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FINANCIAL DISCLOSURE REPORT

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FILER INFORMATION

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

FILING INFORMATION

Filing Type:	Annual Report
Filing Year:	2014
Filing Date:	05/14/2015

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 ⇒ AMERICAN EUROPACIFIC GROWTH FU CL F2 (AEPFX)		$1,001 - $15,000	Tax-Deferred		☑
IRA ⇒ AMG FUNDS III MANAGERS BOND FUND INSTL CLASS (MGBIX)		$1,001 - $15,000	Tax-Deferred		☐
COMMENTS: MANAGERS FDS BOND FD INSTL CL (MGBIX) changed its name to AMG FUNDS III MANAGERS BOND FUND INSTL CLASS (MGBIX).					
IRA ⇒ AQR FDS MANAGED FUTURES STRATEGY FD CL I (AQMIX)		None	Tax-Deferred		☑
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		☑

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
IRA ⇒ BLACKROCK FDS II CORE BOND PORT INSTL CLASS (BFMCX)		$15,001 - $50,000	Tax-Deferred		☑
IRA ⇒ BROADVIEW FDS TR OPPORTUNITY FD (BVAOX)		$1,001 - $15,000	Tax-Deferred		☑
IRA ⇒ COHEN & STEER RLTY SHARES INC (CSRSX)		$1,001 - $15,000	Tax-Deferred	None	☐
IRA ⇒ EATON VANCE MUTUAL FDS TRUST GLOBAL MACRO ABSLT RETURN ADVTG FD CL I (EGRIX)		$1,001 - $15,000	Tax-Deferred	None	☐
IRA ⇒ GOLDMAN SACHS TR FINL SQUARE TREAS INSTRS FD (FTIXX)		$1,001 - $15,000	Tax-Deferred		☑
IRA ⇒ HARBOR FD CAP APPRECIATION FD INSTL CL (HACAX)		$15,001 - $50,000	Tax-Deferred		☑
IRA ⇒ HEARTLAND GROUP INC VALUE PLUS FD INSTL CL (HNVIX)		$1,001 - $15,000	Tax-Deferred		☑
IRA ⇒ HIGHLAND LONG/SHORT EQUITY FUND CLASS Z (HEOZX)		None	Tax-Deferred		☑
IRA ⇒ INVESTMENT MANAGERS SER TR OAK RIDGE SMALL CP GROWTH FUND CL Y (ORIYX)		$1,001 - $15,000	Tax-Deferred		☐
DESCRIPTION: THE NAME PIONEER SER TR I PIONEER OAK RIDGE SMALL CAP GROWTH FUND CL Y (ORIYX) WAS CHANGED TO INVESTMENT MANAGERS SER TR OAK RIDGE SMALL CP GROWTH FUND CL Y (ORIYX).					
IRA ⇒ JOHN HANCOCK FDS II GLOBAL ABSOLUTE RETURN STRATEGIES FD CL I (JHAIX)		$1,001 - $15,000	Tax-Deferred		☑
IRA ⇒ JOHN HANCOCK FUNDS II ABSOLUTE RETURN CURRENCY FD CL I (JCUIX)		$1,001 - $15,000	Tax-Deferred		☑
IRA ⇒ JP MORGAN TR I INTREPID VALUE FD SELECT CL		$15,001 - $50,000	Tax-Deferred		☑

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
(JPIVX)					
IRA ⇒ MAINSTAY FD HIGH YIELD CORPORATE BD FD CL I (MHYIX)		$1,001 - $15,000	Tax-Deferred		☑
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		☑
IRA ⇒ NEUBERGER BERMAN ALTERNATIVE FDS - LONG SHORT FUND INSTL CL (NLSIX)		$1,001 - $15,000	Tax-Deferred		☑
IRA ⇒ OPPENHEIMER DEV MKTS CL Y (ODVYX)		$1,001 - $15,000	Tax-Deferred		☑
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)		None	Tax-Deferred		☑
IRA ⇒ PIMCO FDS PAC INVT MGMT SER-COMMODITY REAL RETURN STRAT FD INSTL CL (PCRIX)		$1,001 - $15,000	Tax-Deferred	None	☐
IRA ⇒ THORNBURG INTERNATIONAL VALUE FUND CLASS I (TGVIX)		None	Tax-Deferred		☑
IRA ⇒ THORNBURG INVT TR INVT INCOME BUILDER FD CL I (TIBIX)		None	Tax-Deferred		☑
Other Assets ⇒ ALEXAR THERAPEUTICS, INC. DESCRIPTION: BUSINESS INVESTMENT	SP	$1,001 - $15,000	None		☑
Other Assets ⇒ ARLINGTON WAREHOUSE INVESTORS II, LTD	SP	$15,001 - $50,000	Dividends	$1,001 - $2,500	☑

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
Location: ARLINGTON, TX, US Description: INVESTMENT					
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	☐
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	$100,001 - $1,000,000	☐
Other Assets ⇒ O'DAY LANDMAN LLC - MINERAL RIGHTS Location: ARLINGTON, TX, US Description: INVESTMENT	SP	$100,001 - $250,000	Interest, Royalties	$15,001 - $50,000	☐
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	☐

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
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	☐
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 ⇒ AMERICAN EUROPACIFIC GROWTH FU CL F2 (AEPFX)		09/15/2014	P	$1,001 - $15,000	
IRA ⇒ AMERICAN EUROPACIFIC GROWTH FU CL F2 (AEPFX)		09/16/2014	P	$1,001 - $15,000	
IRA ⇒ AQR FDS MANAGED FUTURES STRATEGY FD CL I (AQMIX)		05/20/2014	S	$1,001 - $15,000	☐
IRA ⇒		09/15/2014	S	$1,001 - $15,000	☑

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > $200?
ARTISAN FUNDS INC MID CAP VALUE FD INV SHS (ARTQX)			(partial)		
IRA ⇒ BLACKROCK FDS II CORE BOND PORT INSTL CLASS (BFMCX)		09/16/2014	P	$15,001 - $50,000	
IRA ⇒ BROADVIEW FDS TR OPPORTUNITY FD (BVAOX)		09/15/2014	S (partial)	$1,001 - $15,000	☑
IRA ⇒ GOLDMAN SACHS TR FINL SQUARE TREAS INSTRS FD (FTIXX)		05/20/2014	P	$1,001 - $15,000	
IRA ⇒ HARBOR FD CAP APPRECIATION FD INSTL CL (HACAX)		09/15/2014	P	$1,001 - $15,000	
IRA ⇒ HEARTLAND GROUP INC VALUE PLUS FD INSTL CL (HNVIX)		09/16/2014	P	$1,001 - $15,000	
IRA ⇒ HIGHLAND LONG/SHORT EQUITY FUND CLASS Z (HEOZX)		05/20/2014	S	$1,001 - $15,000	☐
IRA ⇒ JOHN HANCOCK FDS II GLOBAL ABSOLUTE RETURN STRATEGIES FD CL I (JHAIX)		05/21/2014	P	$1,001 - $15,000	
IRA ⇒ JOHN HANCOCK FUNDS II ABSOLUTE RETURN CURRENCY FD CL I (JCUIX)		05/20/2014	P	$1,001 - $15,000	
IRA ⇒ JOHN HANCOCK FUNDS II ABSOLUTE RETURN CURRENCY FD CL I (JCUIX)		05/21/2014	P	$1,001 - $15,000	
IRA ⇒ JP MORGAN TR I INTREPID VALUE FD SELECT CL (JPIVX)		05/20/2014	S (partial)	$1,001 - $15,000	☐
IRA ⇒ JP MORGAN TR I INTREPID VALUE FD SELECT CL (JPIVX)		09/16/2014	P	$1,001 - $15,000	

Asset	**Owner**	**Date**	**Tx. Type**	**Amount**	**Cap. Gains > $200?**
IRA ⇒ MAINSTAY FD HIGH YIELD CORPORATE BD FD CL I (MHYIX)		09/15/2014	P	$1,001 - $15,000	
IRA ⇒ MFS SER TR X EMERGING MKTS DEBT FD CLASS I (MEDIX)		09/15/2014	S (partial)	$1,001 - $15,000	☐
IRA ⇒ NEUBERGER BERMAN ALTERNATIVE FDS - LONG SHORT FUND INSTL CL (NLSIX)		05/20/2014	P	$1,001 - $15,000	
IRA ⇒ OPPENHEIMER DEV MKTS CL Y (ODVYX)		09/16/2014	P	$1,001 - $15,000	
IRA ⇒ PIMCO FDS PAC INVT MGMT SER TOTAL RETURN FD INSTL CL (PTTRX)		09/15/2014	S	$15,001 - $50,000	☐
IRA ⇒ THORNBURG INTERNATIONAL VALUE FUND CLASS I (TGVIX)		09/15/2014	S	$1,001 - $15,000	☑
IRA ⇒ THORNBURG INVT TR INVT INCOME BUILDER FD CL I (TIBIX)		09/15/2014	S	$1,001 - $15,000	☐
Other Assets ⇒ ALEXAR THERAPEUTICS, INC. LOCATION: US DESCRIPTION: INVESTMENT PURCHASE	SP	06/18/2014	P	$1,001 - $15,000	
Other Assets ⇒ ARLINGTON WAREHOUSE INVESTORS II, LTD DESCRIPTION: Partial Sale of Asset	SP	04/17/2014	S (partial)	$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	$50,001 - $100,000
	AMERICAN EXPRESS	12/31/2014	REVOLVING LINE OF CREDIT	$15,001 - $50,000

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

None disclosed.

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

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. Susan W. Brooks , 05/14/2015