

United States Senate

## Financial Disclosures

## Annual Report for Calendar 2018

Ms. Kamala D Harris (Harris, Kamala)

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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.
- 
- 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 | Type                      | Who Paid                                 | Amount Paid  |
|---|--------------|---------------------------|--|--------------|
| 1 | Spouse       | Partnership Distributions | Venable LLP<br>Los Angeles, California   | > \$1,000    |
| 2 | Spouse       | Salary                    | DLA Piper LLP<br>Los Angeles, CA         | > \$1,000    |
| 3 | Self         | Other<br>(Advance)        | Penguin Random House LLC<br>New York, NY | \$320,125.00 |

### 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**

|     | Asset  | Asset Type                                | Owner  | Value                 | Income Type               | Income                    |
|-----|--|---|--------|-----------------------|---------------------------|---------------------------|
| 1   | <b>Wells Fargo</b><br>(Los Angeles, California)<br>Type: Checking,             | Bank Deposit                              | Self   | \$1,001 - \$15,000    | None,                     | None (or less than \$201) |
| 2   | <b>Wells Fargo</b><br>(Los Angeles, California)<br>Type: Savings,              | Bank Deposit                              | Self   | \$250,001 - \$500,000 | Interest,                 | \$201 - \$1,000           |
| 3   | <b>First Republic Bank</b><br>(San Francisco, California)<br>Type: Checking,   | Bank Deposit                              | Spouse | \$1,001 - \$15,000    | None,                     | None (or less than \$201) |
| 4   | <b>Wells Fargo</b><br>(Los Angeles, California)<br>Type: Money Market Account, | Bank Deposit                              | Spouse | \$15,001 - \$50,000   | None,                     | None (or less than \$201) |
| 5   | <b>State of California Savings Plus 457(b) Plan</b>                            | Retirement Plans<br>Deferred Compensation | Self   |                       |                           |                           |
| 5.1 | <b>Target Date Fund 2025</b>   | Mutual Funds<br>Mutual Fund               | Self   | \$50,001 - \$100,000  | Excepted Investment Fund, | None (or less than \$201) |
| 6   | <b>City &amp; County of San Francisco 457(b) Deferred Compensation Plan</b>    | Retirement Plans<br>Deferred Compensation | Self   |                       |                           |                           |
| 6.1 | <b>SFDCP Target Date 2025</b>  | Mutual Funds<br>Mutual Fund               | Self   | \$15,001 - \$50,000   | Excepted Investment Fund, | None (or less than \$201) |
| 6.2 | <b>SFDCP Large Cap Growth Eq</b>   | Mutual Funds<br>Mutual Fund               | Self   | \$100,001 - \$250,000 | Excepted Investment Fund, | None (or less than \$201) |
| 6.3 | <b>SFDCP Lg Cap Eq - S&amp;P 500</b>   | Mutual Funds<br>Mutual Fund               | Self   | \$15,001 - \$50,000   | Excepted Investment Fund, | None (or less than \$201) |

|     | Asset   | Asset Type                                      | Owner  | Value                      | Income Type                     | Income                    |
|-----|---|---|--------|----------------------------|---------------------------------|---------------------------|
| 6.4 | <b>SFDCP Mid Cap Core</b>   | Mutual Funds<br>Mutual Fund                     | Self   | \$50,001 -<br>\$100,000    | Excepted<br>Investment<br>Fund, | None (or less than \$201) |
| 6.5 | <b>SFDCP International Equity</b>   | Mutual Funds<br>Mutual Fund                     | Self   | \$50,001 -<br>\$100,000    | Excepted<br>Investment<br>Fund, | None (or less than \$201) |
| 6.6 | <b>SFDCP Real Estate</b>  | Mutual Funds<br>Mutual Fund                     | Self   | \$15,001 -<br>\$50,000     | Excepted<br>Investment<br>Fund, | None (or less than \$201) |
| 7   | <b>Venable LLP Capital Account</b><br><i>Description: Partner Capital<br/>Account (Los Angeles, California)</i>   | Other Securities                                | Spouse | \$500,001 -<br>\$1,000,000 | Interest,                       | \$15,001 - \$50,000       |
| 8   | <b>Merrill Lynch - IRRA</b>   | Retirement<br>Plans<br>IRA                      | Spouse |                            |                                 |                           |
| 8.1 | <b>Merrill Lynch-Bank of America<br/>N/A</b><br><i>(Century City, California)<br/>Type: Money Market Account,</i> | Bank Deposit                                    | Spouse | \$15,001 -<br>\$50,000     | None,                           | None (or less than \$201) |
| 8.2 | <b>LQD - iShares iBoxx \$ Invmt<br/>Grade Corp Bd ETF</b>   | Mutual Funds<br>Exchange<br>Traded<br>Fund/Note | Spouse | \$15,001 -<br>\$50,000     | Excepted<br>Investment<br>Fund, | None (or less than \$201) |
| 8.3 | <b>TIP - iShares TIPS Bond ETF</b>  | Mutual Funds<br>Exchange<br>Traded<br>Fund/Note | Spouse | \$1,001 -<br>\$15,000      | Excepted<br>Investment<br>Fund, | None (or less than \$201) |
| 8.4 | <b>IEI - iShares 3-7 Year Treasury<br/>Bond ETF</b>   | Mutual Funds<br>Exchange<br>Traded<br>Fund/Note | Spouse | \$15,001 -<br>\$50,000     | Excepted<br>Investment<br>Fund, | None (or less than \$201) |
| 8.5 | <b>MBB - iShares MBS ETF</b>  | Mutual Funds<br>Exchange<br>Traded<br>Fund/Note | Spouse | \$50,001 -<br>\$100,000    | Excepted<br>Investment<br>Fund, | None (or less than \$201) |

|      | Asset Type  | Owner                                  | Value                           | Income Type                         |                                     |
|------|---|--|---------------------------------|-------------------------------------|-------------------------------------|
| 8.6  | <b><u>HYG</u> - iShares iBoxx \$ High Yield Corp Bd ETF</b>     | Mutual Funds Exchange Traded Fund/Note | Spouse<br>\$1,001 - \$15,000    | Income<br>Exempted Investment Fund, | None (or less than \$201)<br>Income |
| 8.7  | <b><u>IEMG</u> - iShares Core MSCI Emerging Markets ETF</b>     | Mutual Funds Exchange Traded Fund/Note | Spouse<br>\$50,001 - \$100,000  | Exempted Investment Fund,           | None (or less than \$201)           |
| 8.8  | <b><u>PCY</u> - Invesco Emerging Markets Sovereign Debt ETF</b> | Mutual Funds Exchange Traded Fund/Note | Spouse<br>\$1,001 - \$15,000    | Exempted Investment Fund,           | None (or less than \$201)           |
| 8.9  | <b><u>PGX</u> - PowerShares Preferred ETF</b>                   | Mutual Funds Exchange Traded Fund/Note | Spouse<br>\$1,001 - \$15,000    | Exempted Investment Fund,           | None (or less than \$201)           |
| 8.10 | <b><u>EMLC</u> - VanEck Vectors JP Morgan EM LC Bd ETF</b>      | Mutual Funds Exchange Traded Fund/Note | Spouse<br>\$1,001 - \$15,000    | Exempted Investment Fund,           | None (or less than \$201)           |
| 8.11 | <b><u>VBR</u> - Vanguard Small-Cap Value ETF</b>                | Mutual Funds Exchange Traded Fund/Note | Spouse<br>\$15,001 - \$50,000   | Exempted Investment Fund,           | None (or less than \$201)           |
| 8.12 | <b><u>VBK</u> - Vanguard Small-Cap Growth ETF</b>               | Mutual Funds Exchange Traded Fund/Note | Spouse<br>\$15,001 - \$50,000   | Exempted Investment Fund,           | None (or less than \$201)           |
| 8.13 | <b><u>VTV</u> - Vanguard Value ETF</b>                          | Mutual Funds Exchange Traded Fund/Note | Spouse<br>\$250,001 - \$500,000 | Exempted Investment Fund,           | None (or less than \$201)           |
| 8.14 | <b><u>VUG</u> - Vanguard Growth ETF</b>                         | Mutual Funds Exchange Traded Fund/Note | Spouse<br>\$100,001 - \$250,000 | Exempted Investment Fund,           | None (or less than \$201)           |

|      | Asset   | Asset type   | Owner  | Value                 | Income Type               | Income                    |
|------|---|--|--------|-----------------------|---------------------------|---------------------------|
| 8.15 | <b>BIV - Vanguard Interm-Term Bond ETF</b>  | Mutual Funds Exchange Traded Fund/Note             | Spouse | \$50,001 - \$100,000  | Excepted Investment Fund, | None (or less than \$201) |
| 8.16 | <b>BSV - Vanguard Short-Term Bond ETF</b>   | Mutual Funds Exchange Traded Fund/Note             | Spouse | \$15,001 - \$50,000   | Excepted Investment Fund, | None (or less than \$201) |
| 8.17 | <b>IEFA - iShares Core MSCI EAFE ETF</b>  | Mutual Funds Exchange Traded Fund/Note             | Spouse | \$100,001 - \$250,000 | Excepted Investment Fund, | None (or less than \$201) |
| 9    | <b>Whitwell Jacoby Emhoff LLP SEP</b>   | Retirement Plans Defined Contribution Pension Plan | Spouse |                       |                           |                           |
| 9.1  | <b>BIV - Vanguard Intermediate-Term Bond ETF (NYSEArca)</b>   | Mutual Funds Exchange Traded Fund/Note             | Spouse | \$1,001 - \$15,000    | Excepted Investment Fund, | None (or less than \$201) |
| 9.2  | <b>IBB - iShares Nasdaq Biotechnology (NASDAQ)</b>  | Mutual Funds Exchange Traded Fund/Note             | Spouse | \$1,001 - \$15,000    | Excepted Investment Fund, | None (or less than \$201) |
| 9.3  | <b>IEI - iShares 3-7 Year Treasury Bond (NYSEArca)</b>  | Mutual Funds Exchange Traded Fund/Note             | Spouse | \$1,001 - \$15,000    | Excepted Investment Fund, | None (or less than \$201) |
| 9.4  | <b>IEMG - iShares Core MSCI Emerging Markets (NYSEArca)</b>   | Mutual Funds Exchange Traded Fund/Note             | Spouse | \$1,001 - \$15,000    | Excepted Investment Fund, | None (or less than \$201) |
| 9.5  | <b>Merrill Lynch-Bank of America N/A</b><br>(Century City, California)<br>Type: Money Market Account, | Bank Deposit                                       | Spouse | \$1,001 - \$15,000    | None,                     | None (or less than \$201) |

|      |  | Asset Type                             | Owner  | Value              | Income Type               | Income                    |
|------|--|--|--------|--------------------|---------------------------|---------------------------|
| 9.6  | <b><u>LQD</u> - iShares iBoxx \$ Invst Grade Crp Bond (NYSEArca)</b> | Mutual Funds Exchange Traded Fund/Note | Spouse | \$1,001 - \$15,000 | Excepted Investment Fund, | None (or less than \$201) |
| 9.7  | <b><u>MBB</u> - iShares MBS (NYSEArca)</b>                           | Mutual Funds Exchange Traded Fund/Note | Spouse | \$1,001 - \$15,000 | Excepted Investment Fund, | None (or less than \$201) |
| 9.8  | <b><u>VAW</u> - Vanguard Materials ETF</b>                           | Mutual Funds Exchange Traded Fund/Note | Spouse | \$1,001 - \$15,000 | Excepted Investment Fund, | None (or less than \$201) |
| 9.9  | <b><u>VDC</u> - Vanguard Consumer Staples ETF (NYSEArca)</b>         | Mutual Funds Exchange Traded Fund/Note | Spouse | \$1,001 - \$15,000 | Excepted Investment Fund, | None (or less than \$201) |
| 9.10 | <b><u>VGT</u> - Vanguard Information Technology ETF (NYSEArca)</b>   | Mutual Funds Exchange Traded Fund/Note | Spouse | \$1,001 - \$15,000 | Excepted Investment Fund, | None (or less than \$201) |
| 9.11 | <b><u>VIS</u> - Vanguard Industrials ETF (NYSEArca)</b>              | Mutual Funds Exchange Traded Fund/Note | Spouse | \$1,001 - \$15,000 | Excepted Investment Fund, | None (or less than \$201) |
| 9.12 | <b><u>XLF</u> - Financial Select Sector SPDR ETF (NYSEArca)</b>      | Mutual Funds Exchange Traded Fund/Note | Spouse | \$1,001 - \$15,000 | Excepted Investment Fund, | None (or less than \$201) |
| 9.13 | <b><u>XLV</u> - Health Care Select Sector SPDR ETF (NYSEArca)</b>    | Mutual Funds Exchange Traded Fund/Note | Spouse | \$1,001 - \$15,000 | Excepted Investment Fund, | None (or less than \$201) |
| 9.14 | <b><u>XLV</u> - Consumer Discret Sel Sect SPDR ETF (NYSEArca)</b>    | Mutual Funds Exchange Traded Fund/Note | Spouse | \$1,001 - \$15,000 | Excepted Investment Fund, | None (or less than \$201) |

| Asset  | Asset Type                                    | Owner  | Value                       | Income Type                      | Income                    |
|--|---|--------|-----------------------------|----------------------------------|---------------------------|
| 9.15 <b>PGY - PowerShares Exchange-Traded Fund Trust II - Powers</b>   | Mutual Funds Exchange Traded Fund/Note        | Spouse | \$1,001 - \$15,000          | Income Excepted Investment Fund, | None (or less than \$201) |
| 9.16 <b>TIP - iShares Trust - iShares TIPS Bond ETF</b>  | Mutual Funds Exchange Traded Fund/Note        | Spouse | \$1,001 - \$15,000          | Excepted Investment Fund,        | None (or less than \$201) |
| 9.17 <b>XLRE - Real Estate Select Sector SPDR</b>  | Mutual Funds Exchange Traded Fund/Note        | Spouse | \$1,001 - \$15,000          | Excepted Investment Fund,        | None (or less than \$201) |
| 9.18 <b>BSV - Vanguard Short-Term Bond ETF</b>   | Mutual Funds Exchange Traded Fund/Note        | Spouse | \$1,001 - \$15,000          | Excepted Investment Fund,        | None (or less than \$201) |
| 9.19 <b>FDN - First Trust Dow Jones Internet ETF</b>   | Mutual Funds Exchange Traded Fund/Note        | Spouse | \$1,001 - \$15,000          | Excepted Investment Fund,        | None (or less than \$201) |
| 9.20 <b>IEFA - iShares Core MSCI EAFE ETF</b>  | Mutual Funds Exchange Traded Fund/Note        | Spouse | \$1,001 - \$15,000          | Excepted Investment Fund,        | None (or less than \$201) |
| 9.21 <b>XLE - Energy Select Sector SPDR Fund</b><br><i>Filer comment: Initial purchase greater than \$1,000; current value below the reporting threshold</i> | Mutual Funds Exchange Traded Fund/Note        | Spouse | None (or less than \$1,001) | Excepted Investment Fund,        | None (or less than \$201) |
| 10 <b>San Francisco Employees Retirement System (SFERS) Plan</b>   | Retirement Plans Defined Benefit Pension Plan | Self   | \$250,001 - \$500,000       | Excepted Investment Fund,        | None (or less than \$201) |

|      | Asset   | Retirement Plans                  | Spouse | Value                   | Income Type               | Income                    |
|------|---|-----------------------------------|--------|-------------------------|---------------------------|---------------------------|
| 11   | <b>DLA Piper LLP - Profit Sharing &amp; 401(k) Plan</b>                     | Defined Contribution Pension Plan | Spouse |                         |                           |                           |
| 11.1 | <b>Vanguard Target Retirement 2030 Trust II</b>                             | Mutual Funds Mutual Fund          | Spouse | \$15,001 - \$50,000     | Excepted Investment Fund, | None (or less than \$201) |
| 12   | <b>DLA Piper LLP</b><br><i>Description: DLA Piper LLP (Los Angeles, CA)</i> | Other Securities                  | Spouse | \$500,001 - \$1,000,000 | None,                     | 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. 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 | Spouse | <u>LQD</u>  | iShares iBoxx \$ Investment Grade Corporate Bond ET | Purchase         | 06/21/2018       | \$1,001 - \$15,000 | --      |
| 2 | Spouse | <u>IEMG</u> | iShares Core MSCI Emerging Markets ETF              | Purchase         | 06/21/2018       | \$1,001 - \$15,000 | --      |
| 3 | Spouse | <u>VBR</u>  | Vanguard Small-Cap Value Index Fund ETF Shares      | Sale (Partial)   | 06/21/2018       | \$1,001 - \$15,000 | --      |
| 4 | Spouse | <u>VBK</u>  | Vanguard Small-Cap Growth Index Fund ETF Shares     | Purchase         | 06/21/2018       | \$1,001 - \$15,000 | --      |
| 5 | Spouse | <u>VTV</u>  | Vanguard Value Index Fund ETF Shares                | Sale (Partial)   | 06/21/2018       | \$1,001 - \$15,000 | --      |

| #  | Owner  | Ticker      | Asset Name   | Transaction Type | Transaction Date | Amount                | Comment |
|----|--------|-------------|--|------------------|------------------|-----------------------|---------|
| 6  | Spouse | <u>VUG</u>  | Vanguard Growth Index Fund ETF Shares              | Sale (Partial)   | 06/21/2018       | \$1,001 - \$15,000    | --      |
| 7  | Spouse | <u>BIV</u>  | Vanguard Intermediate-Term Bond Index Fund ETF Sha | Sale (Partial)   | 06/21/2018       | \$1,001 - \$15,000    | --      |
| 8  | Spouse | <u>BSV</u>  | Vanguard Short-Term Bond Index Fund ETF Shares     | Purchase         | 06/21/2018       | \$1,001 - \$15,000    | --      |
| 9  | Spouse | <u>IEFA</u> | iShares Core MSCI EAFE ETF                         | Purchase         | 03/06/2018       | \$100,001 - \$250,000 | --      |
| 10 | Spouse | <u>PCY</u>  | Invesco Emerging Markets Sovereign Debt ETF        | Sale (Partial)   | 06/20/2018       | \$1,001 - \$15,000    | --      |
| 11 | Spouse | <u>IEFA</u> | iShares Core MSCI EAFE ETF                         | Sale (Partial)   | 06/20/2018       | \$1,001 - \$15,000    | --      |
| 12 | Spouse | <u>EMLC</u> | VanEck Vectors J.P. Morgan EM Local Currency Bond  | Sale (Partial)   | 06/20/2018       | \$1,001 - \$15,000    | --      |
| 13 | Spouse | <u>VTV</u>  | Vanguard Value Index Fund ETF Shares               | Purchase         | 04/24/2018       | \$1,001 - \$15,000    | --      |
| 14 | Spouse | <u>IEMG</u> | iShares Core MSCI Emerging Markets ETF             | Purchase         | 04/24/2018       | \$1,001 - \$15,000    | --      |
| 15 | Spouse | <u>BSV</u>  | Vanguard Short-Term Bond Index Fund ETF Shares     | Purchase         | 04/24/2018       | \$1,001 - \$15,000    | --      |
| 16 | Spouse | <u>VUG</u>  | Vanguard Growth Index Fund ETF Shares              | Purchase         | 04/24/2018       | \$1,001 - \$15,000    | --      |
| 17 | Spouse | <u>MBB</u>  | iShares MBS ETF                                    | Purchase         | 04/24/2018       | \$1,001 - \$15,000    | --      |
| 18 | Spouse | <u>BIV</u>  | Vanguard Intermediate-Term Bond Index Fund ETF Sha | Purchase         | 04/24/2018       | \$1,001 - \$15,000    | --      |
| 19 | Spouse | <u>MBB</u>  | iShares MBS ETF                                    | Sale (Partial)   | 03/28/2018       | \$1,001 - \$15,000    | --      |
| 20 | Spouse | <u>BIV</u>  | Vanguard Intermediate-Term Bond Index Fund ETF Sha | Sale (Partial)   | 03/28/2018       | \$1,001 - \$15,000    | --      |
| 21 | Spouse | <u>VUG</u>  | Vanguard Growth Index Fund ETF Shares              | Purchase         | 03/28/2018       | \$15,001 - \$50,000   | --      |

| #  | Owner  | Ticker      | Asset Name   | Transaction Type | Transaction Date | Amount               | Comment |
|----|--------|-------------|--|------------------|------------------|----------------------|---------|
| 22 | Spouse | <u>VBR</u>  | Vanguard Small-Cap Value Index Fund ETF Shares     | Sale (Partial)   | 03/28/2018       | \$1,001 - \$15,000   | --      |
| 23 | Spouse | <u>VTV</u>  | Vanguard Value Index Fund ETF Shares               | Sale (Partial)   | 03/28/2018       | \$1,001 - \$15,000   | --      |
| 24 | Spouse | <u>IEFA</u> | iShares Core MSCI EAFE ETF                         | Sale (Partial)   | 03/28/2018       | \$1,001 - \$15,000   | --      |
| 25 | Spouse | <u>MBB</u>  | iShares MBS ETF                                    | Sale (Partial)   | 03/06/2018       | \$1,001 - \$15,000   | --      |
| 26 | Spouse | <u>BIV</u>  | Vanguard Intermediate-Term Bond Index Fund ETF Sha | Sale (Partial)   | 03/06/2018       | \$1,001 - \$15,000   | --      |
| 27 | Spouse | <u>VUG</u>  | Vanguard Growth Index Fund ETF Shares              | Sale (Partial)   | 03/06/2018       | \$1,001 - \$15,000   | --      |
| 28 | Spouse | <u>VTV</u>  | Vanguard Value Index Fund ETF Shares               | Purchase         | 03/06/2018       | \$1,001 - \$15,000   | --      |
| 29 | Spouse | <u>IEMG</u> | iShares Core MSCI Emerging Markets ETF             | Purchase         | 03/06/2018       | \$1,001 - \$15,000   | --      |
| 30 | Spouse | <u>EPP</u>  | iShares MSCI Pacific ex Japan ETF                  | Sale (Full)      | 03/06/2018       | \$15,001 - \$50,000  | --      |
| 31 | Spouse | <u>EWC</u>  | iShares MSCI Canada ETF                            | Sale (Full)      | 03/06/2018       | \$15,001 - \$50,000  | --      |
| 32 | Spouse | <u>EWJ</u>  | iShares MSCI Japan ETF                             | Sale (Full)      | 03/06/2018       | \$15,001 - \$50,000  | --      |
| 33 | Spouse | <u>EWD</u>  | iShares MSCI Sweden ETF                            | Sale (Full)      | 03/06/2018       | \$1,001 - \$15,000   | --      |
| 34 | Spouse | <u>EZU</u>  | iShares MSCI Eurozone ETF                          | Sale (Full)      | 03/06/2018       | \$50,001 - \$100,000 | --      |
| 35 | Spouse | <u>EWU</u>  | iShares MSCI United Kingdom ETF                    | Sale (Full)      | 03/06/2018       | \$15,001 - \$50,000  | --      |
| 36 | Spouse | <u>EWL</u>  | iShares MSCI Switzerland ETF                       | Sale (Full)      | 03/06/2018       | \$1,001 - \$15,000   | --      |

| #  | Owner  | Ticker      | Asset Name   | Transaction Type | Transaction Date | Amount             | Comment |
|----|--------|-------------|--|------------------|------------------|--------------------|---------|
| 37 | Spouse | <u>EWU</u>  | iShares MSCI United Kingdom ETF                    | Sale (Partial)   | 01/31/2018       | \$1,001 - \$15,000 | --      |
| 38 | Spouse | <u>VBK</u>  | Vanguard Small-Cap Growth Index Fund ETF Shares    | Purchase         | 01/31/2018       | \$1,001 - \$15,000 | --      |
| 39 | Spouse | <u>VTV</u>  | Vanguard Value Index Fund ETF Shares               | Purchase         | 01/31/2018       | \$1,001 - \$15,000 | --      |
| 40 | Spouse | <u>VUG</u>  | Vanguard Growth Index Fund ETF Shares              | Sale (Partial)   | 01/31/2018       | \$1,001 - \$15,000 | --      |
| 41 | Spouse | <u>EZU</u>  | iShares MSCI Eurozone ETF                          | Sale (Partial)   | 01/31/2018       | \$1,001 - \$15,000 | --      |
| 42 | Spouse | <u>VBR</u>  | Vanguard Small-Cap Value Index Fund ETF Shares     | Purchase         | 01/31/2018       | \$1,001 - \$15,000 | --      |
| 43 | Spouse | <u>IEMG</u> | iShares Core MSCI Emerging Markets ETF             | Sale (Partial)   | 01/30/2018       | \$1,001 - \$15,000 | --      |
| 44 | Spouse | <u>VGT</u>  | Vanguard Information Technology Index Fund ETF Sha | Sale (Partial)   | 08/29/2018       | \$1,001 - \$15,000 | --      |
| 45 | Spouse | <u>IEFA</u> | iShares Core MSCI EAFE ETF                         | Sale (Partial)   | 06/20/2018       | \$1,001 - \$15,000 | --      |
| 46 | Spouse | <u>XLF</u>  | Financial Select Sector SPDR Fund                  | Purchase         | 03/28/2018       | \$1,001 - \$15,000 | --      |
| 47 | Spouse | <u>VAW</u>  | Vanguard Materials Index Fund ETF Shares           | Purchase         | 03/06/2018       | \$1,001 - \$15,000 | --      |
| 48 | Spouse | <u>VGT</u>  | Vanguard Information Technology Index Fund ETF Sha | Sale (Partial)   | 03/06/2018       | \$1,001 - \$15,000 | --      |
| 49 | Spouse | <u>SKYY</u> | First Trust Cloud Computing ETF                    | Sale (Full)      | 03/06/2018       | \$1,001 - \$15,000 | --      |
| 50 | Spouse | <u>XLF</u>  | Financial Select Sector SPDR Fund                  | Purchase         | 03/06/2018       | \$1,001 - \$15,000 | --      |
| 51 | Spouse | <u>XLE</u>  | Energy Select Sector SPDR Fund                     | Purchase         | 03/06/2018       | \$1,001 - \$15,000 | --      |
| 52 | Spouse | <u>EWL</u>  | iShares MSCI Switzerland ETF                       | Sale (Full)      | 03/06/2018       | \$1,001 - \$15,000 | --      |
| 53 | Spouse | <u>EWU</u>  | iShares MSCI United Kingdom ETF                    | Sale (Full)      | 03/06/2018       | \$1,001 - \$15,000 | --      |

| #  | Owner  | Ticker       | Asset Name   | Transaction Type | Transaction Date | Amount              | Comment |
|----|--------|--------------|--|------------------|------------------|---------------------|---------|
| 54 | Spouse | <u>EWC</u>   | iShares MSCI Canada ETF                            | Sale (Full)      | 03/06/2018       | \$1,001 - \$15,000  | --      |
| 55 | Spouse | <u>EPP</u>   | iShares MSCI Pacific ex Japan ETF                  | Sale (Full)      | 03/06/2018       | \$1,001 - \$15,000  | --      |
| 56 | Spouse | <u>EWJ</u>   | iShares MSCI Japan ETF                             | Sale (Full)      | 03/06/2018       | \$1,001 - \$15,000  | --      |
| 57 | Spouse | <u>EZU</u>   | iShares MSCI Eurozone ETF                          | Sale (Full)      | 03/06/2018       | \$1,001 - \$15,000  | --      |
| 58 | Spouse | <u>IEFA</u>  | iShares Core MSCI EAFE ETF                         | Purchase         | 03/06/2018       | \$15,001 - \$50,000 | --      |
| 59 | Spouse | <u>TPLGX</u> | T. Rowe Price Institutional Large Cap Core Growth  | Sale (Full)      | 04/16/2018       | \$1,001 - \$15,000  | --      |
| 60 | Spouse | <u>VIEIX</u> | Vanguard Extended Market Index Fund Institutional  | Sale (Full)      | 04/16/2018       | \$1,001 - \$15,000  | --      |
| 61 | Spouse | <u>VRIVX</u> | Vanguard Institutional Target Retirement 2025 Fund | Purchase         | 01/31/2018       | \$1,001 - \$15,000  | --      |
| 62 | Spouse | <u>VRIVX</u> | Vanguard Institutional Target Retirement 2025 Fund | Purchase         | 02/28/2018       | \$1,001 - \$15,000  | --      |
| 63 | Spouse | <u>VRIVX</u> | Vanguard Institutional Target Retirement 2025 Fund | Purchase         | 03/30/2018       | \$1,001 - \$15,000  | --      |
| 64 | Spouse | <u>VRIVX</u> | Vanguard Institutional Target Retirement 2025 Fund | Purchase         | 04/30/2018       | \$1,001 - \$15,000  | --      |
| 65 | Spouse | <u>VRIVX</u> | Vanguard Institutional Target Retirement 2025 Fund | Purchase         | 05/31/2018       | \$1,001 - \$15,000  | --      |
| 66 | Spouse | <u>VRIVX</u> | Vanguard Institutional Target Retirement 2025 Fund | Purchase         | 06/29/2018       | \$1,001 - \$15,000  | --      |
| 67 | Spouse | <u>VRIVX</u> | Vanguard Institutional Target Retirement 2025 Fund | Sale (Full)      | 07/02/2018       | \$15,001 - \$50,000 | --      |
| 68 | Spouse | --           | Vanguard Target Retirement 2025 Trust II           | Purchase         | 08/31/2018       | \$1,001 - \$15,000  | --      |
| 69 | Spouse | --           | Vanguard Target Retirement 2025 Trust II           | Purchase         | 09/28/2018       | \$1,001 - \$15,000  | --      |

| #  | Owner  | Ticker | Asset Name                               | Transaction Type | Transaction Date | Amount                | Comment |
|----|--------|--------|--|------------------|------------------|-----------------------|---------|
| 70 | Spouse | --     | Vanguard Target Retirement 2025 Trust II | Purchase         | 07/03/2018       | \$15,001<br>-\$50,000 | --      |
| 71 | Spouse | --     | Vanguard Target Retirement 2025 Trust II | Sale (Full)      | 10/31/2018       | \$15,001<br>-\$50,000 | --      |
| 72 | Spouse | --     | Vanguard Target Retirement 2030 Trust II | Purchase         | 11/01/2018       | \$15,001<br>-\$50,000 | --      |

### 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**? **No**

### Part 7. Liabilities

Did you, your spouse, or dependent child have a liability worth more than \$10,000 at any time? **Yes**

| # | Incurred | Debtor | Type     | Points | Rate (Term)         | Amount                   | Creditor  | Comments |
|---|----------|--------|----------|--------|---------------------|--------------------------|---|----------|
| 1 | 2013     | Self   | Mortgage | 0      | 3.75%<br>(30 years) | \$100,001 -<br>\$250,000 | Wells<br>Fargo<br>Los<br>Angeles,<br>California | -        |

| # | Date | Debtor | Type                       | Points | Rate (Term)          | Amount   | Creditor                            | Comments   |
|---|------|--------|----------------------------|--------|----------------------|--|-------------------------------------|--|
| 2 | 2013 | Self   | Home Equity Line of Credit | -      | 6.25% (20 years)     | \$50,001 - \$100,000   | Wells Fargo Los Angeles, California | Rate change from 4.75% to 6.25%. The HELOC has a \$0 balance as of 5/19. |
| 3 | 2016 | Spouse | Mortgage                   | 0      | 2.625% (30 years)    | Over \$1,000,000 (asset held independently by spouse or dependent child) | Wells Fargo Los Angeles, California | -  |
| 4 | 2016 | Spouse | Home Equity Line of Credit | -      | 5.75% (30 years)     | \$100,001 - \$250,000  | Wells Fargo Los Angeles, California | The HELOC has a \$0 balance as of 5/19. Rate change from 4.25% to 5.75%  |
| 5 | 2017 | Spouse | Mortgage                   | 0      | 3.50% (30 years)     | Over \$1,000,000 (asset held independently by spouse or dependent child) | Wells Fargo Los Angeles, CA         | -  |
| 6 | 2018 | Spouse | Other (Commercial Loan)    | -      | Libor+1.3% (8 years) | \$500,001 - \$1,000,000  | Wells Fargo Los Angeles, CA         | Partner Capital Loan - DLA Piper LLP                                     |

## 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 |
|---|------|------------------|------|------------------|
|---|------|------------------|------|------------------|

| # | Date     | Parties Involved   | Type   | Status and Terms  |
|---|----------|--|--|---|
| 1 | Oct 2008 | Philomel Books LLC<br>San Francisco, California  | Royalty Agreement                                    | Royalty for book, "Smart on Crime: A Prosecutor's Solution for Making the Streets Safer" (no royalties received in 2018).   |
| 2 | Dec 2011 | San Francisco Employees' Retirement System<br>San Francisco, California  | Continuing participation in an employee benefit plan | Defined benefit plan that provides service retirement benefits.   |
| 3 | Dec 2011 | City & County of San Francisco 457(b) Deferred Compensation Plan<br>San Francisco, California                      | Continuing participation in an employee benefit plan | 457(b) deferred comp plan that provides retirement benefits.  |
| 4 | Jan 2017 | State of California Savings Plus 457(b) Plan<br>Sacramento, California   | Continuing participation in an employee benefit plan | 457(b) deferred comp plan that provides retirement benefits.  |
| 5 | Apr 2018 | Penguin Press (an imprint of Penguin Publishing Group, a division of Penguin Random House LLC)<br>New York, NY     | Royalty Agreement                                    | Agreement to receive book advance and royalty payments based on usual and customary terms for publication of the book titled, "The Truths We Hold."                                       |
| 6 | Feb 2019 | The Bodley Head (Division of The Random House Group Ltd.)<br>London, United Kingdom                                | Royalty Agreement                                    | Agreement to receive book advance and royalty payments based on usual and customary terms for publication in the United Kingdom of the book titled, "The Truths We Hold".                 |
| 7 | Nov 2018 | Philomel Books (An Imprint of Penguin Young Readers Group, a division of Penguin Random House LLC)<br>New York, NY | Royalty Agreement                                    | Agreement to receive book advance and royalty payments based on usual and customary terms for publication of a picture book titled, "Superheroes Are Everywhere".                         |
| 8 | Jan 2019 | Philomel Books (An Imprint of Penguin Young Readers Group, a division of Penguin Random House LLC)<br>New York, NY | Royalty Agreement                                    | Agreement to receive book advance and royalty payments based on usual and customary terms for publication of an abridged young reader's edition of the book titled, "The Truths We Hold". |

## 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? **This is not my first report.**

## Attachments & Comments

*No attachments added.*

*No comments added.*

