Filing ID #10014681

# Financial Disclosure Report

Clerk of the House of Representatives • Legislative Resource Center • 135 Cannon Building • Washington, DC 20515

## Filer Information

**Name:** Hon. Todd Rokita
**Status:** Member
**State/District:** IN04

## Filing Information

**Filing Type:** Amendment Report
**Filing Year:** 2013
**Filing Date:** 06/14/2017

## Schedule A: Assets and "Unearned" Income

| Asset | Owner | Value of Asset | Income Type(s) | Income | Tx. > $1,000? |
|---|---|---|---|---|---|
| 401(k) ⇒ ARTISAN VALUE FUND (ARTLX) | SP | $1,001 - $15,000 | Tax-Deferred | None | ☑ |
| 401(k) ⇒ BARON SMALL CAP INST (BSFIX) | SP | $15,001 - $50,000 | Tax-Deferred | None | ☐ |
| 401(k) ⇒ CAMBIAR SMALL CAP FUND (CAMSX) | SP | $15,001 - $50,000 | Tax-Deferred | None | ☐ |
| 401(k) ⇒ MAINSTAY LARGE CAP GROWTH R1 (MLRRX) | SP | $15,001 - $50,000 | Tax-Deferred | None | ☐ |
| 401(k) ⇒ PIMCO Total Return Exchange-Traded Fund (BOND) | SP | $15,001 - $50,000 | Tax-Deferred | None | ☐ |
| 401(k) ⇒ VIRTUS REAL ESTATE SECURITIES (PHRAX) | SP | $1,001 - $15,000 | Tax-Deferred | None | ☐ |
| 529 Plan ⇒ COLLEGECHOICE529 - ACTIVE BOND PORTFOLIO<br>DESCRIPTION: 529 DIRECT SAVINGS PLAN | SP | $1,001 - $15,000 | Tax-Deferred | None | ☐ |

| Asset | Owner | Value of Asset | Income Type(s) | Income | Tx. > $1,000? |
|---|---|---|---|---|---|
| 529 Plan ⇒ COLLEGECHOICE529 - INFLATION PROTECTED PORTFOLIO<br>DESCRIPTION: 529 DIRECT SAVINGS PLAN | SP | $1,001 - $15,000 | Tax-Deferred | None | ☑ |
| 529 Plan ⇒ COLLEGECHOICE529 - INTERNATIONAL PORTFOLIO<br>DESCRIPTION: 529 DIRECT SAVINGS PLAN<br>COMMENTS: PLEASE NOTE THAT THERE IS NO TRANSACTION FOR THIS ASSET. THE ASSET VALUE INCREASED AND THEREFORE IS NOW BEING INCLUDED IN THIS REPORT. | SP | $1,001 - $15,000 | Tax-Deferred | None | ☐ |
| 529 Plan ⇒ COLLEGECHOICE529 - US EQUITY INDEX PORTFOLIO<br>DESCRIPTION: 529 DIRECT SAVINGS PLAN | SP | $1,001 - $15,000 | Tax-Deferred | None | ☐ |
| Investment ⇒ DAVIS NEW YORK VENTURE FUND CL A (NYVTX) | | $1,001 - $15,000 | Dividends | $1 - $200 | ☐ |
| Investment ⇒ FIRST EAGLE FDS INC GOLD FD CL C (FEGOX) | | $1,001 - $15,000 | None | | ☐ |
| Investment ⇒ Pembina Pipeline Corp. Ordinary Shares (PBA) | | $1,001 - $15,000 | Dividends | $1 - $200 | ☐ |
| Investment ⇒ Wells Fargo Deposit Account | | $15,001 - $50,000 | Interest | $1 - $200 | ☐ |
| Investment SP ⇒ Apple Inc. (AAPL) | SP | $1,001 - $15,000 | Dividends | $1 - $200 | ☐ |
| Investment SP ⇒ FIFTH THIRD BANK<br>DESCRIPTION: STOCK | SP | $1,001 - $15,000 | Dividends | $1 - $200 | ☐ |
| Investment SP ⇒ FIFTH THIRD BANK SAVINGS | SP | $15,001 - $50,000 | Interest | $1 - $200 | ☐ |
| IRA ⇒ CALAMOS INTERNATIONAL GROWTH FUND CLASS I (CIGIX) | | $1,001 - $15,000 | Tax-Deferred | None | ☐ |
| IRA ⇒ DREYFUS ADVANTAGE FDS DREYFUS OPPORTUNISTIC SMALL CAP FD (DSCVX) | | $1,001 - $15,000 | Tax-Deferred | None | ☐ |

| Asset | Owner | Value of Asset | Income Type(s) | Income | Tx. > $1,000? |
|---|---|---|---|---|---|
| IRA ⇒<br>FIRST EAGLE FDS INC GLOBAL FD CL I (SGIIX) | | $1,001 - $15,000 | Tax-Deferred | None | ☐ |
| IRA ⇒<br>IVY FDS INC ASSET STRATEGY FD CL I (IVAEX) | | $1,001 - $15,000 | Tax-Deferred | None | ☐ |
| IRA ⇒<br>JANUS INVT FD PERKINS MID CAP VALUE FD CL I (JMVAX) | | $1,001 - $15,000 | Tax-Deferred | None | ☐ |
| IRA ⇒<br>MANAGERS AMG FUNDS YACTMAN FUND SERVICE CLASS (YACKX) | | $1,001 - $15,000 | Tax-Deferred | None | ☐ |
| IRA ⇒<br>NUVEEN INVT TRUST TRADEWINDS VALUE OPPTYS FUND CLASS I (NVORX) | | $1,001 - $15,000 | Tax-Deferred | None | ☐ |
| IRA ⇒<br>OPPENHEIMER INTL DIV CL Y SHS (OIDYX) | | $1,001 - $15,000 | Tax-Deferred | None | ☐ |
| IRA ⇒<br>PERMANENT PORTFOLIO FD (PRPFX) | | $1,001 - $15,000 | Tax-Deferred | None | ☐ |
| IRA SP ⇒<br>FMI LARGE CAP FUND (FMIHX) | SP | $1,001 - $15,000 | Tax-Deferred | None | ☑ |
| IRA SP ⇒<br>FRANKLIN/TEMPLETON GLOBAL BOND FUND CLASS A (TPINX) | SP | $1,001 - $15,000 | Tax-Deferred | None | ☐ |
| IRA SP ⇒<br>iShares 1-3 Year Credit Bond ETF (CSJ) | SP | $1,001 - $15,000 | Tax-Deferred | None | ☑ |
| IRA SP ⇒<br>iShares Core S&P Small-Cap ETF (IJR) | SP | $1,001 - $15,000 | Tax-Deferred | None | ☑ |
| IRA SP ⇒<br>iShares Russell Mid-Cap ETF (IWR) | SP | $1,001 - $15,000 | Tax-Deferred | None | ☑ |
| IRA SP ⇒<br>iShares Russell Midcap Growth ETF (IWP) | SP | $1,001 - $15,000 | Tax-Deferred | None | ☑ |
| IRA SP ⇒<br>JOHN HANCOCK DISCIPLINED VALUE MID CAP FUND CLASS A (JVMAX) | SP | $1,001 - $15,000 | Tax-Deferred | None | ☑ |

| Asset | Owner | Value of Asset | Income Type(s) | Income | Tx. > $1,000? |
|---|---|---|---|---|---|
| IRA SP ⇒<br>JP MORGAN CORE BOND FUND (WOBDX) | SP | $1,001 - $15,000 | Tax-Deferred | None | ☐ |
| IRA SP ⇒<br>MAINSTAY ICAP INTERNATIONAL FUND A (ICEVX) | SP | $1,001 - $15,000 | Tax-Deferred | None | ☑ |
| IRA SP ⇒<br>MANNING & NAPIER FD INC WORLD OPPORTUNITIES (EXWAX) | SP | $1,001 - $15,000 | Tax-Deferred | None | ☑ |
| IRA SP ⇒<br>OPPENHEIMER SENIOR FLOATING RATE FUND CLASS A (OOSAX) | SP | $1,001 - $15,000 | Tax-Deferred | None | ☑ |
| IRA SP ⇒<br>PARADIGM VALUE FUND (PVFAX) | SP | None | Tax-Deferred | None | ☑ |
| IRA SP ⇒<br>PRUDENTIAL JENNISON MID-CAP GROWTH FUND INC A (PEEAX) | SP | None | Tax-Deferred | None | ☑ |
| IRA SP ⇒<br>RIVERPARK/WEDGEWOOD RETAIL FUNDS (RWGFX) | SP | $1,001 - $15,000 | Tax-Deferred | None | ☑ |
| IRA SP ⇒<br>SPDR S&P 500 (SPY) | SP | $15,001 - $50,000 | Tax-Deferred | None | ☑ |
| IRA SP ⇒<br>UBS BANK DEPOSIT ACCOUNT | SP | $1,001 - $15,000 | Tax-Deferred | None | ☐ |
| IRA SP ⇒<br>Vanguard FTSEEuropean ETF (VGK) | SP | $1,001 - $15,000 | Tax-Deferred | None | ☑ |
| IRA SP ⇒<br>Vanguard Total Bond Market ETF (BND) | SP | $1,001 - $15,000 | Tax-Deferred | None | ☐ |
| IRA SP ⇒<br>Vanguard Total Stock Market ETF (VTI) | SP | None | Tax-Deferred | None | ☑ |
| IRA SP ⇒<br>VIRTUS MULTI-SECTOR SHORT TERM BOND FUND CLASS A (NARAX) | SP | $1,001 - $15,000 | Tax-Deferred | None | ☐ |
| OTHER RETIREMENT ⇒<br>INDIANA 401(a) PLAN - INDIANA FUND 2035 | | $1,001 - $15,000 | Tax-Deferred | None | ☐ |

| Asset | Owner | Value of Asset | Income Type(s) | Income | Tx. > $1,000? |
|---|---|---|---|---|---|
| DESCRIPTION: RETIREMENT ACCOUNT | | | | | |
| OTHER RETIREMENT ⇒<br>STATE OF INDIANA 401(a) PLAN - INDIANA STABLE VALUE FUND<br>DESCRIPTION: RETIREMENT ACCOUNT | | $1,001 - $15,000 | Tax-Deferred | None | ☐ |
| OTHER RETIREMENT ⇒<br>STATE OF INDIANA 457 PLAN - INDIANA FUND 2035<br>DESCRIPTION: RETIREMENT ACCOUNT | | $1,001 - $15,000 | Tax-Deferred | None | ☐ |
| OTHER RETIREMENT ⇒<br>STATE OF INDIANA 457 PLAN - STABLE VALUE FUND<br>DESCRIPTION: RETIREMENT ACCOUNT | | $1,001 - $15,000 | Tax-Deferred | None | ☐ |
| REAL ESTATE ⇒<br>RENTAL CONDO - MASS AVE<br>LOCATION: INDIANAPOLIS, IN, US | | $100,001 - $250,000 | Rent | $5,001 - $15,000 | ☐ |
| REAL ESTATE ⇒<br>RENTAL HOUSE - 54TH STREET<br>LOCATION: INDIANAPOLIS, IN, US | | $100,001 - $250,000 | Rent | $5,001 - $15,000 | ☐ |
| REAL ESTATE ⇒<br>RENTAL TOWNHOUSE<br>LOCATION: INDIANAPOLIS, IN, US | | $100,001 - $250,000 | Rent | $5,001 - $15,000 | ☐ |
| RIRA ⇒<br>FIRST EAGLE GLOBAL INC GLOBAL FD CL A (SGENX) | | $1,001 - $15,000 | 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? |
|---|---|---|---|---|---|
| 401(k) ⇒<br>ARTISAN VALUE FUND (ARTLX) | SP | 09/16/2013 | P | $1,001 - $15,000 | |
| 401(k) ⇒<br>NUVEEN NWQ LARGE CAP VALUE FUND (NQCAX) | SP | 09/16/2013 | S | $1,001 - $15,000 | ☐ |
| 529 Plan ⇒<br>COLLEGECHOICE529 - INFLATION-PROTECTED | SP | 01/7/2013 | P | $1,001 - $15,000 | |

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > $200? |
|---|---|---|---|---|---|
| PORTFOLIO<br>Location: US<br>Description: 529 DIRECT SAVINGS PLAN | | | | | |
| IRA SP ⇒<br>FMI LARGE CAP FUND (FMIHX) | SP | 06/6/2013 | P | $1,001 - $15,000 | |
| IRA SP ⇒<br>FMI LARGE CAP FUND (FMIHX) | SP | 11/18/2013 | P | $1,001 - $15,000 | |
| IRA SP ⇒<br>FRANKLIN/TEMPLETON GLOBAL BOND FUND (TPINX) | SP | 11/20/2013 | S (partial) | $1,001 - $15,000 | ☐ |
| IRA SP ⇒<br>iShares 1-3 Year Credit Bond ETF (CSJ) | SP | 10/22/2013 | P | $1,001 - $15,000 | |
| IRA SP ⇒<br>iShares Core S&P Small-Cap ETF (IJR) | SP | 01/28/2013 | P | $1,001 - $15,000 | |
| IRA SP ⇒<br>iShares Core S&P Small-Cap ETF (IJR) | SP | 06/25/2013 | S (partial) | $1,001 - $15,000 | ☑ |
| IRA SP ⇒<br>iShares Core S&P Small-Cap ETF (IJR) | SP | 11/20/2013 | P | $1,001 - $15,000 | |
| IRA SP ⇒<br>iShares Core S&P Small-Cap ETF (IJR) | SP | 12/27/2013 | P | $1,001 - $15,000 | |
| IRA SP ⇒<br>iShares Gold Trust (IAU) | SP | 03/18/2013 | S | $1,001 - $15,000 | ☐ |
| IRA SP ⇒<br>ISHARES MSCI EAFE INDEX FUND (ETF) | SP | 06/25/2013 | S | $1,001 - $15,000 | ☐ |
| IRA SP ⇒<br>iShares Russell Mid-Cap ETF (IWR) | SP | 11/20/2013 | P | $1,001 - $15,000 | |
| IRA SP ⇒<br>iShares Russell Midcap Growth ETF (IWP) | SP | 08/23/2013 | P | $1,001 - $15,000 | |
| IRA SP ⇒<br>iShares Russell Midcap Growth ETF (IWP) | SP | 11/20/2013 | P | $1,001 - $15,000 | |

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > $200? |
|---|---|---|---|---|---|
| IRA SP ⇒<br>JOHN HANCOCK DISCIPLINED VALUE MID CAP FUND CLASS A (JVMAX) | SP | 11/20/2013 | P | $1,001 - $15,000 | |
| IRA SP ⇒<br>JP MORGAN COR BOND FUND SELECT (WOBDX) | SP | 11/18/2013 | S (partial) | $1,001 - $15,000 | ☐ |
| IRA SP ⇒<br>LOOMIS SAYLES INVESTMENT GRADE BOND FUND CLASS A (LIGRX) | SP | 11/20/2013 | S | $1,001 - $15,000 | ☐ |
| IRA SP ⇒<br>MAINSTAY ICAP INTERNATIONAL FUND (ICEVX) | SP | 10/22/2013 | P | $1,001 - $15,000 | |
| IRA SP ⇒<br>MAINSTAY ICAP INTERNATIONAL FUND A (ICEVX) | SP | 11/20/2013 | P | $1,001 - $15,000 | |
| IRA SP ⇒<br>MANNING & NAPIER FD INC WORLD OPPORTUNITIES (RWGFX) | SP | 11/18/2013 | P | $1,001 - $15,000 | |
| IRA SP ⇒<br>OPPENHEIMER SENIOR FLOATING RATE FUND (OOSAX) | SP | 06/6/2013 | P | $1,001 - $15,000 | |
| IRA SP ⇒<br>OPPENHEIMER SENIOR FLOATING RATE FUND (OOSAX) | SP | 06/13/2013 | P | $1,001 - $15,000 | |
| IRA SP ⇒<br>OPPENHEIMER SENIOR FLOATING RATE FUND CLASS A (OOSAX) | SP | 11/20/2013 | S (partial) | $1,001 - $15,000 | ☐ |
| IRA SP ⇒<br>PARADIGM VALUE BOND FUND (PVFAX) | SP | 01/29/2013 | S | $1,001 - $15,000 | ☑ |
| IRA SP ⇒<br>PIMCO TOTAL RETURN FUND CLASS A (PTTAX) | SP | 06/25/2013 | S (partial) | $1,001 - $15,000 | ☐ |
| IRA SP ⇒<br>PIMCO TOTAL RETURN FUND CLASS A (PTTAX) | SP | 11/20/2013 | S | $1,001 - $15,000 | ☐ |
| IRA SP ⇒<br>PRUDENTIAL JENNISON MID-CAP GROWTH FUND INC A (PEEAX) | SP | 08/23/2013 | S | $1,001 - $15,000 | ☑ |

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > $200? |
|---|---|---|---|---|---|
| IRA SP ⇒ RIVERPARK/WEDGEWOOD RETAIL FUNDS (RWGFX) | SP | 06/6/2013 | P | $1,001 - $15,000 | |
| IRA SP ⇒ RIVERPARK/WEDGEWOOD RETAIL FUNDS (RWGFX) | SP | 11/18/2013 | P | $1,001 - $15,000 | |
| IRA SP ⇒ SPDR Barclays 1-3 Month T-Bill ETF (BIL) | SP | 01/24/2013 | S (partial) | $1,001 - $15,000 | ☐ |
| IRA SP ⇒ SPDR Barclays 1-3 Month T-Bill ETF (BIL) | SP | 03/18/2013 | P | $1,001 - $15,000 | |
| IRA SP ⇒ SPDR Barclays 1-3 Month T-Bill ETF (BIL) | SP | 06/6/2013 | S (partial) | $1,001 - $15,000 | ☐ |
| IRA SP ⇒ SPDR Barclays 1-3 Month T-Bill ETF (BIL) | SP | 06/13/2013 | P | $1,001 - $15,000 | |
| IRA SP ⇒ SPDR Barclays 1-3 Month T-Bill ETF (BIL) | SP | 06/25/2013 | P | $1,001 - $15,000 | |
| IRA SP ⇒ SPDR Barclays 1-3 Month T-Bill ETF (BIL) | SP | 10/17/2013 | S | $1,001 - $15,000 | ☐ |
| IRA SP ⇒ SPDR S&P 500 (SPY) | SP | 06/6/2013 | S (partial) | $1,001 - $15,000 | ☑ |
| IRA SP ⇒ SPDR S&P 500 (SPY) | SP | 11/20/2013 | P | $1,001 - $15,000 | |
| IRA SP ⇒ Vanguard FTSEEuropean ETF (VGK) | SP | 11/20/2013 | P | $1,001 - $15,000 | |
| IRA SP ⇒ Vanguard Total Bond Market ETF (BND) | SP | 06/25/2013 | S (partial) | $1,001 - $15,000 | ☐ |
| IRA SP ⇒ Vanguard Total Bond Market ETF (BND) | SP | 11/20/2013 | S (partial) | $1,001 - $15,000 | ☐ |
| IRA SP ⇒ Vanguard Total Bond Market ETF (BND) | SP | 12/27/2013 | S (partial) | $1,001 - $15,000 | ☐ |
| IRA SP ⇒ Vanguard Total Stock Market ETF (VTI) | SP | 01/24/2013 | P | $1,001 - $15,000 | |

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > $200? |
|---|---|---|---|---|---|
| | | | | | |
| IRA SP ⇒<br>Vanguard Total Stock Market ETF (VTI) | SP | 06/13/2013 | S (partial) | $1,001 - $15,000 | ☑ |
| IRA SP ⇒<br>Vanguard Total Stock Market ETF (VTI) | SP | 10/22/2013 | P | $1,001 - $15,000 | |
| IRA SP ⇒<br>Vanguard Total Stock Market ETF (VTI) | SP | 11/20/2013 | S | $1,001 - $15,000 | ☑ |
| IRA SP ⇒<br>VIRTUS MULTI-SECTOR SHORT TERM BOND FUND (NARAX) | SP | 11/20/2013 | S (partial) | $1,001 - $15,000 | ☐ |

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

## Schedule C: Earned Income

| Source | Type | Amount |
|---|---|---|
| SOMERSET CPA'S P.C. | SPOUSE SALARY | N/A |

## Schedule D: Liabilities

| Owner | Creditor | Date Incurred | Type | Amount of Liability |
|---|---|---|---|---|
| JT | CHASE BANK | JULY 2012 | MORTGAGE ON PRINCIPAL RESIDENCE | $250,001 - $500,000 |
| SP | OCWEN | APRIL 2011 | MORTGAGE ON INDIANAPOLIS RENTAL TOWNHOUSE | $100,001 - $250,000 |
| JT | OCWEN | FEB 2010 | MORTGAGE ON 54TH ST RENTAL HOUSE | $50,001 - $100,000 |
| | FIFTH THIRD BANK | 2002 | MORTGAGE ON MASS AVE RENTAL CONDO | $15,001 - $50,000 |
| JT | PNC BANK | JUNE 2005 | EQUITY LINE ON PERSONAL RESIDENCE | $15,001 - $50,000 |
| SP | PNC BANK | NOV 2003 | EQUITY LINE ON RENTAL TOWNHOUSE | $10,000 - $15,000 |
| | FIFTH THIRD BANK | 2002 | EQUITY LINE ON MASS AVE RENTAL CONDO | $15,001 - $50,000 |

## Schedule E: Positions

| Position | Name of Organization |
|---|---|
| Board Member | St. Vincent Hospital Foundation Board |
| Board Member | St. Joseph College Board of Trustees |
| Director | Achieve International, Inc. |

## 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 | Days at Own Exp. | Lodging? | Food? | Family? |
| REPUBLIC OF TURKEY (MECEA APPROVED TRIP) | 04/27/2013 | 05/1/2013 | WASHINGTON, DC - ISTANBUL - ANKARA - ISTANBUL - CHICAGO | | ☑ | ☑ | ☐ |

## Schedule I: Payments Made to Charity in Lieu of Honoraria

None disclosed.

## Schedule A and B Asset Class Details

- 401(k) (Owner: SP)
- 529 Plan (Owner: SP)
  Location: IN
- Investment
  Location: US
- Investment SP (Owner: SP)
  Location: US
- IRA
- IRA SP (Owner: SP)
- OTHER RETIREMENT
- REAL ESTATE
  Location: US
- RIRA

## 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 (x) 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 (x) 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 (x) No

## Comments

During the preparation of our current financial disclosure report, it was discovered that the positions on the original report for this year were inadvertently omitted. This amended report rectifies the omission.

## Certification and Signature

[x] 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. Todd Rokita , 06/14/2017