UNITED STATES HOUSE OF REPRESENTATIVES

**FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2005**

**FORM A**

For use by Members, officers, and employees

HAND DELIVERED

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Representative Henry A. Waxman
(Full Name)

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(Mailing Address)

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Daytime Telephone:

2006 MAY 11 PM 1:31
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

MC

**Filer Status** — ☑ Member of the U.S. House of Representatives — State: CA — District: 30 — ☐ Officer Or Employee — Employing Office:

**Report Type** — ☑ Annual (May 15) — ☐ Amendment — ☐ Termination — Termination Date:

**A $200 penalty shall be assessed against anyone who files more than 30 days late.**

## PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

| | Question | Yes | No |
|---|---|---|---|
| I. | Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.** | ☐ | ☑ |
| II. | Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.** | ☑ | ☐ |
| III. | Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.** | ☑ | ☐ |
| IV. | Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.** | ☑ | ☐ |
| V. | Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.** | ☐ | ☑ |
| VI. | Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $305 and not otherwise exempt)? **If yes, complete and attach Schedule VI.** | ☐ | ☑ |
| VII. | Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $305 from one source)? **If yes, complete and attach Schedule VII.** | ☑ | ☐ |
| VIII. | Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.** | ☐ | ☑ |
| IX. | Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.** | ☐ | ☑ |

**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**

## EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

| | | Yes | No |
|---|---|---|---|
| **Trusts-** | Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct 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? | ☐ | ☑ |
| **Exemptions--** | 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? | ☐ | ☑ |

## CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and wilfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

| Certification | Signature of Reporting Individual | Date (Month, Day, Year) |
|---|---|---|
| I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief. | Henry A Waxman | May 10, 2006 |

## SCHEDULE II - PAYMENTS MADE TO CHARITY IN LIEU OF HONORARIA

Name Representative Henry A. Waxman



**List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.**

| Source | Activity | Date | Amount |
|---|---|---|---|
| Generic Pharmaceutical Association | Speech / conference | Feb. 25, 2005 | $2,000 |
| Institute for International Research | Speech | April 28, 2005 | $2,000 |
| American College of Occupational and Environmental Medicine | Speech | May 1, 2005 | $2,000 |
| Generic Pharmaceutical Association | Speech | Sept, 20, 2005 | $2,000 |
| Institute for International Research | Speech | Sept. 29, 2005 | $2,000 |
| Center for Business Intelligence | Speech | Nov. 17, 2005 | $2,000 |

## SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Representative Henry A. Waxman



| | BLOCK A<br>**Asset and/or Income Source**<br>Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year.<br><br>Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.<br><br>If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left. | BLOCK B<br>**Year-End Value of Asset**<br>at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None." | BLOCK C<br>**Type of Income**<br>If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income) | BLOCK D<br>**Amount of Income**<br>For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income. | BLOCK E<br>**Transaction**<br>Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year. |
|---|---|---|---|---|---|
| | Fidelity Low Priced Stock (IRA) | $50,001 - $100,000 | Dividends, interest & capital gains | $201 - $1,000 | |
| JT | Fidelity Contrafund | $15,001 - $50,000 | Dividends, interest & capital gains | $201 - $1,000 | |
| JT | Fidelity Fund | $15,001 - $50,000 | Dividends, interest & capital gains | $201 - $1,000 | |
| JT | Fidelity Magellan | $15,001 - $50,000 | Dividends, interest & capital gains | $201 - $1,000 | |
| JT | I Bond | $1,001 - $15,000 | Interest | $201 - $1,000 | |

## SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Representative Henry A. Waxman



| | | | | | |
|---|---|---|---|---|---|
| SP | CA Health FFA Municipal Bond | $1,001 - $15,000 | Interest | $201 - $1,000 | |
| SP | CA State Board Municipal Bond | $15,001 - $50,000 | Interest | $201 - $1,000 | |
| SP | Vallejo CA Unified School District Municipal Bond | None | Dividends, interest & capital gains | $201 - $1,000 | S |
| SP | US Treasury Note | $15,001 - $50,000 | Interest | $201 - $1,000 | |
| SP | Israel Bonds | $1,001 - $15,000 | Interest | $201 - $1,000 | P |
| JT | Israel Bonds | $1,001 - $15,000 | Interest | $201 - $1,000 | |
| SP | Vanguard Inflation-Protected Security Investment (Roth IRA) | $1,001 - $15,000 | Interest | $201 - $1,000 | P |
| SP | Vanguard Small Cap Index (Roth IRA) | $1,001 - $15,000 | Dividends, interest & capital gains | $201 - $1,000 | |
| SP | Vanguard Small Cap Index (IRA) | $15,001 - $50,000 | Dividends, interest & capital gains | $201 - $1,000 | |
| | Vanguard Short Term Investment Grade Fund (IRA) | $1,001 - $15,000 | Interest | $201 - $1,000 | |
| | Vanguard Inflation-Protection Security Investment (IRA) | $1,001 - $15,000 | Interest | $201 - $1,000 | |
| | Vanguard European Stock Index | $1,001 - $15,000 | Dividends, interest & capital gains | $201 - $1,000 | |
| | Vanguard 500 Index Fund (IRA) | $1,001 - $15,000 | Dividends, interest & capital gains | $201 - $1,000 | |

## SCHEDULE III - ASSETS AND "UNEARNED" INCOME



| | | | | | |
|---|---|---|---|---|---|
| | Vanguard REIT Index Fund (IRA) | $50,001 - $100,000 | Dividends, interest & capital gains | $2,501 - $5,000 | |
| | Vanguard Pacific Stock Index (IRA) | $15,001 - $50,000 | Dividends, interest & capital gains | $201 - $1,000 | |
| | Vanguard REIT Index Fund (Roth IRA) | $1,001 - $15,000 | Dividends, interest & capital gains | $201 - $1,000 | P |
| JT | Vanguard Emerging Markets | $15,001 - $50,000 | Dividends, interest & capital gains | $1,001 - $2,500 | P |
| JT | Vanguard European Stock Index | $15,001 - $50,000 | Dividends, interest & capital gains | $201 - $1,000 | |
| JT | Vanguard Extended Markets | $50,001 - $100,000 | Dividends, interest & capital gains | $201 - $1,000 | |
| JT | Vanguard 500 Index Fund | $100,001 - $250,000 | Dividends, interest & capital gains | $201 - $1,000 | P |
| JT | Vanguard Pacific Stock Index | $15,001 - $50,000 | Dividends, interest & capital gains | $201 - $1,000 | P |
| JT | Vanguard Mid Cap Index | $50,001 - $100,000 | Dividends, interest & capital gains | $201 - $1,000 | P |

## SCHEDULE IV - TRANSACTIONS

Name Representative Henry A. Waxman



**Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.**

| SP, DC, JT | Asset | Type of Transaction | Date | Amount of Transaction |
|---|---|---|---|---|
| SP | Vanguard Inflation-Protected Security | P | 3-16-05, 4-15-05, 5-15-05, 6-15-05, 7-15-05, 8-15-05, 9-15-05, 10-15-05, 11-15-05, 12-15-05 | $1,001 - $15,000 |
| JT | Vanguard Emerging Market Index | P | 2-2-05, 2-15-05, 11-30-05 | $1,001 - $15,000 |
| JT | Vanguard Pacific Stock Index | P | 9-30-05, 11-30-05 | $1,001 - $15,000 |
| JT | Vanguard Mid Cap Index | P | 2-11-05 | $15,001 - $50,000 |
| | Vanguard REIT Index Fund (IRA) | P | 3-15-05, 4-15-05, 6-15-05, 7-15-05, 8-15-05, 9-15-05, 10-15-05, 11-15-05, 12-15-05 | $1,001 - $15,000 |
| SP | State of Israel Bond | P | 11-1-05 | $500 |
| SP | Vallejo CA Unified School District Municipal Bond | S | 2-1-05 | $15,001 - $50,000 |
| JT | Vanguard 500 Index Fund | P | 2-15-05 | $15,001 - $50,000 |

## SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Representative Henry A. Waxman



**Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $305 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.**

| Source | Date(s) | Point of Departure--Destination--Point of Return | Lodging? (Y/N) | Food? (Y/N) | Was a Family Member Included? (Y/N) | Days not at sponsor's expense |
|---|---|---|---|---|---|---|
| The Aspen Institute Congressional Program | Jan. 9-14, 2005 | Rep. Waxman - Los Angeles, Punta Mita, Mexico - Washington<br><br>Mrs. Waxman - Washington - Punta Mita, Mexico - Washington | Y | Y | Y | None |
| The Generic Pharmaceutical Association | Feb. 24-26, 2005 | Los Angeles - Fort Lauderdale, FL - Washington | Y | Y | N | One day |
| The Faith and Politics Institute | March 4-6, 2005 | Washington - Birmingham, AL - Washington | Y | Y | Y | None |
| American Israel Education Foundation | August 8-26, 2005 | Washington - Tel Aviv, Israel - Washington | Y | Y | Y | 7 days |