Filing ID #10015283

# Financial Disclosure Report

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## Filer Information

**Name:** Hon. Peter J. Roskam
**Status:** Member
**State/District:** IL06

## Filing Information

**Filing Type:** Annual Report
**Filing Year:** 2016
**Filing Date:** 05/15/2017

## Schedule A: Assets and "Unearned" Income

| Asset | Owner | Value of Asset | Income Type(s) | Income | Tx. > $1,000? |
|---|---|---|---|---|---|
| 529 - A ⇒ COLLEGE ENROLLMENT FUND - 529A (CENAX) | | $50,001 - $100,000 | Tax-Deferred | | ☑ |
| 529 - F ⇒ COLLEGE ENROLLMENT FUND - 529A (CENAX) | | $15,001 - $50,000 | Tax-Deferred | | ☐ |
| 529 - G ⇒ COLLEGE ENROLLMENT FUND - 529A (CENAX) | | $50,001 - $100,000 | Tax-Deferred | | ☐ |
| 529 - S ⇒ COLLEGE ENROLLMENT FUND - 529A (CENAX) | | $15,001 - $50,000 | Tax-Deferred | | ☑ |
| ER - TR ⇒ CHARLES SCHWAB DEPOSIT ACCOUNT | SP | $1,001 - $15,000 | Interest | None | ☐ |
| ER - TR ⇒ FlexShares Global Upstream Natural Resources Index Fund ETF (GUNR) | SP | $1,001 - $15,000 | Dividends | $201 - $1,000 | ☐ |
| ER - TR ⇒ FlexShares iBoxx 3 Year Target Duration TIPS Index Fund (TDTT) | SP | $1,001 - $15,000 | Dividends | $1 - $200 | ☑ |

| Asset | Owner | Value of Asset | Income Type(s) | Income | Tx. > $1,000? |
|---|---|---|---|---|---|
| ER - TR ⇒ Guggenheim Timber ETF (CUT) | SP | $1,001 - $15,000 | Dividends | $1 - $200 | ☐ |
| ER - TR ⇒ iShares 3-7 Year Treasury Bond ETF (IEI) | SP | $1,001 - $15,000 | Dividends | $1 - $200 | ☑ |
| ER - TR ⇒ iShares Core S&P Mid-Cap ETF (IJH) | SP | $1,001 - $15,000 | Capital Gains, Dividends | $1 - $200 | ☐ |
| ER - TR ⇒ iShares Core S&P Small-Cap ETF (IJR) | SP | $1,001 - $15,000 | Capital Gains, Dividends | $1 - $200 | ☐ |
| ER - TR ⇒ iShares iBoxx $ High Yield Corporate Bond ETF (HYG) | SP | $1,001 - $15,000 | Dividends | $201 - $1,000 | ☐ |
| ER - TR ⇒ iShares iBoxx $ Investment Grade Corporate Bond ETF (LQD) | SP | $1,001 - $15,000 | Dividends | $201 - $1,000 | ☐ |
| ER - TR ⇒ iShares S&P 500 Growth ETF (IVW) | SP | $1,001 - $15,000 | Dividends | $1 - $200 | ☐ |
| ER - TR ⇒ iShares S&P 500 Value ETF (IVE) | SP | $1,001 - $15,000 | Capital Gains, Dividends | $201 - $1,000 | ☐ |
| ER - TR ⇒ PowerShares Exchange-Traded Fund Trust ETF (BKLN) | SP | $1,001 - $15,000 | Dividends | $1 - $200 | ☐ |
| ER - TR ⇒ SPDR Barclays Short Term Corporate Bond ETF (SCPB) | SP | $1,001 - $15,000 | Dividends | $1 - $200 | ☐ |
| ER - TR ⇒ SPDR DJ Wilshire Intl Real Estate (RWX) | SP | $1,001 - $15,000 | Dividends | $201 - $1,000 | ☐ |
| ER - TR ⇒ SPDR DJ Wilshire REIT ETF (RWR) | SP | $1,001 - $15,000 | Dividends | $1 - $200 | ☐ |
| ER - TR ⇒ VanEck Vectors J.P. Morgan EM Local Currency Bond ETF (EMLC) | SP | $1,001 - $15,000 | Dividends | $1 - $200 | ☑ |
| ER - TR ⇒ Vanguard FTSE All World Ex US ETF (VEU) | SP | $1,001 - $15,000 | Dividends | $201 - $1,000 | ☐ |
| ER - TR ⇒ | SP | $1,001 - $15,000 | Dividends | $1 - $200 | ☐ |

| Asset | Owner | Value of Asset | Income Type(s) | Income | Tx. > $1,000? |
|---|---|---|---|---|---|
| Vanguard FTSE All-Wld ex-US SmCp Idx ETF (VSS) | | | | | |
| ER - TR ⇒ Vanguard FTSE Emerging Markets ETF (VWO) | SP | $1,001 - $15,000 | Dividends | $1 - $200 | ☐ |
| ER - TR ⇒ Vanguard Mortgage-Backed Securities ETF (VMBS) | SP | $1,001 - $15,000 | Dividends | $1 - $200 | ☑ |
| ER - TR ⇒ Vanguard Total International Bond ETF (BNDX) | SP | $1,001 - $15,000 | Dividends | $1 - $200 | ☐ |
| IRA ⇒ CHARLES SCHWAB DEPOSIT ACCOUNT | | $1,001 - $15,000 | Tax-Deferred | None | ☐ |
| IRA ⇒ FlexShares Global Upstream Natural Resources Index Fund ETF (GUNR) | | $1,001 - $15,000 | Tax-Deferred | | ☐ |
| IRA ⇒ FlexShares iBoxx 3 Year Target Duration TIPS Index Fund (TDTT) | | $15,001 - $50,000 | Tax-Deferred | | ☑ |
| IRA ⇒ Guggenheim Timber ETF (CUT) | | $1,001 - $15,000 | Tax-Deferred | None | ☐ |
| IRA ⇒ iShares 1-3 Year Treasury Bond ETF (SHY) | | $1,001 - $15,000 | Tax-Deferred | | ☐ |
| IRA ⇒ iShares 3-7 Year Treasury Bond ETF (IEI) | | $1,001 - $15,000 | Tax-Deferred | | ☐ |
| IRA ⇒ iShares Core S&P Mid-Cap ETF (IJH) | | $15,001 - $50,000 | Tax-Deferred | | ☑ |
| IRA ⇒ iShares Core S&P Small-Cap ETF (IJR) | | $15,001 - $50,000 | Tax-Deferred | | ☑ |
| IRA ⇒ iShares iBoxx $ High Yield Corporate Bond ETF (HYG) | | $1,001 - $15,000 | Tax-Deferred | None | ☐ |
| IRA ⇒ iShares iBoxx $ Investment Grade Corporate Bond ETF (LQD) | | $15,001 - $50,000 | Tax-Deferred | None | ☐ |
| IRA ⇒ | | $15,001 - $50,000 | Tax-Deferred | | ☐ |

| Asset | Owner | Value of Asset | Income Type(s) | Income | Tx. > $1,000? |
|---|---|---|---|---|---|
| iShares S&P 500 Growth ETF (IVW) | | | | | |
| IRA ⇒<br>iShares S&P 500 Value ETF (IVE) | | $15,001 - $50,000 | Tax-Deferred | | ☐ |
| IRA ⇒<br>PowerShares Exchange-Traded Fund Trust ETF (BKLN) | | $1,001 - $15,000 | Tax-Deferred | None | ☐ |
| IRA ⇒<br>SPDR Barclays Short Term Corporate Bond ETF (SCPB) | | $1,001 - $15,000 | Tax-Deferred | | ☐ |
| IRA ⇒<br>SPDR DJ Wilshire Intl Real Estate (RWX) | | $1,001 - $15,000 | Tax-Deferred | None | ☐ |
| IRA ⇒<br>SPDR DJ Wilshire REIT ETF (RWR) | | $1,001 - $15,000 | Tax-Deferred | None | ☐ |
| IRA ⇒<br>VanEck Vectors J.P. Morgan EM Local Currency Bond ETF (EMLC) | | $1,001 - $15,000 | Tax-Deferred | | ☑ |
| IRA ⇒<br>Vanguard FTSE All World Ex US ETF (VEU) | | $15,001 - $50,000 | Tax-Deferred | | ☑ |
| IRA ⇒<br>Vanguard FTSE All-Wld ex-US SmCp Idx ETF (VSS) | | $1,001 - $15,000 | Tax-Deferred | None | ☐ |
| IRA ⇒<br>Vanguard FTSE Emerging Markets ETF (VWO) | | $1,001 - $15,000 | Tax-Deferred | | ☐ |
| IRA ⇒<br>Vanguard Mortgage-Backed Securities ETF (VMBS) | | $1,001 - $15,000 | Tax-Deferred | | ☑ |
| Other Accounts ⇒<br>Community Bank - Wheaton/Glen Ellyn | | $15,001 - $50,000 | Interest | $1 - $200 | ☐ |
| Other Accounts ⇒<br>ILLINOIS GENERAL ASSEMBLY RETIREMENT SYSTEM | | Undetermined | None | | ☐ |

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

## Schedule B: Transactions

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > $200? |
|---|---|---|---|---|---|
| 529 - A ⇒<br>COLLEGE ENROLLMENT FUND - 529A (CENAX) | | 08/10/2016 | S (partial) | $15,001 - $50,000 | ☐ |
| 529 - A ⇒<br>COLLEGE ENROLLMENT FUND - 529A (CENAX) | | 10/6/2016 | S (partial) | $1,001 - $15,000 | ☐ |
| 529 - A ⇒<br>COLLEGE ENROLLMENT FUND - 529A (CENAX) | | 12/2/2016 | S (partial) | $15,001 - $50,000 | ☐ |
| 529 - S ⇒<br>COLLEGE ENROLLMENT FUND - 529A (CENAX) | | 05/5/2016 | S (partial) | $1,001 - $15,000 | ☐ |
| ER - TR ⇒<br>FlexShares iBoxx 3 Year Target Duration TIPS Index Fund (TDTT) | SP | 05/11/2016 | S (partial) | $1,001 - $15,000 | ☐ |
| ER - TR ⇒<br>iShares 1-3 Year Treasury Bond ETF (SHY) | SP | 05/11/2016 | S | $1,001 - $15,000 | ☐ |
| ER - TR ⇒<br>iShares 3-7 Year Treasury Bond ETF (IEI) | SP | 05/11/2016 | P | $1,001 - $15,000 | |
| ER - TR ⇒<br>VanEck Vectors J.P. Morgan EM Local Currency Bond ETF (EMLC) | SP | 11/16/2016 | P | $1,001 - $15,000 | |
| ER - TR ⇒<br>Vanguard Mortgage-Backed Securities ETF (VMBS) | SP | 05/11/2016 | P | $1,001 - $15,000 | |
| ER - TR ⇒<br>WisdomTree Emerging Markets Local Debt Fund (ELD) | SP | 11/16/2016 | S | $1,001 - $15,000 | ☐ |
| IRA ⇒<br>FlexShares iBoxx 3 Year Target Duration TIPS Index Fund (TDTT) | | 05/11/2016 | S (partial) | $1,001 - $15,000 | ☐ |
| IRA ⇒<br>iShares Core S&P Mid-Cap ETF (IJH) | | 11/15/2016 | S (partial) | $1,001 - $15,000 | ☐ |
| IRA ⇒<br>iShares Core S&P Small-Cap ETF (IJR) | | 11/16/2016 | S (partial) | $1,001 - $15,000 | ☐ |
| IRA ⇒<br>VanEck Vectors J.P. Morgan EM Local Currency Bond ETF | | 11/16/2016 | P | $1,001 - $15,000 | |

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > $200? |
|---|---|---|---|---|---|
| (EMLC) | | | | | |
| IRA ⇒<br>Vanguard FTSE All World Ex US ETF (VEU) | | 11/16/2016 | P | $1,001 - $15,000 | |
| IRA ⇒<br>Vanguard Mortgage-Backed Securities ETF (VMBS) | | 05/11/2016 | P | $1,001 - $15,000 | |
| IRA ⇒<br>WisdomTree Emerging Markets Local Debt Fund (ELD) | | 11/16/2016 | S | $1,001 - $15,000 | ☐ |

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

## Schedule C: Earned Income

| Source | Type | Amount |
|---|---|---|
| ELIZABETH ROSKAM - SELF EMPLOYED | Commissions | N/A |
| ILLINOIS GENERAL ASSEMBLY RETIREMENT SYSTEM | PENSION PAYMENT | $11,935.00 |

## Schedule D: Liabilities

None disclosed.

## Schedule E: Positions

| Position | Name of Organization |
|---|---|
| Member of Board of Directors | National Endowment for Democracy |

## Schedule F: Agreements

| Date | Parties To | Terms of Agreement |
|---|---|---|
| January 1993 | Me - Illinois General Assembly Retirement System | I am a participant in the General Assembly defined benefit plan |

## 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?** |
| ASPEN INSTITUTE CONGRESSIONAL PROGRAM | 03/28/2016 | 04/4/2016 | CHICAGO, IL - BEJING, CHINA - NANJING, CHINA - CHICAGO, IL | 0 | ☑ | ☑ | ☑ |
| ASPEN INSTITUTE CONGRESSIONAL PROGRAM | 04/30/2016 | 05/4/2016 | WASHINGTON, DC - BRIESEN, GERMANY - CHICAGO, IL | 0 | ☑ | ☑ | ☐ |
| ASPEN INSTITUTE CONGRESSIONAL PROGRAM | 08/10/2016 | 08/16/2016 | CHICAGO, IL - LONDON, UK - CHICAGO, IL | 0 | ☑ | ☑ | ☑ |

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

None disclosed.

## Schedule A and B Asset Class Details

- 529 - A
  Location: US
- 529 - F
  Location: US
- 529 - G
  Location: US
- 529 - S
  Location: US
- ER - TR (Owner: SP)
- IRA
- Other Accounts
  Location: US

## 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. Peter J. Roskam , 05/15/2017