$1,001 - \$15,000	Retirement account distribution
2	Spouse	--	VALIC Moderate Growth Lifestyle	Sale (Full)	07/18/2016	\$1,001 - \$15,000	Retirement account distribution
3	Spouse	--	VALIC International Equities Index	Sale (Partial)	07/18/2016	\$1,001 - \$15,000	Retirement account distribution
4	Spouse	--	VALIC Mid-Cap Index	Sale (Partial)	07/18/2016	\$1,001 - \$15,000	Retirement account distribution
5	Spouse	--	VALIC Asset Allocation	Sale (Partial)	07/18/2016	\$1,001 - \$15,000	Retirement account distribution
6	Spouse	--	VALIC Government Securities	Sale (Partial)	07/18/2016	\$1,001 - \$15,000	Retirement account distribution
7	Spouse	--	VALIC Social Awareness	Sale (Partial)	07/18/2016	\$1,001 - \$15,000	Retirement account distribution
8	Spouse	--	VALIC Stock Index	Sale (Partial)	07/18/2016	\$1,001 - \$15,000	Retirement account distribution
9	Spouse	--	VALIC Small Cap Index	Sale (Partial)	07/18/2016	\$1,001 - \$15,000	Retirement account distribution
10	Spouse	--	VALIC Core Equity	Sale (Partial)	07/18/2016	\$1,001 - \$15,000	Retirement account distribution

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#	Owner	Ticker	Asset Name	Transaction Type	Transaction Date	Transaction Amount	Comment
11	Spouse	--	VALIC Socially Responsible	Sale (Partial)	07/18/2016	\$1,001 - \$15,000	Retirement account distribution

Part 5. Gifts
 Did you, your spouse, or dependent child receive any reportable gift during the reporting period? **No**

Part 6. Travel
 Did you, your spouse, or dependent child receive any reportable travel or reimbursements for travel? **Yes**

#	Date(s)	Traveler(s)	Travel Type	Itinerary	Reimbursed For	Who Paid	Comment
1	11/14/2016 to 12/13/2016	Self, Spouse	Outside activity	NYC (11/14), Wsh, DC (11/16), Balt, MD (11/17), Naperville, IL (11/18), Miami, FL (11/19), Bstn, MA (11/20), PrtInd, ME & Cncrd, NH (11/21), Mnchstr, Mntplr & Brlngtn, VT (11/22), Phila., PA (11/28), LA & Psdna, CA (11/29), Seattle, WA (11/30), PrtInd, OR (12/1), Berkly & SF, CA (12/2), NYC (12/13).	Airfare, ground transportation, lodging and meals.	Macmillan - St. Martin's Press, LLC New York, NY	The Senator's national book tour to promote "Our Revolution: A Future to Believe In"

Part 7. Liabilities
 Did you, your spouse, or dependent child have a liability worth more than \$10,000 at any time? **Yes**

#	Incurred	Debtor	Type	Points	Rate (Term)	Amount	Creditor	Comments
1	2013	Joint	Mortgage	.40	3.25% (30)	\$250,001 - \$500,000	Quicken Loans Detroit, MI	-
2	2013	Joint	Mortgage	0	3.25% (30)	\$100,001 - \$250,000	Quicken Loans Detroit, MI	-

Part 8. Positions
 Did you hold any outside positions during the reporting period? **Yes** hide me

#	Position Dates	Position Held	Entity	Entity Type	Comments
1	Aug 2016 to present	Trustee	Islands Family Trust North Hero, Vermont	Trust	I am a co-trustee in a family trust created when we bought a summer home.

Part 9. Agreements * Amended

Did you have any reportable agreement or arrangement with an outside entity? **Yes**

#	Date	Parties Involved	Type	Status and Terms
1	Feb 2011	Avalon Publishing Group Berkeley, CA	Royalty Agreement	Royalty agreement with the publisher to have them donate all royalties from proceeds of the sale of "The Speech" directly to charity.
2	Oct 1990	Verso Publications New York, NY	Royalty Agreement	Standard Royalty Agreement with Verso Publications regarding sales of "Outsider in the House" and "Outsider in the White House." Income from this agreement is disclosed in Section 2.
3	Jul 2016	Macmillan - St. Martin's Press New York, NY	Royalty Agreement	Contract with St. Martin's Press to write "Our Revolution: A Future To Believe In" that was published in November 2016. Income from this agreement is disclosed in Section 2.
4	Aug 2016	Macmillan - Henry Holt and Company, LLC New York, NY	Royalty Agreement	Contract with Henry Holt and Company to write a book for young adults to be published in 2017. Income from this agreement is disclosed in Section 2.
5	Jul 2016	Todd R. Lockwood S. Burlington, Vermont	Royalty Agreement	Royalty agreement from the sales for the Bernie Sanders - We shall Overcome album. Income from this agreement is disclosed in Section 2.

Part 10. Compensation

If this is your first report, or you are a candidate did you receive compensation of more than \$5,000 from a single source in the two prior years? **This is not my first report.**

Attachments & Comments

No attachments added.

Comments

Added agreement which corresponds with information already listed in Part 2 of this report.

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