



FINANCIAL DISCLOSURE REPORT

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FILER INFORMATION

Name: Hon. Raúl M. Grijalva
Status: Member
State/District: AZ03

FILING INFORMATION

Filing Type: Annual Report
Filing Year: 2020
Filing Date: 07/15/2021

SCHEDULE A: ASSETS AND "UNEARNED" INCOME

| Asset | Owner | Value of Asset | Income Type(s) | Income | Tx. > \$1,000? |
|--|-------|----------------------|--------------------------|--------------------|-------------------------------------|
| 3426 9TH AVE [RP] LOCATION: Tucson, AZ, US | | \$50,001 - \$100,000 | Rent | \$5,001 - \$15,000 | <input type="checkbox"/> |
| AMERICAN CAP WRLD GR & INC F2 (WGIFX) [MF] | SP | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | <input checked="" type="checkbox"/> |
| ARIZONA STATE RETIREMENT SYSTEM [PE] | | Undetermined | Tax-Deferred | | <input type="checkbox"/> |
| BLACKROCK EN GLBL DIV TR [EF] | SP | None | Dividends | \$1 - \$200 | <input checked="" type="checkbox"/> |
| CALAMOS GLBL TOTAL RETURN (CGO) [EF] | SP | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | <input checked="" type="checkbox"/> |
| CALAMOS STRG TTL RETURN FD (CSQ) [EF] | SP | \$1,001 - \$15,000 | Capital Gains, Dividends | \$1 - \$200 | <input checked="" type="checkbox"/> |
| CITY OF TUCSON SUPPLEMENTAL RETIREMENT SYSTEM [PE] | SP | Undetermined | Tax-Deferred | | <input type="checkbox"/> |
| COHEN&STEERS INFRASTRUCTURE FD (UTF) [EF] | SP | None | Capital Gains, Dividends | \$1 - \$200 | <input checked="" type="checkbox"/> |

| Asset | Owner | Value of Asset | Income Type(s) | Income | Tx. > \$1,000? |
|--|-------|---------------------|--------------------------|-----------------|-------------------------------------|
| FEDERATED HRMS ULTRASHT BD IS [MF] | SP | None | Dividends | \$1 - \$200 | <input checked="" type="checkbox"/> |
| INVESCO DIVERSIFIED DIVIDEND Y [MF] | SP | None | Dividends | \$1 - \$200 | <input checked="" type="checkbox"/> |
| INVESCO GLOBAL Y OGLYX [MF] | SP | \$1,001 - \$15,000 | Capital Gains | \$201 - \$1,000 | <input checked="" type="checkbox"/> |
| INVESCO VAN KAMPEN BOND FUND (VBF) [EF] | SP | \$1,001 - \$15,000 | Capital Gains, Dividends | \$1 - \$200 | <input checked="" type="checkbox"/> |
| ISHARES NASDAQ BIOTECH ETF [EF] | SP | None | Dividends | \$1 - \$200 | <input checked="" type="checkbox"/> |
| JOHN HANCOCK FINANCIAL OPPS FD BTO [EF] | SP | None | Capital Gains, Dividends | \$201 - \$1,000 | <input checked="" type="checkbox"/> |
| LORD ABBETT ULTRA SHORT BD F (LUBFX) [MF] | SP | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | <input checked="" type="checkbox"/> |
| MORGAN STANLEY BANK NA [BA] | SP | \$15,001 - \$50,000 | Interest | \$1 - \$200 | <input type="checkbox"/> |
| NATIXIS LOOMIS SAY INV GR BD Y (LSIIX) [MF] | SP | \$1,001 - \$15,000 | Capital Gains, Dividends | \$1 - \$200 | <input checked="" type="checkbox"/> |
| PGIM JENN GLBL OPPORTUNITIES Z (PRJZX) [MF] | SP | \$1,001 - \$15,000 | Capital Gains, Dividends | \$1 - \$200 | <input checked="" type="checkbox"/> |
| DESCRIPTION: listed as PRUDENTIAL JENNISON GLB OPP Z in 2017 filings | | | | | |
| PUBLIC SAFETY PERSONNEL RETIREMENT SYSTEM [PE] | | Undetermined | Tax-Deferred | | <input type="checkbox"/> |
| SPDR S&P 500 ETF TRUST [EF] | SP | None | Dividends | \$1 - \$200 | <input checked="" type="checkbox"/> |
| TEKLA HEALTHCARE OPP FUND (THQ) [EF] | SP | \$1,001 - \$15,000 | Capital Gains, Dividends | \$1 - \$200 | <input checked="" type="checkbox"/> |
| TRANSAMERICA SHT TERM BOND I (TSTIX) [MF] | SP | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | <input checked="" type="checkbox"/> |
| VANGUARD MIDCAP GROWTH ETF [EF] | SP | None | Dividends | \$1 - \$200 | <input checked="" type="checkbox"/> |

* For the complete list of asset type abbreviations, please visit <https://fd.house.gov/reference/asset-type-codes.aspx>.

SCHEDULE B: TRANSACTIONS

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > \$200? |
|--|--------------|-------------|-----------------|--------------------|-------------------------------|
| AMERICAN CAP WRLD GR & INC F2 (WGIFX) [MF] | SP | 03/24/2020 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| AMERICAN CAP WRLD GR & INC F2 (WGIFX) [MF] | SP | 07/28/2020 | P | \$1,001 - \$15,000 | |
| AMERICAN CAP WRLD GR & INC F2 (WGIFX) [MF] | SP | 11/17/2020 | P | \$1,001 - \$15,000 | |
| AMERICAN CAP WRLD GR & INC F2 (WGIFX) [MF] | SP | 12/2/2020 | P | \$1,001 - \$15,000 | |
| BLACKROCK EN GLBL DIV TR [EF] | SP | 03/24/2020 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| CALAMOS GLBL TOTAL RETURN (CGO) [EF] | SP | 11/17/2020 | P | \$1,001 - \$15,000 | |
| CALAMOS GLBL TOTAL RETURN (CGO) [EF] | SP | 11/30/2020 | P | \$1,001 - \$15,000 | |
| CALAMOS STRG TTL RETURN FD (CSQ) [EF] | SP | 11/17/2020 | P | \$1,001 - \$15,000 | |
| CLEARBRIDGE ALL CAP VALUE I [MF] | SP | 03/24/2020 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| CLEARBRIDGE APPRECIATION I [MF] | SP | 03/24/2020 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| COHEN&STEERS INFRASTRUCTURE FD (UTF) [EF] | SP | 03/24/2020 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| COHEN&STEERS INFRASTRUCTURE FD (UTF) [EF] | SP | 05/19/2020 | P | \$1,001 - \$15,000 | |
| COHEN&STEERS INFRASTRUCTURE FD (UTF) [EF] | SP | 07/28/2020 | P | \$1,001 - \$15,000 | |
| COHEN&STEERS INFRASTRUCTURE FD (UTF) [EF] | SP | 08/25/2020 | P | \$1,001 - \$15,000 | |
| COHEN&STEERS INFRASTRUCTURE FD (UTF) [EF] | SP | 11/17/2020 | P | \$1,001 - \$15,000 | |
| COHEN&STEERS INFRASTRUCTURE FD (UTF) [EF] | SP | 12/7/2020 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| CONGRESS MID CAP GROWTH INSTL [MF] | SP | 03/24/2020 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| FEDERATED HRMS ULTRASHT BD IS [MF] | SP | 12/2/2020 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > \$200? |
|---|-------|------------|----------|--------------------|--------------------------|
| FEDERATED ULTRA SHORT BD IS [MF] | SP | 05/15/2020 | P | \$1,001 - \$15,000 | |
| FIRST TR VALU.LN DIV IDX [EF] | SP | 03/24/2020 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| FIRST TRUST WATER ETF (FIW) [EF] | SP | 03/24/2020 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| FT NASDAQ CYBERSECUR ETF [EF] | SP | 03/24/2020 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| INVESCO DIVERSIFIED DIVIDEND Y [MF] | SP | 03/24/2020 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| INVESCO GLOBAL Y OGLYX [MF] | SP | 12/2/2020 | P | \$1,001 - \$15,000 | |
| INVESCO OPP GLOBAL Y OGLYX [MF] | SP | 03/24/2020 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| INVESCO VAN KAMPEN BOND FUND (VBF) [EF] | SP | 07/13/2020 | P | \$1,001 - \$15,000 | |
| ISHARES NASDAQ BIOTECH ETF [EF] | SP | 07/28/2020 | P | \$1,001 - \$15,000 | |
| ISHARES NASDAQ BIOTECH ETF [EF] | SP | 12/7/2020 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| JOHN HANCOCK FINANCIAL OPPTS FD BTO [EF] | SP | 03/24/2020 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| JOHN HANCOCK FINANCIAL OPPTS FD BTO [EF] | SP | 05/19/2020 | P | \$1,001 - \$15,000 | |
| JOHN HANCOCK FINANCIAL OPPTS FD BTO [EF] | SP | 07/28/2020 | P | \$1,001 - \$15,000 | |
| JOHN HANCOCK FINANCIAL OPPTS FD BTO [EF] | SP | 08/25/2020 | P | \$1,001 - \$15,000 | |
| JOHN HANCOCK FINANCIAL OPPTS FD BTO [EF] | SP | 12/7/2020 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| LIBERTY ALL STAR EQUITY FD SBI [MF] | SP | 11/17/2020 | P | \$1,001 - \$15,000 | |
| LIBERTY ALL STAR EQUITY FD SBI [MF] | SP | 12/7/2020 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| LORD ABBETT ULTRA SHORT BD F (LUBFX) [MF] | SP | 05/14/2020 | P | \$1,001 - \$15,000 | |
| LORD ABBETT ULTRA SHORT BD F (LUBFX) [MF] | SP | 08/25/2020 | P | \$1,001 - \$15,000 | |

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > \$200? |
|---|-------|------------|-------------|--------------------|--------------------------|
| LORD ABBETT ULTRA SHORT BD F (LUBFX) [MF] | SP | 11/30/2020 | S (partial) | \$1,001 - \$15,000 | <input type="checkbox"/> |
| MFS MA INVESTORS GW STK I [MF] | SP | 01/28/2020 | S (partial) | \$1,001 - \$15,000 | <input type="checkbox"/> |
| MFS MA INVESTORS GW STK I [MF] | SP | 03/24/2020 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| NATIXIS LOOMIS SAY INV GR BD Y (LSIIX) [MF] | SP | 07/28/2020 | P | \$1,001 - \$15,000 | |
| PGIM JENN GLBL OPPORTUNITIES Z (PRJZX) [MF] | SP | 03/24/2020 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| PGIM JENN GLBL OPPORTUNITIES Z (PRJZX) [MF] | SP | 07/28/2020 | P | \$1,001 - \$15,000 | |
| PGIM JENN GLBL OPPORTUNITIES Z (PRJZX) [MF] | SP | 11/30/2020 | P | \$1,001 - \$15,000 | |
| SPDR Gold Trust (GLD) [ST] | SP | 05/14/2020 | P | \$1,001 - \$15,000 | |
| SPDR Gold Trust (GLD) [ST] | SP | 08/25/2020 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| SPDR S&P 500 ETF TRUST [EF] | SP | 01/30/2020 | S (partial) | \$1,001 - \$15,000 | <input type="checkbox"/> |
| SPDR S&P 500 ETF TRUST [EF] | SP | 03/24/2020 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| TEKLA HEALTHCARE OPP FUND (THQ) [EF] | SP | 07/28/2020 | P | \$1,001 - \$15,000 | |
| TEKLA HEALTHCARE OPP FUND (THQ) [EF] | SP | 11/17/2020 | P | \$1,001 - \$15,000 | |
| TRANSAMERICA SHT TERM BOND I (TSTIX) [MF] | SP | 07/28/2020 | P | \$1,001 - \$15,000 | |
| TRANSAMERICA SHT TERM BOND I (TSTIX) [MF] | SP | 08/25/2020 | P | \$1,001 - \$15,000 | |
| TRANSAMERICA SHT TERM BOND I (TSTIX) [MF] | SP | 12/2/2020 | S (partial) | \$1,001 - \$15,000 | <input type="checkbox"/> |
| VANGUARD MIDCAP GROWTH ETF [EF] | SP | 03/24/2020 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > \$200? |
|--|-------|------------|----------|--------------------|--------------------------|
| WELLS FARGO SPECIAL MDCP VL I (WFMIX) [MF] | SP | 03/24/2020 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |

* For the complete list of asset type abbreviations, please visit <https://fd.house.gov/reference/asset-type-codes.aspx>.

SCHEDULE C: EARNED INCOME

| Source | Type | Amount |
|---|----------------|--------|
| CITY OF TUCSON SUPPLEMENTAL RETIREMENT SYSTEM | SPOUSE PENSION | N/A |

SCHEDULE D: LIABILITIES

| Owner | Creditor | Date Incurred | Type | Amount of Liability |
|-------|------------------|---------------|--|-----------------------|
| | WELLS FARGO BANK | 2008 | MORTGAGE ON 220 13TH ST SE #4, WASHINGTON DC 20003 | \$250,001 - \$500,000 |

SCHEDULE E: POSITIONS

| Position | Name of Organization |
|---|---|
| ADVISORY COUNCIL MEMBER (UNCOMPENSATED) | CONGRESSIONAL HISPANIC CAUCUS INSTITUTE |
| BOARD MEMBER (UNCOMPENSATED) | PROGRESSIVE CONGRESS |

SCHEDULE F: AGREEMENTS

| Date | Parties To | Terms of Agreement |
|---------------|--|--|
| December 1999 | RAUL GRIJALVA, ARIZONA STATE RETIREMENT SYSTEM | RETIREMENT PLAN (NOT SELF DIRECTED) |
| February 2002 | RAUL GRIJALVA, PUBLIC SAFETY PERSONNEL RETIREMENT SYSTEM | ELECTED OFFICIALS RETIREMENT ACCOUNT (NOT SELF DIRECTED) |

SCHEDULE G: GIFTS

None disclosed.

SCHEDULE H: TRAVEL PAYMENTS AND REIMBURSEMENTS

None disclosed.

SCHEDULE I: PAYMENTS MADE TO CHARITY IN LIEU OF HONORARIA

None disclosed.

EXCLUSIONS OF SPOUSE, DEPENDENT, OR TRUST INFORMATION

IPO: Did you purchase any shares that were allocated as a part of an Initial Public Offering?

Yes No

Trusts: Details regarding "Qualified Blind Trusts" approved by the Committee on Ethics 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?

Yes No

Exemption: 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?

Yes No

CERTIFICATION AND SIGNATURE

I CERTIFY that the statements I have made on the attached Financial Disclosure Report are true, complete, and correct to the best of my knowledge and belief.

Digitally Signed: Hon. Raúl M. Grijalva , 07/15/2021