

United States Senate

# Financial Disclosures

## Annual Report for Calendar 2022

The Honorable Elizabeth Warren (Warren, Elizabeth)

 **Filed 04/21/2023 @ 11:43 AM**

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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.
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☐ 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	Royalties	CCH Inc dba Wolters Kluwer Law & Business (Formerly Aspen Publishers) Riverwoods, IL	\$23,491.85	n/a
2	Spouse	Salary	Harvard University Cambridge, MA	> \$1,000	n/a
3	Self	Royalties	Macmillan Publishing Group LLC (d/b/a Henry Holt and Company) New York, NY	\$419,650.00	n/a
4	Self	Retirement	TIAA Administration Services LLC New York, NY	\$68,307.26	n/a
5	Spouse	Retirement	TIAA Administration Services LLC Charlotte, NC	> \$1,000	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>Capital One</b> (McLean, VA) <i>Type: Savings,</i>	Bank Deposit	Joint	\$50,001 - \$100,000	Interest,	\$201 - \$1,000
2	<b>Bank of America</b> (Charlotte, NC) <i>Type: Checking,</i>	Bank Deposit	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
3	<b>Bank of America</b> (Charlotte, NC) <i>Type: Savings,</i>	Bank Deposit	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
4	<b>First National Bank of Omaha</b> (Omaha, NE) <i>Type: Savings,</i>	Bank Deposit	Joint	\$50,001 - \$100,000	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	\$15,001 - \$50,000	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	\$500,001 - \$1,000,000	Excepted Investment Fund,	None (or less than \$201)
9	<b><u>VSMPX</u> - Vanguard Total Stock Market Index Fund Institution</b>	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
10	<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)

	Asset	Asset Type	Owner	Value	Income Type	Income
11	<b>QCEQIX - CREF Equity Index Account - R3</b>	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
12	<b>VSMPX - Vanguard Total Stock Market Index Fund Institution</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)
13	<b>VFIAX - Vanguard 500 Index Fd Admiral Shs</b>	Mutual Funds Mutual Fund	Joint	\$50,001 - \$100,000	Excepted Investment Fund,	\$201 - \$1,000

#### 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? **Yes**

#	Owner	Ticker	Asset Name	Transacti on Type	Transactio n Date	Amount	Comments
1	Joint	<u>VFIAX</u>	Vanguard 500 Index Fd Admiral Shs	Purchase	09/08/2022	\$50,001 - \$100,000	n/a
2	Spouse	--	TIAA-CREF Traditional	Sale (Partial)	12/15/2022	\$15,001 - \$50,000	n/a
3	Spouse	<u>VSMPX</u>	Vanguard Total Stock Market Index Fund Instituti	Purchase	10/20/2022	\$1,001 - \$15,000	n/a
4	Spouse	<u>VSMPX</u>	Vanguard Total Stock Market Index Fund Instituti	Purchase	11/21/2022	\$1,001 - \$15,000	n/a
5	Spouse	<u>VSMPX</u>	Vanguard Total Stock Market Index Fund Instituti	Purchase	10/07/2022	\$1,001 - \$15,000	n/a
6	Spouse	<u>VSMPX</u>	Vanguard Total Stock Market Index Fund Instituti	Purchase	11/04/2022	\$1,001 - \$15,000	n/a
7	Spouse	<u>VSMPX</u>	Vanguard Total Stock Market Index Fund Instituti	Purchase	12/02/2022	\$1,001 - \$15,000	n/a
8	Self	--	TIAA-CREF Traditional	Sale (Partial)	12/19/2022	\$50,001 - \$100,000	n/a
9	Self	--	QCGPIX - CREF Global Equities Account - R3	Sale (Partial)	12/01/2022	\$1,001 - \$15,000	n/a
10	Self	--	QREARX - TIAA Real Estate Account	Sale (Partial)	12/19/2022	\$15,001 - \$50,000	n/a
11	Spouse	<u>VSMPX</u>	Vanguard Total Stock Market Index Fund Instituti	Purchase	02/22/2022	\$1,001 - \$15,000	n/a
12	Spouse	<u>VSMPX</u>	Vanguard Total Stock Market Index Fund Instituti	Purchase	03/21/2022	\$1,001 - \$15,000	n/a
13	Spouse	<u>VSMPX</u>	Vanguard Total Stock Market Index Fund Instituti	Purchase	02/04/2022	\$1,001 - \$15,000	n/a

#	Owner	Ticker	Asset Name	Transacti on Type	Transactio n Date	Amount	Comments
14	Spouse	<u>VSMPX</u>	Vanguard Total Stock Market Index Fund Instituti	Purchase	03/04/2022	\$1,001 - \$15,000	n/a
15	Spouse	<u>VSMPX</u>	Vanguard Total Stock Market Index Fund Instituti	Purchase	04/20/2022	\$1,001 - \$15,000	n/a
16	Spouse	<u>VSMPX</u>	Vanguard Total Stock Market Index Fund Instituti	Purchase	05/20/2022	\$1,001 - \$15,000	n/a
17	Spouse	<u>VSMPX</u>	Vanguard Total Stock Market Index Fund Instituti	Purchase	06/21/2022	\$1,001 - \$15,000	n/a
18	Spouse	<u>VSMPX</u>	Vanguard Total Stock Market Index Fund Instituti	Purchase	04/08/2022	\$1,001 - \$15,000	n/a
19	Spouse	<u>VSMPX</u>	Vanguard Total Stock Market Index Fund Instituti	Purchase	05/06/2022	\$1,001 - \$15,000	n/a
20	Spouse	<u>VSMPX</u>	Vanguard Total Stock Market Index Fund Instituti	Purchase	06/03/2022	\$1,001 - \$15,000	n/a
21	Spouse	--	TIAA-CREF Traditional	Sale (Partial)	09/23/2022	\$15,001 - \$50,000	n/a
22	Spouse	--	TIAA-CREF Traditional	Sale (Partial)	09/13/2022	\$1,001 - \$15,000	n/a
23	Spouse	<u>VSMPX</u>	Vanguard Total Stock Market Index Fund Instituti	Purchase	07/20/2022	\$1,001 - \$15,000	n/a
24	Spouse	<u>VSMPX</u>	Vanguard Total Stock Market Index Fund Instituti	Purchase	08/22/2022	\$1,001 - \$15,000	n/a
25	Spouse	<u>VSMPX</u>	Vanguard Total Stock Market Index Fund Instituti	Purchase	09/21/2022	\$1,001 - \$15,000	n/a
26	Spouse	<u>VSMPX</u>	Vanguard Total Stock Market Index Fund Instituti	Purchase	07/08/2022	\$1,001 - \$15,000	n/a

#	Owner	Ticker	Asset Name	Transaction Type	Transaction Date	Amount	Comments
27	Spouse	<u>VSMPX</u>	Vanguard Total Stock Market Index Fund Institutional	Purchase	08/05/2022	\$1,001 - \$15,000	n/a
28	Spouse	<u>VSMPX</u>	Vanguard Total Stock Market Index Fund Institutional	Purchase	09/09/2022	\$1,001 - \$15,000	n/a
29	Self	--	QCGLIX - CREF Global Equities Account - R3	Sale (Partial)	03/01/2022	\$1,001 - \$15,000	n/a
30	Self	--	QCGLIX - CREF Global Equities Account - R3	Sale (Partial)	06/01/2022	\$1,001 - \$15,000	n/a
31	Self	--	QREARX - TIAA Real Estate Account	Purchase	04/18/2022	\$50,001 - \$100,000	n/a
32	Self	--	QCGLIX - CREF Global Equities Account - R3	Purchase	09/01/2022	\$1,001 - \$15,000	n/a

## 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? **No**

## Part 8. Positions

Did you hold any reportable 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	Comments
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.	n/a
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."	n/a
3	Mar 2000	Yale University Press New Haven, CT	Royalty Agreement	Royalties for book, "The Fragile Middle Class."	n/a
4	Dec 2013	Henry Holt and Company (division of Macmillan Publishing Group LLC) New York, NY	Royalty Agreement	Advance and royalties based on customary and usual terms for book, "A Fighting Chance."	n/a
5	Apr 2002	Perseus Books Group New York, NY	Royalty Agreement	Royalties for book, "The Two-Income Trap."	n/a
6	May 1999	Beard Books Washington, DC	Royalty Agreement	Royalties for book, "As We Forgive Our Debtors."	n/a
7	Apr 2004	Free Press (now Simon & Schuster) New York, NY	Royalty Agreement	Royalties for book, "All Your Worth."	n/a
8	Nov 2016	Henry Holt and Company (division of Macmillan Publishing Group LLC) New York, NY	Royalty Agreement	Advance and royalties based on customary and usual terms for book, "This Fight is Our Fight."	n/a

#	Date	Parties Involved	Type	Status and Terms	Comments
9	Nov 2020	Henry Holt and Company (division of Macmillan Publishing Group LLC) New York, NY	Royalty Agreement	Agreement to receive book advance and royalty payments based on customary and usual terms for publication of the book titled, "Persist."	n/a
10	Mar 2021	Macmillan Publishing Group, LLC (d/b/a Henry Holt and Company) New York, NY	Royalty Agreement	Agreement to receive book advance and royalty payments based on customary and usual terms for publication of a picture book titled, "Pinkie Promises."	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.*