Filing ID #10003778

Financial Disclosure Report

Clerk of the House of Representatives • Legislative Resource Center • B-106 Cannon Building • Washington, DC 20515

Filer Information

Name: Mrs. Susan W. Brooks
Status: Member
State/District: IN05

Filing Information

Filing Type: Amendment Report
Filing Year: 2013
Filing Date: 08/4/2014

Schedule A: Assets and "Unearned" Income

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
Insurance ⇒ MET LIFE UNIVERSAL LIFE INSURANCE POLICY		$15,001 - $50,000	None		☐
IRA ⇒ AQR FDS MANAGED FUTURES STRATEGY FD CL I (AQMIX)		$1,001 - $15,000	Tax-Deferred	None	☐
IRA ⇒ ARTIO GLOBAL INVT FDS ABERDEEN TOTAL RETURN BD FD CL I (JBGIX)		$15,001 - $50,000	Tax-Deferred	None	☑
IRA ⇒ ARTISAN FUNDS INC MID CAP VALUE FD INV SHS (ARTQX)		$1,001 - $15,000	Tax-Deferred	None	☑
IRA ⇒ BROADVIEW FDS TR OPPORTUNITY FD (BVAOX) Comments: PLEASE NOTE THAT THIS ITEM WAS PREVIOUSLY NAMED FMI FDS INC FOCUS FUND.		$1,001 - $15,000	Tax-Deferred	None	☑
IRA ⇒ COHEN & STEER RLTY SHARES INC (CSRSX)		$1,001 - $15,000	Tax-Deferred	None	☐
IRA ⇒		$1,001 - $15,000	Tax-Deferred	None	☑

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
EATON VANCE MUTUAL FDS TRUST GLOBAL MACRO ABSLT RETURN ADVTG FD CL I (EGRIX)					
IRA ⇒ GOLDMAN SACHS TR FINL SQUARE TREAS INSTRS FD (FTIXX)		$1,001 - $15,000	Tax-Deferred	None	☑
IRA ⇒ HARBOR FD CAP APPRECIATION FD INSTL CL (HACAX)		$15,001 - $50,000	Tax-Deferred	None	☑
IRA ⇒ HEARTLAND GROUP INC VALUE PLUS FD INSTL CL (HNVIX)		$1,001 - $15,000	Tax-Deferred	None	☐
IRA ⇒ HIGHLAND LONG/SHORT EQUITY FUND CLASS Z (HEOZX)		$1,001 - $15,000	Tax-Deferred	None	☐
COMMENTS: PLEASE NOTE THAT THIS ITEM WAS PREVIOUSLY NAMED PYXIS LONG/SHORT EQUITY FUND.					
IRA ⇒ JOHN HANCOCK FDS II GLOBAL ABSOLUTE RETURN STRATEGIES FD CL I (JHAIX)		$1,001 - $15,000	Tax-Deferred	None	☐
IRA ⇒ JP MORGAN TR I INTREPID VALUE FD SELECT CL (JPIVX)		$15,001 - $50,000	Tax-Deferred	None	☑
IRA ⇒ MAINSTAY FD HIGH YIELD CORPORATE BD FD CL I (MHYIX)		$1,001 - $15,000	Tax-Deferred	None	☐
IRA ⇒ MANAGERS FDS BOND FD INSTL CL (MGBIX)		$1,001 - $15,000	Tax-Deferred	None	☐
IRA ⇒ METROPOLITAN WEST FDS TOTAL RETURN (MWTIX)		$1,001 - $15,000	Tax-Deferred	None	☐
IRA ⇒ MFS SER TR X EMERGING MKTS DEBT FD CLASS I (MEDIX)		$1,001 - $15,000	Tax-Deferred	None	☐
IRA ⇒ NEUBERGER BERMAN ALTERNATIVE FDS - LONG SHORT FUND INSTL CL (NLSIX)		$1,001 - $15,000	Tax-Deferred	None	☑

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
IRA ⇒ OPPENHEIMER DEV MKTS CL Y (ODVYX)		$1,001 - $15,000	Tax-Deferred	None	☐
IRA ⇒ OPPENHEIMER INTL BD FD CLASS Y (OIBYX)		$1,001 - $15,000	Tax-Deferred	None	☐
IRA ⇒ PIMCO FDS PAC INVT MGMT SER TOTAL RETURN FD INSTL CL (PTTRX)		$15,001 - $50,000	Tax-Deferred	None	☐
IRA ⇒ PIMCO FDS PAC INVT MGMT SER-COMMODITY REAL RETURN STRAT FD INSTL CL (PCRIX)		$1,001 - $15,000	Tax-Deferred	None	☐
IRA ⇒ PIONEER SER TR I PIONEER OAK RIDGE SMALL CAP GROWTH FUND CL Y (ORIYX)		$1,001 - $15,000	Tax-Deferred	None	☐
IRA ⇒ THORNBURG INTERNATIONAL VALUE FUND CLASS I (TGVIX)		$1,001 - $15,000	Tax-Deferred	None	☐
IRA ⇒ THORNBURG INVT TR INVT INCOME BUILDER FD CL I (TIBIX)		$1,001 - $15,000	Tax-Deferred	None	☐
Other Assets ⇒ ALEXAR THERAPEUTICS, INC. DESCRIPTION: BUSINESS INVESTMENT	SP	$1,001 - $15,000	None		☑
Other Assets ⇒ ARLINGTON WAREHOUSE INVESTORS II, LTD LOCATION: ARLINGTON, TX, US DESCRIPTION: INVESTMENT	SP	$15,001 - $50,000	Dividends	$1,001 - $2,500	☐
Other Assets ⇒ BROOKS KOCH & SORG LOCATION: Indianapolis, IN, US DESCRIPTION: Income Listed in Earned Income COMMENTS: Please note: This asset was placed in this report per guidance from Ethics to clarify ownership of spouse's firm.	SP	$1,001 - $15,000	See Earned Income	None	☐
Other Assets ⇒ BROOKS KOCH & SORG, LLC REAL ESTATE (OFFICE BUILDING) LOCATION: INDIANAPOLIS, IN, US DESCRIPTION: INVESTMENT	SP	$250,001 - $500,000	Rent	$15,001 - $50,000	☐

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
Other Assets ⇒ CASTLE CREEK INVESTORS, LLC - BUILDING ONE LOCATION: INDIANAPOLIS, IN, US DESCRIPTION: INVESTMENT	SP	$15,001 - $50,000	Dividends	$1,001 - $2,500	☐
Other Assets ⇒ CASTLE CREEK INVESTORS, LLC - BUILDING TWO LOCATION: INDIANAPOLIS, IN, US DESCRIPTION: INVESTMENT	SP	$15,001 - $50,000	Dividends	$1,001 - $2,500	☐
Other Assets ⇒ MANSFIELD WAREHOUSE INVESTORS I, LTD LOCATION: MANSFIELD, TX, US DESCRIPTION: INVESTMENT	SP	$15,001 - $50,000	Dividends	$1,001 - $2,500	☐
Other Assets ⇒ O'DAY FARMBROOK, INC - WAREHOUSING FACILITY LOCATION: ARLINGTON, TX, US DESCRIPTION: INVESTMENT	SP	$1,000,001 - $5,000,000	Interest, Rent	$50,001 - $100,000	☐
Other Assets ⇒ O'DAY LANDMAN LLC - MINERAL RIGHTS LOCATION: ARLINGTON, TX, US DESCRIPTION: INVESTMENT	SP	$100,001 - $250,000	Interest, Royalties	$50,001 - $100,000	☐
Other Assets ⇒ T.O. HARRIS INVESTORS, LLC DESCRIPTION: INVESTMENT COMMENTS: PLEASE NOTE: THERE ARE NO HARD ASSETS FOR THIS ENTITY AT THIS TIME.	SP	$1,001 - $15,000	Interest	$1 - $200	☐
Retirement ⇒ AMERCENT SMCAP VAL INV (ASV2)		$1,001 - $15,000	Tax-Deferred	None	☐
Retirement ⇒ AMERCENT STRAT ALLOC AGRSV INV (ASA2)		$1,001 - $15,000	Tax-Deferred	None	☐
Retirement ⇒ AMERCENT STRAT ALLOC MOD INV (ASM2)		$50,001 - $100,000	Tax-Deferred	None	☐
Retirement ⇒ AMERCENT VP CAPITAL APP INST (TEQU)		$1,001 - $15,000	Tax-Deferred	None	☐
Retirement ⇒ AMERFDS EUROPAC GRTH (AFEW)		$15,001 - $50,000	Tax-Deferred	None	☐

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
Retirement ⇒ AMERFDS FDAMENTAL INVS (AFFN)		$15,001 - $50,000	Tax-Deferred	None	☐
Retirement ⇒ MFS INTL NEW DISCOVERY A (MID2)		$15,001 - $50,000	Tax-Deferred	None	☐
Retirement ⇒ ONE AMERICA MONEY MARKET FUND (BMON)		$15,001 - $50,000	Tax-Deferred	None	☐
Retirement ⇒ VANGUARD ST FEDERAL INV (VST2)		$15,001 - $50,000	Tax-Deferred	None	☐

* Asset class details available at the bottom of this form.

Schedule B: Transactions

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > $200?
IRA ⇒ ARTIO GLOBAL INVT FDS ABERDEEN TOTAL RETURN BD FD (JBGIX)		06/18/2013	P	$1,001 - $15,000	
IRA ⇒ ARTIO GLOBAL INVT FDS ABERDEEN TOTAL RETURN BD FD (JBGIX)		09/24/2013	S (partial)	$1,001 - $15,000	☐
IRA ⇒ ARTISAN FUNDS INC MID CAP VALUE FD (ARTQX)		06/17/2013	S (partial)	$1,001 - $15,000	☐
IRA ⇒ ARTISANS FUNDS INC MID CAP VALUE FD (ARTQX)		09/24/2013	S (partial)	$1,001 - $15,000	☐
IRA ⇒ EATON VANCE GLOBAL MACRO ABSOLUTE RETURN FUND CLASS I (EAGMX)		06/18/2013	S	$1,001 - $15,000	☐
IRA ⇒ EATON VANCE MUTUAL FDS TRUST GLOBAL MACRO ABSLT RETURN ADVTG FD CL I (EGRIX)		06/18/2013	P	$1,001 - $15,000	
IRA ⇒ FMI FDS INC FOCUS FUND (FMIOX) Comments: PLEASE NOTE THAT THIS FUND CHANGED ITS NAME TO BROADVIEW FDS TR OPPORTUNITY FD (BVAOX)		06/18/2013	S (partial)	$1,001 - $15,000	☐
IRA ⇒		06/18/2013	P	$1,001 - $15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > $200?
GOLDMAN SACHS TR FINL SQUARE TREAS INSTRS FD (FTIXX)					
IRA ⇒ HARBOR FUND CAP APPRECIATION FD (HACAX)		09/24/2013	P	$1,001 - $15,000	
IRA ⇒ JP MORGAN TR I INTREPID VALUE FD (JPIVX)		06/17/2013	S (partial)	$1,001 - $15,000	☐
IRA ⇒ JP MORGAN TR I INTREPID VALUE FD (JPIVX)		09/24/2013	P	$1,001 - $15,000	
IRA ⇒ NEUBERGER BERMAN ALTERNATIVE FDS - LONG SHORT FUND INSTL CL (NLSIX)		06/17/2013	P	$1,001 - $15,000	
IRA ⇒ TURNER FDS SPECTRUM FD (TSPEX)		06/17/2013	S	$1,001 - $15,000	☐
Other Assets ⇒ ALEXAR THERAPEUTICS, INC. DESCRIPTION: INVESTMENT PURCHASE	SP	11/25/2013	P	$1,001 - $15,000	

* Asset class details available at the bottom of this form.

Schedule C: Earned Income

Source	Type	Amount
BROOKS, KOCH & SORG	Spouse Salary	N/A
BEAM, LONGEST & NEFF LLC	Spouse Salary	N/A

Schedule D: Liabilities

Owner	Creditor	Date Incurred	Type	Amount of Liability
	WELLS FARGO	AUG 2012	PRIMARY RESIDENCE - CARMEL, IN - MORTGAGE	$250,001 - $500,000
	WELLS FARGO	SEPT 2008	PRIMARY RESIDENCE - LINE OF CREDIT	$100,001 - $250,000

Schedule E: Positions

Position	Name of Organization
BOARD MEMBER	INDIANA UNIVERSITY SCHOOL OF LAW - INDIANAPOLIS - BOARD OF VISITORS
DISTINGUISHED ADVISOR	CHILDREN'S MUSEUM OF INDIANAPOLIS
EMERITUS BOARD MEMBER	WOMEN'S FUND OF CENTRAL INDIANA
ADVISORY COUNCIL MEMBER	IUPUI PUBLIC POLICY INSTITUTE

Schedule F: Agreements

None disclosed.

Schedule G: Gifts

None disclosed.

Schedule H: Travel Payments and Reimbursements

Trip Details				Inclusions		
Source	**Start Date**	**End Date**	**Itinerary**	**Lodging?**	**Food?**	**Family?**
The Heritage Foundation	02/7/2013	02/8/2013	Washington, DC - Baltimore, MD - BWI Airport	☑	☑	☐
American Israel Education Foundation (AIEF)	08/10/2013	08/18/2013	Indianapolis, IN - Jerusalem - Bethlehem - Tel Aviv - Indianapolis, IN	☑	☑	☑

Schedule I: Payments Made to Charity in Lieu of Honoraria

None disclosed.

Schedule A and B Asset Class Details

- Insurance
- IRA
- Other Assets (Owner: SP)
  Location: US
- Retirement

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

Comments

THIS AMENDMENT HAS BEEN SUBMITTED TO COMPLY WITH THE RENEWED ETHICS REQUIREMENT TO SUBMIT ALL PRIVATELY-SPONSORED TRAVEL APPROVED BY THE ETHICS COMMITTEE. THE TRAVEL ITEMS INCLUDED WERE PUBLICLY DISCLOSED THROUGH THE CLERK OF THE HOUSE PRIOR TO THIS SUBMISSION.

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: Mrs. Susan W. Brooks , 08/4/2014