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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: Annual Report
Filing Year: 2016
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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	None	Tax-Deferred		☑
401(k) ⇒ BARON SMALL CAP INST (BSFIX)	SP	None	Tax-Deferred		☑
401(k) ⇒ CAMBIAR SMALL CAP FUND (CAMSX)	SP	$15,001 - $50,000	Tax-Deferred		☑
401(k) ⇒ DODGE & COX INCOME FUND (DODIX)	SP	$15,001 - $50,000	Tax-Deferred		☑
401(k) ⇒ DODGE & COX STOCK FUND (DODGX)	SP	$15,001 - $50,000	Tax-Deferred		☑
401(k) ⇒ HARBOR SMALL CAP GROWTH FUND (HASGX)	SP	$15,001 - $50,000	Tax-Deferred		☑
401(k) ⇒ MAINSTAY LARGE CAP GROWTH R1 (MLRRX)	SP	$15,001 - $50,000	Tax-Deferred		☑
401(k) ⇒	SP	$15,001 - $50,000	Tax-Deferred		☑

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
VIRTUS REAL ESTATE SECURITIES (PHRIX) DESCRIPTION: ACCIDENTALLY LISTED AS PHRAX. SHOULD BE PHRIX.					
529 Plan ⇒ COLLEGECHOICE529 - ACTIVE BOND PORTFOLIO DESCRIPTION: 529 DIRECT SAVINGS PLAN	SP	$1,001 - $15,000	Tax-Deferred	None	
529 Plan ⇒ COLLEGECHOICE529 - BOND INDEX PORTFOLIO DESCRIPTION: 529 COLLEGE SAVINGS PLAN	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	$201 - $1,000	
Investment SP ⇒ FIDELITY ADVISOR BIOTECHNOLOGY FUND CLASS C (FBTCX)	SP	$1,001 - $15,000	Capital Gains, Dividends	$201 - $1,000	
Investment SP ⇒	SP	$1,001 - $15,000	Dividends	$201 -	

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
FIFTH THIRD BANK DESCRIPTION: STOCK				$1,000	
Investment SP ⇒ FIFTH THIRD BANK SAVINGS	SP	$50,001 - $100,000	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)		None	Tax-Deferred		☑
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 ⇒ ASHMORE EMERGING MARKETS TOTAL RETURN FUND CLASS (EMKIX)	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?
BAIRD MIDCAP FUND INSTITUTIONAL CLASS (BMDIX)					
IRA SP ⇒ CHARTWELL SMALL CAP VALYUE I SHARE (CWSIX)	SP	$1,001 - $15,000	Tax-Deferred		☐
IRA SP ⇒ FMI LARGE CAP FUND (FMIHX)	SP	$1,001 - $15,000	Tax-Deferred		☐
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 Core MSCI EAFE ETF (IEFA)	SP	$1,001 - $15,000	Tax-Deferred		☑
IRA SP ⇒ iShares Core MSCI Emerging Markets ETF (IEMG)	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 MBS ETF (MBB)	SP	$1,001 - $15,000	Tax-Deferred		☐
DESCRIPTION: NOTE: THIS IS A NEWLY LISTED ASSET THAT HAS REACHED THE REPORTING THRESHOLD.					
IRA SP ⇒ iShares MSCI ACWI ex US Index Fund (ACWX)	SP	None	Tax-Deferred		☑
IRA SP ⇒ iShares MSCI EAFE ETF (EFA)	SP	$1,001 - $15,000	Tax-Deferred		☑
IRA SP ⇒ iShares MSCI Eurozone ETF (EZU)	SP	None	Tax-Deferred		☑
IRA SP ⇒ iShares MSCI Japan Index Fund (EWJ)	SP	None	Tax-Deferred		☑
COMMENTS: PLEASE NOTE: VALUE OF ASSET BELOW $1,000 THEREFORE NO CORRESPONDING SALE TRANSACTION.					
IRA SP ⇒ iShares Russell Mid-Cap ETF (IWR)	SP	$1,001 - $15,000	Tax-Deferred		☐

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
IRA SP ⇒ JOHN HANCOCK DISCIPLINED VALUE MID CAP FUND CLASS I (JVMIX)	SP	$1,001 - $15,000	Tax-Deferred		☐
IRA SP ⇒ MAINSTAY ICAP INTERNATIONAL FUND I (ICEUX)	SP	None	Tax-Deferred		☑
IRA SP ⇒ MANNING & NAPIER FD INC WORLD OPPORTUNITIES (EXWAX)	SP	None	Tax-Deferred		☑
IRA SP ⇒ OPPENHEIMER SENIOR FLOATING RATE FUND CLASS Y (OOSYX)	SP	$1,001 - $15,000	Tax-Deferred		☐
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 Bloomberg Barclays Intl Treasury Bd (BWX)	SP	$1,001 - $15,000	Tax-Deferred		☑
IRA SP ⇒ SPDR S&P 500 (SPY)	SP	$1,001 - $15,000	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 Stock Market ETF (VTI)	SP	$1 - $1,000	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	None	Tax-Deferred		☑
OTHER RETIREMENT ⇒ 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 ⇒ 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		$15,001 - $50,000	Tax-Deferred		☐
OTHER RETIREMENT ⇒ STATE OF INDIANA 457 PLAN - STABLE VALUE FUND DESCRIPTION: RETIREMENT ACCOUNT		$1,001 - $15,000	Tax-Deferred	None	☐
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 HOUSE - WOODACRE LANE LOCATION: INDIANAPOLIS, IN, US		$250,001 - $500,000	Rent	$2,501 - $5,000	☐
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) ⇒ ARTISAN VALUE FUND (ARTLX)	SP	02/29/2016	S	$15,001 - $50,000	☐
401(k) ⇒ BARON SMALL CAP INST (BSFIX)	SP	02/29/2016	S	$15,001 - $50,000	☐

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > $200?
401(k) ⇒ CAMBIAR SMALL CAP FUND (CAMSX)	SP	08/8/2016	S (partial)	$1,001 - $15,000	☐
401(k) ⇒ DODGE & COX INCOME FUND (DODIX)	SP	08/8/2016	S (partial)	$1,001 - $15,000	☐
401(k) ⇒ DODGE & COX STOCK FUND (DODGX)	SP	02/29/2016	P	$15,001 - $50,000	
401(k) ⇒ HARBOR SMALL CAP GROWTH FUND (HASGX)	SP	02/29/2016	P	$15,001 - $50,000	
401(k) ⇒ HARBOR SMALL CAP GROWTH FUND (HASGX)	SP	08/8/2016	S (partial)	$1,001 - $15,000	☐
401(k) ⇒ MAINSTAY LARGE CAP GROWTH R1 (MLRRX)	SP	08/8/2016	S (partial)	$1,001 - $15,000	☐
401(k) ⇒ VIRTUS REAL ESTATE SECURITIES (PHRIX)	SP	08/8/2016	S (partial)	$1,001 - $15,000	☐
IRA ⇒ JANUS INVT FD PERKINS MID CAP VALUE FD CL I (JMVAX)		04/4/2016	S	$1,001 - $15,000	☐
IRA SP ⇒ ASHMORE EMERGING MARKETS TOTAL RETURN FUND CLASS (EMKIX)	SP	10/20/2016	P	$1,001 - $15,000	
IRA SP ⇒ iShares Core MSCI EAFE ETF (IEFA)	SP	10/13/2016	P	$1,001 - $15,000	
IRA SP ⇒ iShares Core MSCI Emerging Markets ETF (IEMG)	SP	08/2/2016	P	$1,001 - $15,000	
IRA SP ⇒ iShares iBoxx $ Investment Grade Corporate Bond ETF (LQD)	SP	04/1/2016	P	$1,001 - $15,000	
IRA SP ⇒ iShares iBoxx $ Investment Grade Corporate Bond ETF (LQD)	SP	10/19/2016	S (partial)	$1,001 - $15,000	☐

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > $200?
IRA SP ⇒ iShares MSCI ACWI ex US Index Fund (ACWX)	SP	01/21/2016	S	$1,001 - $15,000	☐
IRA SP ⇒ iShares MSCI EAFE ETF (EFA)	SP	01/21/2016	P	$1,001 - $15,000	
IRA SP ⇒ iShares MSCI Eurozone ETF (EZU)	SP	01/12/2016	P	$1,001 - $15,000	
IRA SP ⇒ iShares MSCI Eurozone ETF (EZU)	SP	06/28/2016	S	$1,001 - $15,000	☐
IRA SP ⇒ MAINSTAY ICAP INTERNATIONAL FUND I (ICEUX)	SP	10/13/2016	S	$1,001 - $15,000	☐
IRA SP ⇒ MANNING & NAPIER FD INC WORLD OPPORTUNITIES (EXWAX)	SP	01/21/2016	S	$1,001 - $15,000	☐
IRA SP ⇒ RIVERPARK/WEDGEWOOD INSTL FUNDS (RWGIX)	SP	01/29/2016	S (partial)	$1,001 - $15,000	☐
IRA SP ⇒ SPDR Bloomberg Barclays Intl Treasury Bd (BWX)	SP	11/8/2016	P	$1,001 - $15,000	
IRA SP ⇒ SPDR S&P 500 (SPY)	SP	04/1/2016	S (partial)	$1,001 - $15,000	☐
IRA SP ⇒ SPDR S&P 500 (SPY)	SP	04/25/2016	S (partial)	$1,001 - $15,000	☐
IRA SP ⇒ Vanguard Total Bond Market ETF (BND)	SP	11/8/2016	S (partial)	$1,001 - $15,000	☐
IRA SP ⇒ Vanguard Total Stock Market ETF (VTI)	SP	06/28/2016	P	$1,001 - $15,000	
IRA SP ⇒ WisdomTree Europe Hedged Equity Fund (HEDJ)	SP	01/12/2016	S	$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
SP	OCWEN	APRIL 2011	MORTGAGE ON INDIANAPOLIS RENTAL TOWNHOUSE	$50,001 - $100,000
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
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
	NATIONAL BANK OF INDIANAPOLIS	SEPTEMBER 2016	MORTGAGE ON WOODACRE RENTAL	$250,001 - $500,000
	NATIONAL BANK OF INDIANAPOLIS	SEPTEMBER 2016	EQUITY LINE OF PRINCIPAL RESIDENCE	$100,001 - $250,000
	CALIBER MORTGAGE	SEPTEMBER 2016	MORTGAGE ON PRINCIPAL RESIDENCE	$250,001 - $500,000
	CHASE BANK	JULY 2012	MORTGAGE ON PRINCIPAL RESIDENCE	$250,001 - $500,000
	COMMENTS: NOTE THIS LIABILITY WAS PAID OFF IN 2016.			
	PNC BANK	JUNE 2003	EQUITY LINE OF CREDIT ON PRINCIPAL RESIDENCE	$15,001 - $50,000
	COMMENTS: NOTE: THIS LIABILITY WAS PAID OFF IN 2016.			

Schedule E: Positions

Position	Name of Organization
BOARD MEMBER	ST. JOSEPH COLLEGE BOARD OF TRUSTEES
BOARD OF VISITORS	AOPA FOUNDATION
DIRECTOR	ACHIEVE INTERNATIONAL, INC.

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

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. Todd Rokita , 06/14/2017