

United States Senate

## Financial Disclosures

## Annual Report for Calendar 2020

The Honorable Bernard Sanders (Sanders, Bernard)

 Filed 05/13/2021 @ 11:57 AM

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 or your spouse's 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	Type	Who Paid	Amount Paid	Comments
1	Self	Pension	City of Burlington Vermont Burlington, VT	\$5,478.72	n/a
2	Self	Royalties	Verso Publications New York, NY	\$1,064.24	n/a
3	Self	Royalties	Todd R. Lockwood Works Burlington, VT	\$216.97	n/a
4	Self	Royalties	Penguin Random House LLC Alexandria, VA	\$170,000.00	n/a

### Part 3. Assets

Did you, your spouse, or dependent child own any asset that had a value of more than \$1,000 or generated income of more than \$200? **Yes**

	Asset	Asset Type	Owner	Value	Income Type	Income
1	<b>Spouse Retirement plan</b> <i>Filer comment:</i> These are not individually held stocks. They are Jane's 401k TIAA-CREF teacher retirement fund.	Retirement Plans Defined Contribution Pension Plan	Spouse			
1.1	<b>CREF Stock Account - R1</b>	Mutual Funds Mutual Fund	Spouse	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
1.2	<b>CREF Growth Account - R1</b>	Mutual Funds Mutual Fund	Spouse	\$50,001 - \$100,000	Excepted Investment Fund,	None (or less than \$201)
1.3	<b>CREF Global Equities Account</b>	Mutual Funds Mutual Fund	Spouse	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
1.4	<b>TIAA-CREF Mid-Cap Growth Retire</b>	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
1.5	<b>TIAA-CREF Real Estate Sec Instl</b>	Mutual Funds Mutual Fund	Spouse	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
1.6	<b>CREF Bond Market Account - R1</b>	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
1.7	<b>TIAA-CREF Social Choice Eq Instl</b>	Mutual Funds Mutual Fund	Spouse	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
1.8	<b>Teachers Personal Annuity Fixed Account</b> <i>Provider:</i> TIAA-CREF	Annuity Fixed	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
1.9	<b>TIAA Traditional Annuity</b> <i>Provider:</i> TIAA-CREF	Annuity Fixed	Spouse	\$50,001 - \$100,000	Excepted Investment Fund,	None (or less than \$201)
1.10	<b>TIAA Teacher's Personal Annuity Stock Account</b>	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)

	Asset	Asset Type	Owner	Value	Income Type	Income
1.11	<b>CREF Inflation Linked Bond</b>	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
1.12	<b>CREF Equity Index</b>	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
2	<b>Spouse Retirement Plan 2</b> <i>Filer comment: These funds are not individually held stocks. They are in Jane's 401k VALIC teacher retirement fund.</i>	Retirement Plans Defined Contribution Pension Plan	Spouse			
2.1	<b>VALIC American Beacon Broadway Large Cap</b>	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
2.2	<b>VALIC Growth Fund</b>	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
2.3	<b>VALIC Socially Responsible</b>	Mutual Funds Mutual Fund	Spouse	\$50,001 - \$100,000	Excepted Investment Fund,	None (or less than \$201)
2.4	<b>VALIC Mid Cap Index</b>	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
2.5	<b>VALIC Small Cap Fund</b>	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
2.6	<b>VALIC Small Cap Index</b>	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
2.7	<b>VALIC Global Social Awareness</b>	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
2.8	<b>VALIC International Eqs Idx</b>	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)

	Asset	Asset Type	Owner	Value	Income Type	Income
2.9	<b>VALIC Inflation Protected Fund</b>	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
2.10	<b>VALIC Small Cap Aggressive Growth</b>	Mutual Funds Mutual Fund	Spouse	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
2.11	<b>VALIC Small Mid-Growth Fund</b>	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
2.12	<b>VALIC Fixed Account Plus</b>	Mutual Funds Mutual Fund	Spouse	\$100,001 - \$250,000	Excepted Investment Fund,	None (or less than \$201)
3	<b>Spousal Retirement IRA</b>	Retirement Plans IRA	Spouse			
3.1	<b>People's United Bank</b> (Burlington, VT) <i>Type: IRA Cash Accounts,</i>	Bank Deposit	Spouse	\$15,001 - \$50,000	Dividends,	None (or less than \$201)
4	<b>City of Burlington Pension Plan</b> <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	<b>U.S. Senate Federal Credit Union</b> (Washington, DC) <i>Type: Checking, Savings,</i>	Bank Deposit	Joint	\$100,001 - \$250,000	Dividends,	None (or less than \$201)
6	<b>People's United Bank</b> (Burlington, VT) <i>Type: Checking, Savings,</i>	Bank Deposit	Joint	\$15,001 - \$50,000	Interest,	None (or less than \$201)
7	<b>North Country Federal Credit Union</b> (Burlington, VT) <i>Type: Checking,</i>	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.

## Part 4b. Transactions

Did you, your spouse, or dependent child buy, sell, or exchange an asset where the transaction exceeded \$1,000 and was not reported on Part 4a? **No**

## 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**? **No**

## Part 7. Liabilities

Did you, your spouse, or dependent child have a reportable, non-revolving charge account liability worth more than \$10,000 at any time or a revolving charge account whose value exceeded \$10,000 as of the last day of the reporting period? **Yes**

#	Incurred	Debtor	Type	Points	Rate (Term)	Amount	Creditor	Comments
1	2013	Joint	Mortgage	.40	2.875% (30 years)	\$250,001 - \$500,000	Quicken Loans Detroit, MI	n/a

## Part 8. Positions

Did you hold any reportable outside positions during the reporting period? **Yes**

#	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

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

#	Date	Parties Involved	Type	Status and Terms	Comments
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.	n/a
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.	n/a
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.	n/a
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.	n/a
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.	n/a
6	Feb 2017	Macmillan - St. Martin's Press, LLC New York, NY	Royalty Agreement	Contract with St. Martin's Press to write "Where Do We Go From Here?"	n/a
7	May 2020	Penguin Random House LLC Alexandria, VA	Royalty Agreement	Contract with Penguin Random House to write a book about the future of progressive politics in America.	n/a

## Part 10. Compensation

*Only required if you are a candidate or this is your first report:* Did any person or entity pay more than \$5,000 to you or for services provided by you? **This is not my first report.**

## Attachments & Comments

*No attachments added.*

*No comments added.*