

# Financial Disclosures

## Annual Report for Calendar 2016

**The Honorable Elizabeth Warren (Warren, Elizabeth)**

Filed 05/13/2017 @ 5:03 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? **No**

### Part 2. Earned and Non-Investment Income

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

#	Who Was Paid		Who Paid	Amount Paid
	Paid	Type		
1	Self	Royalties	CCH Inc dba Wolters Kluwer Law & Business (Formerly Aspen Publishers) Riverwoods, IL	\$23,629.76
2	Self	Other (Advance)	Henry Holt & Co. New York, NY	\$200,000.00
3	Spouse	Salary	Harvard University Cambridge, MA	> \$1,000
4	Self	Other (Imputed Income from basic life insurance policy)	Harvard University Cambridge, MA	\$320.04

### 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**

### eFD: Home

URL:

eFD: Home

<https://efdsearch.senate.gov/search/home/>

Asset

Asset

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Income

Type

Owner

Value

Type

Income

	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
1	<b>Capital One</b> (McLean, VA) <i>Type: Savings,</i>	Bank Deposit	Joint	\$50,001 - \$100,000	Interest,	\$1,001 - \$2,500
2	<b>Bank of America</b> (Charlotte, NC) <i>Type: Checking,</i>	Bank Deposit	Joint	\$15,001 - \$50,000	Interest,	None (or less than \$201)
3	<b>Bank of America</b> (Charlotte, NC) <i>Type: Savings,</i>	Bank Deposit	Joint	\$15,001 - \$50,000	Interest,	None (or less than \$201)
4	<b>First National Bank of Omaha</b> (Omaha, NE) <i>Type: Savings,</i>	Bank Deposit	Joint	\$100,001 - \$250,000	Interest,	\$1,001 - \$2,500
5	<b>TIAA-CREF Traditional</b>	Mutual Funds Mutual Fund	Self	\$1,000,001 - \$5,000,000	Excepted Investment Fund,	None (or less than \$201)
6	<b>QCSTIX - CREF Stock Account - R3</b>	Mutual Funds Mutual Fund	Self	\$500,001 - \$1,000,000	Excepted Investment Fund,	None (or less than \$201)
7	<b>QCGLIX - CREF Global Equities Account - R3</b>	Mutual Funds Mutual Fund	Self	\$250,001 - \$500,000	Excepted Investment Fund,	None (or less than \$201)
8	<b>QREARX - TIAA Real Estate Account</b>	Mutual Funds Mutual Fund	Self	\$250,001 - \$500,000	Excepted Investment Fund,	None (or less than \$201)
9	<b>QCBMIX - CREF Bond Market Account - R3</b>	Mutual Funds Mutual Fund	Self	\$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>
10	<b>QCILIX - CREF Inflation-Linked Bond Account R3</b>	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
11	<b>QCEQRX - CREF Equity Index Account - R1</b>	Mutual Funds Mutual Fund	Self	\$100,001 - \$250,000	Excepted Investment Fund,	None (or less than \$201)
12	<b>TRGMX - TIAA-CREF Mid-Cap Growth Retirement</b>	Mutual Funds Mutual Fund	Self	\$50,001 - \$100,000	Excepted Investment Fund,	None (or less than \$201)
13	<b>TRBIX - TIAA-CREF Small-Cap Blend Idx Retirement</b>	Mutual Funds Mutual Fund	Self	\$100,001 - \$250,000	Excepted Investment Fund,	None (or less than \$201)
14	<b>TRERX - TIAA-CREF International Eq Retirement</b>	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
15	<b>QCILRX - CREF Inflation-Linked Bond Account - R1</b>	Mutual Funds Mutual Fund	Self	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
16	<b>TBIIX - TIAA-CREF Bond Index Institutional</b>	Mutual Funds Mutual Fund	Self	\$50,001 - \$100,000	Excepted Investment Fund,	None (or less than \$201)
17	<b>TBIRX - TIAA-CREF Bond Index Retirement</b>	Mutual Funds Mutual Fund	Self	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)

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	<u>Asset</u>	<u>Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
18	<b>TIAA-CREF Traditional</b>	Mutual Funds Mutual Fund	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Excepted Investment Fund,	None (or less than \$201)
19	<b>QCEQIX - CREF Equity Index Account - R3</b>	Mutual Funds Mutual Fund	Spouse	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
20	<b>TIEIX - TIAA-CREF Equity Index Instl</b>	Mutual Funds Mutual Fund	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Excepted Investment Fund,	None (or less than \$201)
21	<b>QREARX - TIAA Real Estate Account</b>	Mutual Funds Mutual Fund	Spouse	\$50,001 - \$100,000	Excepted Investment Fund,	None (or less than \$201)
22	<b>QCBMRX - CREF Bond Market Account - R1</b>	Mutual Funds Mutual Fund	Spouse	\$50,001 - \$100,000	Excepted Investment Fund,	None (or less than \$201)
23	<b>QCILRX - CREF Inflation-Linked Bond Account - R1</b>	Mutual Funds Mutual Fund	Spouse	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
24	<b>Synchrony Bank</b> (Draper, UT) Type: Certificate of Deposit,	Bank Deposit	Joint	None (or less than \$1,001)	Interest,	\$201 - \$1,000
25	<b>Synchrony Bank</b> (Draper, UT) Type: Certificate of Deposit,	Bank Deposit	Joint	<del>\$50,001 - \$100,000</del>	Interest,	<del>\$1,001 - \$2,500</del>
26	<b><u>VFIAX</u> - Vanguard 500 Index Admiral</b>	Mutual Funds Mutual Fund	Joint	\$50,001 - \$100,000	Excepted Investment Fund,	\$201 - \$1,000

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#### 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	Joint	<u>VFIAX</u>	Vanguard 500 Index Admiral	Purchase	11/09/2016	\$50,001 - \$100,000	--
2	Spouse	<u>TIEIX</u>	TIAA-CREF Equity Index Instl	Purchase	02/22/2016	\$1,001 - \$15,000	--
3	Spouse	<u>TIEIX</u>	TIAA-CREF Equity Index Instl	Purchase	03/21/2016	\$1,001 - \$15,000	--
4	Spouse	<u>TIEIX</u>	TIAA-CREF Equity Index Instl	Purchase	02/05/2016	\$1,001 - \$15,000	--
5	Spouse	<u>TIEIX</u>	TIAA-CREF Equity Index Instl	Purchase	03/07/2016	\$1,001 - \$15,000	--
6	Spouse	<u>TIEIX</u>	TIAA-CREF Equity Index Instl	Purchase	04/20/2016	\$1,001 - \$15,000	--
7	Spouse	<u>TIEIX</u>	TIAA-CREF Equity Index Instl	Purchase	05/20/2016	\$1,001 - \$15,000	--
8	Spouse	<u>TIEIX</u>	TIAA-CREF Equity Index Instl	Purchase	06/21/2016	\$1,001 - \$15,000	--
9	Spouse	<u>TIEIX</u>	TIAA-CREF Equity Index Instl	Purchase	04/08/2016	\$1,001 - \$15,000	--
10	Spouse	<u>TIEIX</u>	TIAA-CREF Equity Index Instl	Purchase	05/06/2016	\$1,001 - \$15,000	--
11	Spouse	<u>TIEIX</u>	TIAA-CREF Equity Index Instl	Purchase	06/03/2016	\$1,001 - \$15,000	--
12	Spouse	<u>TIEIX</u>	TIAA-CREF Equity Index Instl	Purchase	07/20/2016	\$1,001 - \$15,000	--
13	Spouse	<u>TIEIX</u>	TIAA-CREF Equity Index Instl	Purchase	08/22/2016	\$1,001 - \$15,000	--
14	Spouse	<u>TIEIX</u>	TIAA-CREF Equity Index Instl	Purchase	09/20/2016	\$1,001 - \$15,000	--

#	Owner	Ticker	Asset Name	Transaction Type	Transaction Date	Transaction Amount	Comment
15	Spouse	<u>TIEIX</u>	TIAA-CREF Equity Index Instl	Purchase	07/08/2016	\$1,001 - \$15,000	--
16	Spouse	<u>TIEIX</u>	TIAA-CREF Equity Index Instl	Purchase	08/05/2016	\$1,001 - \$15,000	--
17	Spouse	<u>TIEIX</u>	TIAA-CREF Equity Index Instl	Purchase	09/02/2016	\$1,001 - \$15,000	--
18	Spouse	<u>TIEIX</u>	TIAA-CREF Equity Index Instl	Purchase	10/20/2016	\$1,001 - \$15,000	--
19	Spouse	<u>TIEIX</u>	TIAA-CREF Equity Index Instl	Purchase	10/07/2016	\$1,001 - \$15,000	--
20	Spouse	<u>TIEIX</u>	TIAA-CREF Equity Index Instl	Purchase	11/04/2016	\$1,001 - \$15,000	--
21	Spouse	<u>TIEIX</u>	TIAA-CREF Equity Index Instl	Purchase	12/02/2016	\$1,001 - \$15,000	--
22	Spouse	<u>TIEIX</u>	TIAA-CREF Equity Index Instl	Purchase	12/22/2016	\$1,001 - \$15,000	--
23	Self	<u>OREARX</u>	TIAA Real Estate Account	Purchase	04/15/2016	\$50,001 - \$100,000	--

### 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	Travel Itinerary	Reimbursed For	Who Paid	Comment
1	07/21/2016	Self	Outside activity	Ground transportation in New York City.	Ground transportation.	The Late Show with Stephen Colbert New York, NY	
2	03/30/2016	Self	Outside activity	Ground transportation in New York City.	Ground transportation.	The Late Show with Stephen Colbert New York, NY	

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## Part 7. Liabilities

Did you, your spouse, or dependent child have a liability worth more than \$10,000 at any time? **No**

## Part 8. Positions

Did you hold any outside positions during the reporting period? **No**

## Part 9. Agreements

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

#	Date	Parties Involved	Type	Status and Terms
1	Jan 2013	Harvard University Cambridge, MA	Other (Agreement with Harvard Law School to hold honorary title of Emeritus Professor.)	Terms of agreement include continued use of storage space for teaching and research materials.
2	Dec 1985	Aspen Publishers (now CCH) New York, NY	Royalty Agreement	Royalties for books, "Chapter 11: Reorganizing American Businesses", "Commercial Law Studies", "Bankruptcy and Article 9", "The Law of Debtors and Creditors", "Secured Credit: A Systems Approach", "Commercial Transactions: A Systems Approach."
3	Mar 2000	Yale University Press New Haven, CT	Royalty Agreement	Royalties for book, "The Fragile Middle Class."
4	Dec 2013	Henry Holt & Co. New York, NY	Royalty Agreement	Advance and royalties based on customary and usual terms for book, "A Fighting Chance."
5	Apr 2002	Perseus Books Group New York, NY	Royalty Agreement	Royalties for book, "The Two-Income Trap."
6	May 1999	Beard Books Washington, DC	Royalty Agreement	Royalties for book, "As We Forgive Our Debtors."

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#	Date	Parties		Status and Terms
		Involved	Type	
7	Apr 2004	Free Press (now Simon & Schuster) New York, NY	Royalty Agreement	Royalties for book, "All Your Worth."
8	Nov 2016	Henry Holt & Co. New York, NY	Royalty Agreement	Advance and royalties based on customary and usual terms for book, "This Fight is Our Fight."

### 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? **No**

### Attachments & Comments

*No attachments added.*

*No comments added.*

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