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Financial Disclosure Report

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Filer Information

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

Filing Information

Filing Type: Amendment Report
Filing Year: 2015
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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	$15,001 - $50,000	Tax-Deferred		☐
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) ⇒ DODGE & COX INCOME FUND (DODIX)	SP	$15,001 - $50,000	Tax-Deferred		☑
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	None	Tax-Deferred		☑
401(k) ⇒ VIRTUS REAL ESTATE SECURITIES (PHRAX)	SP	$15,001 - $50,000	Tax-Deferred		☐
529 Plan ⇒	SP	$1,001 - $15,000	Tax-Deferred	None	☐

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
COLLEGECHOICE529 - ACTIVE BOND PORTFOLIO DESCRIPTION: 529 DIRECT SAVINGS PLAN					
529 Plan ⇒ COLLEGECHOICE529 - BOND INDEX PORTFOLIO DESCRIPTION: 529 COLLEGE SAVINGS PLAN COMMENTS: PLEASE NOTE: ASSET GREW TO EXCEED $1,000 AND IS THEREFORE BEING REPORTED.	SP	$1,001 - $15,000	Tax-Deferred		
529 Plan ⇒ COLLEGECHOICE529 - INFLATION PROTECTED PORTFOLIO DESCRIPTION: 529 DIRECT SAVINGS PLAN	SP	$1,001 - $15,000	Tax-Deferred	None	
529 Plan ⇒ COLLEGECHOICE529 - INTERNATIONAL PORTFOLIO DESCRIPTION: 529 DIRECT SAVINGS PLAN	SP	$1,001 - $15,000	Tax-Deferred		
529 Plan ⇒ COLLEGECHOICE529 - US EQUITY INDEX PORTFOLIO 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	Capital Gains, Dividends	$1 - $200	
Investment ⇒ FIDELITY CASH DESCRIPTION: Wells Fargo Deposit Account is now Fidelity Cash Account		$15,001 - $50,000	Interest	$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 SP ⇒ Apple Inc. (AAPL)	SP	$1,001 - $15,000	Dividends	$1 - $200	
Investment SP ⇒ FIDELITY ADVISOR BIOTECHNOLOGY FUND CLASS C (FBTCX)	SP	$1,001 - $15,000	Capital Gains, Dividends	$201 - $1,000	
Investment SP ⇒ FIFTH THIRD BANK DESCRIPTION: STOCK	SP	$1,001 - $15,000	Dividends	$1 - $200	

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
Investment SP ⇒ FIFTH THIRD BANK SAVINGS	SP	$15,001 - $50,000	Interest	$1 - $200	☐
Investment SP ⇒ First Trust IPOX-100 Index Fund (FPX)	SP	$1,001 - $15,000	Dividends	$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	☐
IRA ⇒ FIRST EAGLE FDS INC GLOBAL FD CL I (SGIIX)		$1,001 - $15,000	Tax-Deferred	None	☐
IRA ⇒ IVY FDS INC ASSET STRATEGY FD CL I (IVAEX)		$1,001 - $15,000	Tax-Deferred	None	☐
IRA ⇒ JANUS INVT FD PERKINS MID CAP VALUE FD CL I (JMVAX)		$1,001 - $15,000	Tax-Deferred	None	☐
IRA ⇒ MANAGERS AMG FUNDS YACTMAN FUND SERVICE CLASS (YACKX)		$1,001 - $15,000	Tax-Deferred	None	☐
IRA ⇒ NUVEEN INVT TRUST TRADEWINDS VALUE OPPTYS FUND CLASS I (NVORX)		$1,001 - $15,000	Tax-Deferred	None	☐
IRA ⇒ OPPENHEIMER INTL DIV CL Y SHS (OIDYX)		$1,001 - $15,000	Tax-Deferred	None	☐
IRA ⇒ PERMANENT PORTFOLIO FD (PRPFX)		$1,001 - $15,000	Tax-Deferred	None	☐
IRA SP ⇒ BAIRD MIDCAP FUND INSTITUTIONAL CLASS (BMDIX)	SP	$1,001 - $15,000	Tax-Deferred		☐
IRA SP ⇒ CHARTWELL SMALL CAP VALYUE I SHARE (CWSIX)	SP	$1,001 - $15,000	Tax-Deferred		☐
IRA SP ⇒	SP	$1,001 - $15,000	Tax-Deferred		☐

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
FMI LARGE CAP FUND (FMIHX)					
IRA SP ⇒ GABELLI SMALL CAP GROWTH FUND CLASS I (GACIX)	SP	$1,001 - $15,000	Tax-Deferred		☐
IRA SP ⇒ iShares 7-10 Year Treasury Bond ETF (IEF)	SP	$1,001 - $15,000	Tax-Deferred		☐
IRA SP ⇒ iShares iBoxx $ Investment Grade Corporate Bond ETF (LQD)	SP	$1,001 - $15,000	Tax-Deferred		☑
IRA SP ⇒ iShares MSCI ACWI ex US Index Fund (ACWX)	SP	$1,001 - $15,000	Tax-Deferred		☑
IRA SP ⇒ iShares MSCI EAFE ETF (EFA)	SP	$1,001 - $15,000	Tax-Deferred		☑
IRA SP ⇒ iShares MSCI Eurozone ETF (EZU)	SP	$1,001 - $15,000	Tax-Deferred		☑
IRA SP ⇒ iShares MSCI Japan Index Fund (EWJ)	SP	$1,001 - $15,000	Tax-Deferred		☑
IRA SP ⇒ iShares Russell Mid-Cap ETF (IWR)	SP	$1,001 - $15,000	Tax-Deferred		☐
IRA SP ⇒ JOHN HANCOCK DISCIPLINED VALUE MID CAP FUND CLASS I (JVMIX)	SP	$1,001 - $15,000	Tax-Deferred		☐
IRA SP ⇒ JP MORGAN CORE BOND FUND (WOBDX)	SP	None	Tax-Deferred		☑
IRA SP ⇒ MAINSTAY ICAP INTERNATIONAL FUND I (ICEUX)	SP	$1,001 - $15,000	Tax-Deferred		☐
IRA SP ⇒ MANNING & NAPIER FD INC WORLD OPPORTUNITIES (EXWAX)	SP	$1,001 - $15,000	Tax-Deferred		☑
IRA SP ⇒ OPPENHEIMER SENIOR FLOATING RATE FUND CLASS Y (OOSYX)	SP	$1,001 - $15,000	Tax-Deferred		☐

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
IRA SP ⇒ PIMCO INCOME FUND CLASS P (PONPX)	SP	$1,001 - $15,000	Tax-Deferred		☑
IRA SP ⇒ RIVERPARK/WEDGEWOOD INSTL FUNDS (RWGIX)	SP	$1,001 - $15,000	Tax-Deferred		☐
IRA SP ⇒ SPDR S&P 500 (SPY)	SP	$1,001 - $15,000	Tax-Deferred		☑
IRA SP ⇒ SPDR S&P Emerging Asia Pacific ETF (GMF)	SP	None	Tax-Deferred		☐
IRA SP ⇒ UBS BANK DEPOSIT ACCOUNT	SP	$1,001 - $15,000	Tax-Deferred	None	☐
IRA SP ⇒ Vanguard Total Bond Market ETF (BND)	SP	$1,001 - $15,000	Tax-Deferred		☐
IRA SP ⇒ Vanguard Total International Bond ETF (BNDX)	SP	None	Tax-Deferred		☑
IRA SP ⇒ Vanguard Total Stock Market ETF (VTI)	SP	None	Tax-Deferred		☑
IRA SP ⇒ VIRTUS MULTI-SECTOR SHORT TERM BOND FUND CLASS A (PIMSX)	SP	$1,001 - $15,000	Tax-Deferred		☐
IRA SP ⇒ WisdomTree Europe Hedged Equity Fund (HEDJ)	SP	$1,001 - $15,000	Tax-Deferred		☑
OTHER RETIREMENT ⇒ INDIANA 401(a) PLAN - INDIANA FUND 2035 DESCRIPTION: RETIREMENT ACCOUNT		$1,001 - $15,000	Tax-Deferred	None	☐
OTHER RETIREMENT ⇒ STATE OF INDIANA 401(a) PLAN - INDIANA STABLE VALUE FUND DESCRIPTION: RETIREMENT ACCOUNT		$1,001 - $15,000	Tax-Deferred	None	☐
OTHER RETIREMENT ⇒ STATE OF INDIANA 457 PLAN - INDIANA FUND 2035 DESCRIPTION: RETIREMENT ACCOUNT		$1,001 - $15,000	Tax-Deferred	None	☐
OTHER RETIREMENT ⇒		$1,001 - $15,000	Tax-Deferred	None	☐

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
STATE OF INDIANA 457 PLAN - STABLE VALUE FUND DESCRIPTION: RETIREMENT ACCOUNT					
REAL ESTATE ⇒ RENTAL CONDO - MASS AVE LOCATION: INDIANAPOLIS, IN, US		$100,001 - $250,000	Rent	$5,001 - $15,000	☐
REAL ESTATE ⇒ RENTAL HOUSE - 54TH STREET LOCATION: INDIANAPOLIS, IN, US		$100,001 - $250,000	Rent	$5,001 - $15,000	☐
REAL ESTATE ⇒ RENTAL TOWNHOUSE LOCATION: INDIANAPOLIS, IN, US		$100,001 - $250,000	Rent	$5,001 - $15,000	☐
RIRA ⇒ 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) ⇒ DODGE & COX INCOME FUND (DODIX) DESCRIPTION: Transfer of assets from Pimco Total Return Fund.	SP	11/1/2016	P	$15,001 - $50,000	
401(k) ⇒ PIMCO TOTAL RETURN FUND DESCRIPTION: Transfer of fund to Dodge & Cox Income Fund	SP	11/1/2015	S	$15,001 - $50,000	☐
529 Plan ⇒ COLLEGECHOICE529 - INFLATION-PROTECTED PORTFOLIO LOCATION: US DESCRIPTION: 529 PLAN CONTRIBUTION	SP	12/14/2015	P	$1,001 - $15,000	
Investment SP ⇒ First Trust IPOX-100 Index Fund (FPX)	SP	05/12/2015	P	$1,001 - $15,000	
IRA SP ⇒ iShares iBoxx $ Investment Grade Corporate Bond ETF (LQD)	SP	10/9/2015	P	$1,001 - $15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > $200?
IRA SP ⇒ ISHARES MSCI ACWI EX US ETF (ACWX)	SP	07/1/2015	P	$1,001 - $15,000	
IRA SP ⇒ iShares MSCI EAFE ETF (EFA)	SP	04/1/2015	P	$1,001 - $15,000	
IRA SP ⇒ iShares MSCI EAFE ETF (EFA)	SP	04/1/2015	P	$1,001 - $15,000	
IRA SP ⇒ iShares MSCI Eurozone ETF (EZU)	SP	10/13/2015	P	$1,001 - $15,000	
IRA SP ⇒ iShares MSCI Japan Index Fund (EWJ)	SP	04/1/2015	P	$1,001 - $15,000	
IRA SP ⇒ iShares MSCI Japan Index Fund (EWJ)	SP	10/13/2015	S (partial)	$1,001 - $15,000	☐
DESCRIPTION: Please note that this transaction brought the total value of EWJ below $1,000 and as a result it no longer is reported in Schedule A.					
IRA SP ⇒ JP MORGAN CORE BOND FUND SELECT (WOBDX)	SP	11/13/2015	S	$1,001 - $15,000	☐
IRA SP ⇒ MANNING & NAPIER FD, INC.WORLD OPPORTUNITIES (EXWAX)	SP	07/1/2015	S (partial)	$1,001 - $15,000	☐
IRA SP ⇒ PIMCO INCOME FUND CLASS P (PONPX)	SP	11/13/2015	P	$1,001 - $15,000	
IRA SP ⇒ SPDR S&P 500 (SPY)	SP	04/1/2015	S (partial)	$1,001 - $15,000	☐
IRA SP ⇒ Vanguard Total International Bond ETF (BNDX)	SP	10/9/2015	S	$1,001 - $15,000	☐
IRA SP ⇒ Vanguard Total Stock Market ETF (VTI)	SP	04/1/2015	S	$1,001 - $15,000	☐
IRA SP ⇒ VIRTUS MULTI-SECTOR SHORT TERM BOND FUND (PIMSX)	SP	04/1/2015	S (partial)	$1,001 - $15,000	☐
IRA SP ⇒ WisdomTree Europe Hedged Equity Fund (HEDJ)	SP	04/1/2015	P	$1,001 - $15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > $200?

* 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. Joseph College Board of Trustees
Director	Achieve International, Inc.
BOARD OF VISITORS	AOPA FOUNDATION

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

- 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 (•) 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

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