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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: 2017
Filing Date: 08/14/2018

Schedule A: Assets and "Unearned" Income

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
401(k) ⇒ AMERICAN FUND (AMCAP) [MF]	SP	$50,001 - $100,000	Tax-Deferred		☑
401(k) ⇒ DELAWARE SMALL CAP CORE FUND [MF]	SP	$100,001 - $250,000	Tax-Deferred		☑
401(k) ⇒ DODGE & COX INCOME FUND (DODIX) [MF]	SP	$50,001 - $100,000	Tax-Deferred		☐
401(k) ⇒ DODGE & COX STOCK FUND (DODGX) [MF]	SP	$15,001 - $50,000	Tax-Deferred		☐
401(k) ⇒ LOAN FUND [MF]	SP	$15,001 - $50,000	Tax-Deferred		☑
401(k) ⇒ VIRTUS REAL ESTATE SECURITIES (PHRIX) [MF]	SP	$15,001 - $50,000	Tax-Deferred		☑
529 Plan ⇒ COLLEGECHOICE529 - ACTIVE BOND PORTFOLIO [OT] 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 - BOND INDEX PORTFOLIO [OT] Description: 529 COLLEGE SAVINGS PLAN	SP	$1,001 - $15,000	Tax-Deferred		
529 Plan ⇒ COLLEGECHOICE529 - INFLATION PROTECTED PORTFOLIO [OT] Description: 529 DIRECT SAVINGS PLAN	SP	$1,001 - $15,000	Tax-Deferred	None	
529 Plan ⇒ COLLEGECHOICE529 - INTERNATIONAL PORTFOLIO [OT] Description: 529 DIRECT SAVINGS PLAN	SP	$1,001 - $15,000	Tax-Deferred		
529 Plan ⇒ COLLEGECHOICE529 - US EQUITY INDEX PORTFOLIO [OT] Description: 529 DIRECT SAVINGS PLAN	SP	$1,001 - $15,000	Tax-Deferred	None	
Investment ⇒ DAVIS NEW YORK VENTURE FUND CL A (NYVTX) [MF]		$1,001 - $15,000	Dividends	$1 - $200	
Investment ⇒ FIDELITY CASH [BA]		$15,001 - $50,000	Interest	$1 - $200	
Investment ⇒ FIRST EAGLE FDS INC GOLD FD CL C (FEGOX) [MF]		$1,001 - $15,000	None		
Investment ⇒ Pembina Pipeline Corp. Ordinary Shares (PBA) [ST]		$1,001 - $15,000	Capital Gains, Dividends	$201 - $1,000	
Investment SP ⇒ Apple Inc. (AAPL) [ST]	SP	$15,001 - $50,000	Dividends	$201 - $1,000	
Investment SP ⇒ FIDELITY ADVISOR BIOTECHNOLOGY FUND CLASS C (FBTCX) [MF]	SP	$1,001 - $15,000	None		
Investment SP ⇒ FIFTH THIRD BANK [PS] Description: STOCK	SP	$1,001 - $15,000	Dividends	$201 - $1,000	
Investment SP ⇒ FIFTH THIRD BANK SAVINGS [BA]	SP	$50,001 - $100,000	Interest	$1 - $200	

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
Investment SP ⇒ First Trust IPOX-100 Index Fund (FPX) [ST]	SP	$1,001 - $15,000	Dividends	$1 - $200	☐
IRA ⇒ CALAMOS INTERNATIONAL GROWTH FUND CLASS I (CIGIX) [MF]		$1,001 - $15,000	Tax-Deferred	None	☐
IRA ⇒ DREYFUS ADVANTAGE FDS DREYFUS OPPORTUNISTIC SMALL CAP FD (DSCVX) [MF]		$1,001 - $15,000	Tax-Deferred	None	☐
IRA ⇒ FIDELITY CASH [BA]		$1,001 - $15,000	Tax-Deferred		☐
IRA ⇒ FIRST EAGLE FDS INC GLOBAL FD CL I (SGIIX) [MF]		$1,001 - $15,000	Tax-Deferred	None	☐
IRA ⇒ IVY FDS INC ASSET STRATEGY FD CL I (IVAEX) [MF]		$1,001 - $15,000	Tax-Deferred	None	☐
IRA ⇒ MANAGERS AMG FUNDS YACTMAN FUND SERVICE CLASS (YACKX) [MF]		$1,001 - $15,000	Tax-Deferred	None	☐
IRA ⇒ NUVEEN INVT TRUST TRADEWINDS VALUE OPPTYS FUND CLASS I (NVORX) [MF]		None	Tax-Deferred		☑
Description: NUVEEN INVT TRUST TRADEWINDS VALUE OPPTYS FUND CLASS I (NVORX) MERGED WITH NUVEEN NWQ GLOBAL EQUITY INCOME CL I (NQGIX)					
IRA ⇒ NUVEEN NWQ GLOBAL EQUITY INCOME CL I (NQGIX) [MF]		$1,001 - $15,000	Tax-Deferred		☑
Description: NUVEEN INVT TRUST TRADEWINDS VALUE OPPTYS FUND CLASS I (NVORX) MERGED WITH NUVEEN NWQ GLOBAL EQUITY INCOME CL I (NQGIX)					
IRA ⇒ OPPENHEIMER INTL DIV CL Y SHS (OIDYX) [MF]		$1,001 - $15,000	Tax-Deferred	None	☐
IRA ⇒ PERMANENT PORTFOLIO FD (PRPFX) [MF]		$1,001 - $15,000	Tax-Deferred	None	☐
IRA SP ⇒ ASHMORE EMERGING MARKETS TOTAL RETURN FUND CLASS (EMKIX) [MF]	SP	$1,001 - $15,000	Tax-Deferred		☐

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
IRA SP ⇒ BAIRD MIDCAP FUND INSTITUTIONAL CLASS (BMDIX) [MF]	SP	$1,001 - $15,000	Tax-Deferred		✓
IRA SP ⇒ CHARTWELL SMALL CAP VALYUE I SHARE (CWSIX) [MF]	SP	$1,001 - $15,000	Tax-Deferred		
IRA SP ⇒ FMI LARGE CAP FUND (FMIQX) [MF]	SP	$1,001 - $15,000	Tax-Deferred		✓
DESCRIPTION: SYMBOL ERRONEOUSLY LISTED AS FMIHX CHANGED TO FMIQX					
IRA SP ⇒ GABELLI SMALL CAP GROWTH FUND CLASS I (GACIX) [MF]	SP	$1,001 - $15,000	Tax-Deferred		
IRA SP ⇒ iShares Core MSCI EAFE ETF (IEFA) [ST]	SP	$1,001 - $15,000	Tax-Deferred		✓
IRA SP ⇒ iShares Core MSCI Emerging Markets ETF (IEMG) [ST]	SP	$1,001 - $15,000	Tax-Deferred		✓
IRA SP ⇒ iShares Core S&P U.S. Growth ETF (IUSG) [EF]	SP	$1,001 - $15,000	Tax-Deferred		✓
IRA SP ⇒ iShares iBoxx $ Investment Grade Corporate Bond ETF (LQD) [EF]	SP	$1,001 - $15,000	Tax-Deferred		
IRA SP ⇒ iShares Russell Mid-Cap ETF (IWR) [EF]	SP	$1,001 - $15,000	Tax-Deferred		✓
IRA SP ⇒ iShares U.S. Treasury Bond ETF (GOVT) [EF]	SP	$1,001 - $15,000	Tax-Deferred		✓
IRA SP ⇒ JOHN HANCOCK DISCIPLINED VALUE MID CAP FUND CLASS I (JVMIX) [MF]	SP	$1,001 - $15,000	Tax-Deferred		✓
IRA SP ⇒ MANNING & NAPIER FD INC WORLD OPPORTUNITIES (EXWAX) [MF]	SP	None	Tax-Deferred		
IRA SP ⇒ OPPENHEIMER INTERNATIONAL GROWTH (OIGYX) [MF]	SP	$1,001 - $15,000	Tax-Deferred		✓

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
IRA SP ⇒ OPPENHEIMER SENIOR FLOATING RATE FUND CLASS Y (OOSYX) [MF] Description: MOTE: ASSET SOLD IN FULL IN TRANSACTIONS UNDER $1,000	SP	None	Tax-Deferred		☐
IRA SP ⇒ PEAR TREE POLARIS FOREIGN VALUE FUND INSTL (QFVIX) [MF]	SP	$1,001 - $15,000	Tax-Deferred		☑
IRA SP ⇒ PIMCO INCOME FUND CLASS P (PONPX) [MF]	SP	None	Tax-Deferred		☑
IRA SP ⇒ PIMCO INVESTMENT GRADE CORPORATE BOND FUND (PBDPX) [MF]	SP	$1,001 - $15,000	Tax-Deferred		☑
IRA SP ⇒ SPDR Bloomberg Barclays High Yield Bond ETF (JNK) [EF]	SP	$1,001 - $15,000	Tax-Deferred		☑
IRA SP ⇒ SPDR S&P 500 (SPY) [EF]	SP	$1,001 - $15,000	Tax-Deferred		☑
IRA SP ⇒ UBS BANK DEPOSIT ACCOUNT [BA]	SP	$1,001 - $15,000	Tax-Deferred	None	☐
IRA SP ⇒ VanEck Vectors J.P. Morgan EM Local Currency Bond ETF (EMLC) [EF]	SP	$1,001 - $15,000	Tax-Deferred		☑
IRA SP ⇒ Vanguard Total Bond Market ETF (BND) [EF]	SP	$1,001 - $15,000	Tax-Deferred		☑
IRA SP ⇒ Vanguard Total World Stock Index ETF (VT) [EF]	SP	$1,001 - $15,000	Tax-Deferred		☑
OTHER RETIREMENT ⇒ INDIANA 401(a) PLAN - INDIANA FUND 2035 [OT] Description: RETIREMENT ACCOUNT		$1,001 - $15,000	Tax-Deferred	None	☐
OTHER RETIREMENT ⇒ STATE OF INDIANA 401(a) PLAN - INDIANA STABLE VALUE FUND [OT] Description: RETIREMENT ACCOUNT		$1,001 - $15,000	Tax-Deferred	None	☐

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
OTHER RETIREMENT ⇒ STATE OF INDIANA 457 PLAN - INDIANA FUND 2035 [OT] DESCRIPTION: RETIREMENT ACCOUNT		$15,001 - $50,000	Tax-Deferred		☐
OTHER RETIREMENT ⇒ STATE OF INDIANA 457 PLAN - STABLE VALUE FUND [OT] DESCRIPTION: RETIREMENT ACCOUNT		$1,001 - $15,000	Tax-Deferred	None	☐
REAL ESTATE ⇒ RENTAL CONDO - MASS AVE [RP] LOCATION: INDIANAPOLIS, IN, US		$100,001 - $250,000	Rent	$5,001 - $15,000	☐
REAL ESTATE ⇒ RENTAL HOUSE - 54TH STREET [RP] LOCATION: INDIANAPOLIS, IN, US		$100,001 - $250,000	Rent	$5,001 - $15,000	☐
REAL ESTATE ⇒ RENTAL HOUSE - WOODACRE LANE [RP] LOCATION: INDIANAPOLIS, IN, US		$250,001 - $500,000	Rent	$15,001 - $50,000	☐
REAL ESTATE ⇒ RENTAL TOWNHOUSE [RP] LOCATION: INDIANAPOLIS, IN, US		$100,001 - $250,000	Rent	$5,001 - $15,000	☐
RIRA ⇒ FIRST EAGLE GLOBAL INC GLOBAL FD CL A (SGENX) [MF]		$1,001 - $15,000	Tax-Deferred	None	☐

* Asset class details available at the bottom of this form. For the complete list of asset type abbreviations, please visit https://fd.house.gov/reference/asset-type-codes.aspx.

Schedule B: Transactions

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > $200?
401(k) ⇒ AMERICAN FUNDS (AMCAP) [MF]	SP	06/1/2017	P	$50,001 - $100,000	
401(k) ⇒ CAMBIAR SMALL CAP FUND (CAMSX) [MF]	SP	06/1/2017	S	$15,001 - $50,000	☐
401(k) ⇒ DELAWARE SMALL CAP CORE FUND [MF]	SP	06/1/2017	P	$15,001 - $50,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > $200?
401(k) ⇒ DELAWARE SMALL CAP CORE FUND [MF]	SP	06/1/2017	P	$15,001 - $50,000	
401(k) ⇒ HARBOR SMALL CAP GROWTH FUND (HASGX) [MF]	SP	06/1/2017	S	$15,001 - $50,000	☐
401(k) ⇒ LOAN FUND [MF]	SP	06/1/2017	P	$15,001 - $50,000	
401(k) ⇒ MAINSTAY LARGE CAP GROWTH R1 (MLRRX) [MF]	SP	06/1/2017	S	$15,001 - $50,000	☐
401(k) ⇒ VIRTUS REAL ESTATE SECURITIES (PHRIX) [MF]	SP	06/1/2017	S (partial)	$15,001 - $50,000	☐
IRA ⇒ NUVEEN NWQ GLOBAL EQUITY INCOME CL I (NQGIX) [MF]		03/28/2017	E	$1,001 - $15,000	
DESCRIPTION: NUVEEN INVT TRUST TRADEWINDS VALUE OPPTYS FUND CL I (NVORX) MERGED WITH NUVEEN NWQ GLOBAL EQUITY INCOME CL I (NQGIX)					
IRA SP ⇒ BAIRD MIDCAP FUND INSTITUTIONAL CLASS (BMDIX) [MF]	SP	06/26/2017	S (partial)	$1,001 - $15,000	☐
IRA SP ⇒ FMI LARGE CAP FUND CLASS INSTITUTIONAL (FMIQX) [MF]	SP	06/26/2017	S (partial)	$1,001 - $15,000	☐
IRA SP ⇒ iShares 7-10 Year Treasury Bond ETF (IEF) [EF]	SP	04/21/2017	S	$1,001 - $15,000	☐
DESCRIPTION: NOTE FINAL SALE OF ASSET WAS BELOW THRESHOLD AND OCCURRED ON 6/26/2017.					
IRA SP ⇒ iShares Core MSCI EAFE ETF (IEFA) [EF]	SP	06/26/2017	S (partial)	$1,001 - $15,000	☐
IRA SP ⇒ iShares Core MSCI Emerging Markets ETF (IEMG) [EF]	SP	06/26/2017	P	$1,001 - $15,000	
IRA SP ⇒ iShares Core S&P U.S. Growth ETF (IUSG) [EF]	SP	04/26/2017	P	$1,001 - $15,000	
IRA SP ⇒ iShares Core S&P U.S. Growth ETF (IUSG) [EF]	SP	06/26/2017	S (partial)	$1,001 - $15,000	☐

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > $200?
IRA SP ⇒ iShares MBS ETF (MBB) [EF]	SP	06/26/2017	S	$1,001 - $15,000	☐
IRA SP ⇒ iShares MSCI EAFE ETF (EFA) [EF]	SP	06/26/2017	S	$1,001 - $15,000	☐
IRA SP ⇒ iShares Russell Mid-Cap ETF (IWR) [EF]	SP	06/26/2017	P	$1,001 - $15,000	
IRA SP ⇒ iShares U.S. Treasury Bond ETF (GOVT) [EF]	SP	06/26/2017	P	$1,001 - $15,000	
IRA SP ⇒ JOHN HANCOCK DISCIPLINED VALUE MID CAP FUND CLASS (JVMIX) [MF]	SP	06/26/2017	S (partial)	$1,001 - $15,000	☐
IRA SP ⇒ OPPENHEIMER INTERNATIONAL GROWTH (OIGYX) [MF]	SP	06/26/2017	P	$1,001 - $15,000	
IRA SP ⇒ PEAR TREE POLARIS FOREIGN VALUE FUND INSTL (QFVIX) [MF]	SP	06/26/2017	P	$1,001 - $15,000	
IRA SP ⇒ PIMCO INCOME FUND CLASS P (PONPX) [MF]	SP	06/26/2017	S	$1,001 - $15,000	☐
IRA SP ⇒ PIMCO INVESTMENT GRADE CORPORATE BOND FUND (PBDPX) [MF]	SP	06/26/2017	P	$1,001 - $15,000	
IRA SP ⇒ RIVERPARK/WEDGEWOOD INSTL FUNDS (RWGIX) [MF]	SP	04/26/2017	S	$1,001 - $15,000	☐
IRA SP ⇒ SPDR Bloomberg Barclays High Yield Bond ETF (JNK) [EF]	SP	06/26/2017	P	$1,001 - $15,000	
IRA SP ⇒ SPDR Bloomberg Barclays Intl Treasury Bd (BWX) [EF]	SP	06/26/2017	S	$1,001 - $15,000	☐
IRA SP ⇒ SPDR S&P 500 (SPY) [EF]	SP	06/26/2017	P	$1,001 - $15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > $200?
IRA SP ⇒ VanEck Vectors J.P. Morgan EM Local Currency Bond ETF (EMLC) [EF]	SP	12/15/2017	P	$1,001 - $15,000	
IRA SP ⇒ Vanguard Total Bond Market ETF (BND) [EF]	SP	06/26/2017	S (partial)	$1,001 - $15,000	☐
IRA SP ⇒ Vanguard Total Stock Market ETF (VTI) [EF]	SP	06/26/2017	S	$1,001 - $15,000	☐
IRA SP ⇒ Vanguard Total World Stock Index ETF (VT) [EF]	SP	06/26/2017	P	$1,001 - $15,000	
IRA SP ⇒ VIRTUS NEWFLEET MULTI-SECTOR SHORT TERM (PIMSX) [MF]	SP	06/26/2017	S	$1,001 - $15,000	☐

* Asset class details available at the bottom of this form. For the complete list of asset type abbreviations, please visit https://fd.house.gov/reference/asset-type-codes.aspx.

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	CHASE BANK	APRIL 2011	MORTGAGE ON INDIANAPOLIS RENTAL TOWNHOUSE	$50,001 - $100,000
JT	CHASE BANK	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

Owner	Creditor	Date Incurred	Type	Amount of Liability
	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

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

Trip Details					Inclusions		
Source	Start Date	End Date	Itinerary	Days at Own Exp.	Lodging?	Food?	Family?
THE HERITAGE FOUNDATION	02/8/2017	02/9/2017	WASHINGTON, DC - NEW YORK, NY - WASHINGTON, DC	0	☑	☑	☐

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

[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 , 08/14/2018