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Financial Disclosure Report

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Filer Information

Name: Ellen L. Marks
Status: Congressional Candidate
State/District: IN02

Filing Information

Filing Type: Candidate Report
Filing Year: 2019
Filing Date: 11/23/2019

Schedule A: Assets and "Unearned" Income

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Citibank N.A. Checking and Savings Account [BA]		$500,001 - $1,000,000	Interest	$201 - $1,000	$201 - $1,000
Ellen L. Marks Revocable Trust ⇒ Blackrock Strategic Muni Opportunities [MF]		$100,001 - $250,000	Capital Gains, Dividends	$5,001 - $15,000	$5,001 - $15,000
Ellen L. Marks Revocable Trust ⇒ Fidelity Treasury Money Market Fund [MF]		$50,001 - $100,000	Interest	$1,001 - $2,500	$5,001 - $15,000
Ellen L. Marks Revocable Trust ⇒ Goldman Sachs Dynamic Muni Income Instl [MF]		$100,001 - $250,000	Dividends	$201 - $1,000	Not Applicable
Ellen L. Marks Revocable Trust ⇒ IShares Core S&P 500 ETF [EF]		$50,001 - $100,000	Dividends	$201 - $1,000	Not Applicable
Ellen L. Marks Revocable Trust ⇒ iShares Russell 1000 Value ETF [EF]		$15,001 - $50,000	Dividends	$201 - $1,000	Not Applicable
Ellen L. Marks Revocable Trust ⇒ SPDR Series Trust SPDR Bloomberg [MF]		$250,001 - $500,000	Dividends	$5,001 - $15,000	$2,501 - $5,000
Ellen L. Marks Revocable Trust ⇒		$100,001 -	Dividends	$1,001 - $2,500	$2,501 -

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Vanguard Intermediate Tax Exempt Admiral [MF]		$250,000			$5,000
JP Morgan Chase Bank, N.A. Checking and Savings [BA]	JT	$100,001 - $250,000	Interest	$1 - $200	$1 - $200
Latham & Watkins 401(k) Savings and Profit Sharing Plan ⇒ Fidelity Contrafund [MF]		$100,001 - $250,000	Tax-Deferred		
Latham & Watkins 401(k) Savings and Profit Sharing Plan ⇒ iShares Core S&P 500 ETF [EF]		$250,001 - $500,000	Tax-Deferred		
Latham & Watkins 401(k) Savings and Profit Sharing Plan ⇒ iShares Midcap 400 [MF]		$50,001 - $100,000	Tax-Deferred		
Latham & Watkins 401(k) Savings and Profit Sharing Plan ⇒ iShares Russell 1000 Value ETF [EF]		$100,001 - $250,000	Tax-Deferred		
Latham & Watkins 401(k) Savings and Profit Sharing Plan ⇒ Schwab Cash [MF]		$15,001 - $50,000	Tax-Deferred		
Latham & Watkins 401(k) Savings and Profit Sharing Plan ⇒ Schwab S&P 500 Fund [MF]		$50,001 - $100,000	Tax-Deferred		
Latham & Watkins 401(k) Savings and Profit Sharing Plan ⇒ Schwab Total Market Fund [MF]		$500,001 - $1,000,000	Tax-Deferred		
MetLife Group Variable Universal Life ⇒ Aggressive Growth [MF]		$50,001 - $100,000	Tax-Deferred		
MetLife Group Variable Universal Life ⇒ MFS Value Portfolio II [MF]		$50,001 - $100,000	Tax-Deferred		
Notre Dame Credit Union [BA]	SP	$15,001 - $50,000	Dividends	$1 - $200	$1 - $200
P.E. Partners III, LLC ⇒ Aberdeen Next Generation Partners III, L.P. [HE]		Undetermined	Fund distributions	Not Applicable	Not Applicable
P.E. Partners III, LLC ⇒		Undetermined	Fund distributions	Not Applicable	Not

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Aberdeen Next Generation Partners IV, L.P. [HE]					Applicable
P.E. Partners III, LLC ⇒ Aberdeen Venture Partners IV, L.P. [HE]		Undetermined	Fund distribution	Not Applicable	Not Applicable
P.E. Partners III, LLC ⇒ Aberdeen Venture Partners V, L.P. [HE]		Undetermined	Fund distributions	Not Applicable	Not Applicable
P.E. Partners III, LLC ⇒ KKR Millenium Fund LP [HE]		Undetermined	Excepted/Blind Trust	Not Applicable	Not Applicable
P.E. Partners III, LLC ⇒ Orchid Asia III, L.P./ Sweetmart Fund L.P. [HE]		Undetermined	Fund distributions	Not Applicable	Not Applicable
P.E. Partners III, LLC [HE]		$15,001 - $50,000	Fund distributions	$2,501 - $5,000	$5,001 - $15,000
T. Rowe Price Government Money [MF]	SP	$1,001 - $15,000	Dividends	$1 - $200	$1 - $200
Univ Notre Dame 403B ⇒ Vanguard Total Stock Market Index Fund Institutional Plan Shares [MF]	SP	$100,001 - $250,000	Tax-Deferred		
University of Notre Dame 403(b) Retirement Plan ⇒ CREF Stock R3 [MF]	SP	$100,001 - $250,000	Tax-Deferred		
University of Notre Dame 403(b) Retirement Plan ⇒ CREFF Growth R3 [MF]	SP	$100,001 - $250,000	Tax-Deferred		
University of Notre Dame 403(b) Retirement Plan ⇒ TIAA Real Estate [MF]	SP	$15,001 - $50,000	Tax-Deferred		
University of Notre Dame 403(b) Retirement Plan ⇒ TIAA Traditional [MF]	SP	$15,001 - $50,000	Tax-Deferred		
VP Fund Investments 2008, LLC ⇒ 5AM Co-investors III, L.P. [HE]		Undetermined	Fund distributions	Not Applicable	Not Applicable
VP Fund Investments 2008, LLC ⇒ Aberdeen (fka Flag) International Partners II, L.P. [HE]		Undetermined	Fund distributions	Not Applicable	Not Applicable

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
VP Fund Investments 2008, LLC ⇒ Aberdeen (fka FLAG) Venture Partners VII, L.P. [HE]		Undetermined	Fund distributions	Not Applicable	Not Applicable
VP Fund Investments 2008, LLC ⇒ Accel Growth Fund II Strategic Partners L.P. [HE]		Undetermined	Fund distributions	Not Applicable	Not Applicable
VP Fund Investments 2008, LLC ⇒ Accel Growth Fund Strategic Partners, L.P. [HE]		Undetermined	Fund distributions	Not Applicable	Not Applicable
VP Fund Investments 2008, LLC ⇒ Accel XI Strategic Partners L.P. [HE]		Undetermined	Fund distributions	Not Applicable	Not Applicable
VP Fund Investments 2008, LLC ⇒ Carlyle Global Financial Services Partners L.P. [HE]		Undetermined	Fund distributions	Not Applicable	Not Applicable
VP Fund Investments 2008, LLC ⇒ Goldman Sachs Vintage Fund V, L.P. [HE]		Undetermined	Fund distributions	Not Applicable	Not Applicable
VP Fund Investments 2008, LLC ⇒ JH Investment Partners III, L.P. [HE]		Undetermined	Fund distributions	Not Applicable	Not Applicable
VP Fund Investments 2008, LLC ⇒ Odyssey Investment Fund IV, L.P. [HE]		Undetermined	Fund distributions	Not Applicable	Not Applicable
VP Fund Investments 2008, LLC ⇒ Partners Group Secondary 2008, L.P. [HE]		Undetermined	Fund distributions	Not Applicable	Not Applicable
VP Fund Investments 2008, LLC ⇒ President Fund III, L.P. (NEA XIII) [HE]		Undetermined	Fund distributions	Not Applicable	Not Applicable
VP Fund Investments 2008, LLC ⇒ Riverstone/Carlyle Global Energy and Power Fund IV, L.P. [HE]		Undetermined	Fund distributions	Not Applicable	Not Applicable
VP Fund Investments 2008, LLC [HE] DESCRIPTION: Fund of Funds		$50,001 - $100,000	Fund distributions	$5,001 - $15,000	$5,001 - $15,000
VP Fund Investments 2016, LLC ⇒ Aberdeen Venture Partners X, L.P. [HE]		Undetermined	Fund distributions	Not Applicable	Not Applicable
VP Fund Investments 2016, LLC ⇒		Undetermined	Fund distributions	Not Applicable	Not

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Apollo Co-Invesors IX (B), LP [HE]					Applicable
VP Fund Investments 2016, LLC ⇒ Apollo European Principal Finance Fund III, LP [HE]		Undetermined	Fund distributions	Not Applicable	Not Applicable
VP Fund Investments 2016, LLC ⇒ Bain Capital Fund XII, L.P. [HE]		Undetermined	Fund distributions	Not Applicable	Not Applicable
VP Fund Investments 2016, LLC ⇒ BC European Capital X-7, LP (3) [HE]		Undetermined	Fund distributions	Not Applicable	Not Applicable
VP Fund Investments 2016, LLC ⇒ Bonfire Ventures Fund I, LP [HE]		Undetermined	Fund distributions	Not Applicable	Not Applicable
VP Fund Investments 2016, LLC ⇒ Bridge Debt Strategies Fund II LP [HE]		Undetermined	Fund distribution	Not Applicable	Not Applicable
VP Fund Investments 2016, LLC ⇒ Bridge Office Fund LP [HE]		Undetermined	Fund distributions	Not Applicable	Not Applicable
VP Fund Investments 2016, LLC ⇒ Bridge Seniors Housing & Medical Properties Fund II LP [HE]		Undetermined	Fund distributions	Not Applicable	Not Applicable
VP Fund Investments 2016, LLC ⇒ Carlyle Partners VII, LP [HE]		Undetermined	Fund distributions	Not Applicable	Not Applicable
VP Fund Investments 2016, LLC ⇒ DoubleLine Mortgage Opportunities, L.P. [HE]		Undetermined	Fund distributions	Not Applicable	Not Applicable
VP Fund Investments 2016, LLC ⇒ GSO Capital Opportunities Fund III, LP [HE]		Undetermined	Fund distributions	Not Applicable	Not Applicable
VP Fund Investments 2016, LLC ⇒ GSO Capital Solutions III, LP [HE]		Undetermined	Fund distributions	Not Applicable	Not Applicable
VP Fund Investments 2016, LLC ⇒ GTCR Fund XII, LP [HE]		Undetermined	Fund distributions	Not Applicable	Not Applicable
VP Fund Investments 2016, LLC ⇒ Mountain Capital Partners, LP [HE]		Undetermined	Fund distributions	Not Applicable	Not Applicable
VP Fund Investments 2016, LLC ⇒ New Enterprise Associates 16, LP [HE]		Undetermined	Fund distributions	Not Applicable	Not Applicable

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
VP Fund Investments 2016, LLC ⇒ PIMCO Bravo Fund III, L.P, [HE]		Undetermined	Fund distributions	Not Applicable	Not Applicable
VP Fund Investments 2016, LLC ⇒ PWP Growth Partners II, LP [HE]		Undetermined	Fund disributions	Not Applicable	Not Applicable
VP Fund Investments 2016, LLC ⇒ Silver Lake Partners V, LP [HE]		Undetermined	Fund distributions	Not Applicable	Not Applicable
VP Fund Investments 2016, LLC ⇒ Stellex Capital Partners, LP [HE]		Undetermined	Fund distributions	Not Applicable	Not Applicable
VP Fund Investments 2016, LLC ⇒ Trinity Capital Partners III, L.P. [HE]		Undetermined	Fund distributions	Not Applicable	Not Applicable
VP Fund Investments 2016, LLC ⇒ Valor Equity Partners IV, LP [HE]		Undetermined	Fund distributions	Not Applicable	Not Applicable
VP Fund Investments 2016, LLC ⇒ Vestar Capital Partners VII, LP [HE]		Undetermined	Fund distributions	Not Applicable	Not Applicable
VP Fund Investments 2016, LLC [HE]		$50,001 - $100,000	Fund distributions	$1,001 - $2,500	$2,501 - $5,000
VP Fund Investments 2016, LLC ⇒ Westhook Capital Partners VII, LP [HE]		Undetermined	Fund distributions	Not Applicable	Not Applicable

* 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 Current Year to Filing	Amount Preceding Year
Latham & Watkins LLP	Salary/partnership distributions/bonuses	$376,979.00	$540,449.00
University of Notre Dame	Spouse salary	N/A	N/A
U.S. Department of Energy's Office of Defense Nuclear Nonproliferation R&D	Spouse honoraria	N/A	$1,000.00

Schedule D: Liabilities

None disclosed.

Schedule E: Positions

None disclosed.

Schedule F: Agreements

None disclosed.

Schedule J: Compensation in Excess of $5,000 Paid by One Source

Source (Name and Address)	Brief Description of Duties
The Carlyle Group (Washington, DC, US)	Legal Services
Citigroup Global Markets Inc. (New York, NY, US)	Legal services
DoubleLine Capital LP (Los Angeles, CA, US)	Legal Services
Ventas, Inc. (Chicago, IL, US)	Legal Services
Ares Management LLC (London, GB)	Legal services
DelphX Corporation (Malvern, PA, US)	Legal Services
Ameriprise Financial Services Inc. (Minneapolis, MN, US)	Legal services
Columbia Management Investments (El Segundo, CA, US)	Legal services
Alliant Asset Management Co., LLC (Woodland Hills, CA, US)	Legal services
KeyBank N.A. (Cleveland, OH, US)	Legal services
Freddie Mac (Maclean, VA, US)	Legal services
Engencap Holding, S. De R.L. De C.V. (Col. Santa Fe, MX)	Legal services
Huntington Ingalls Industries (Newport News, VA, US)	Legal services
Alcentra Limited and Alcentra New York LLC (New York, NY, US)	Legal services
Bank of New York Mellon, BNY Mellon Capital Markets (New York, NY, US)	Legal services
Parasail Health, Inc. (Sausalito, CA, US)	Legal services
Starwood Property Trust, Inc. (Greenwich, CT, US)	Legal services
KKR Asset Management Europe (London, GB)	Legal services

Source (Name and Address)	Brief Description of Duties
HPS Investment Partners, LLC (London, GB)	Legal services
Bank of America Equity Derivatives (New York, NY, US)	Legal services
Apollo Legal Solutions (Manhattan Beach, CA, US)	Legal services
Athene Asset Management (Manhattan Beach, CA, US)	Legal services
BDT Capital Partners, LLC (Chicago, IL, US)	Legal services
Trimaran Advisors, L.L.C. (New York, NY, US)	Legal services
DoubleLine Capital LP (Los Angeles, CA, US)	Legal services
Banca Nazionale del Lavoro S.p.A. (Roma, IT)	Legal services
Arch Coal, Inc. (St. Louis, MO, US)	Legal services
Ares Management LLC (New York, NY, US)	Legal services
Ares Capital Corporation (New York, NY, US)	Legal services
Pacific Investment Management Co. (Newport Beach, CA, US)	Legal services
Guggenheim Securities, LLC (New York, NY, US)	Legal services
Omnicom Group, Inc. (New York, NY, US)	Legal services
Vivint Solar (Lehi, UT, US)	Legal services
Jefferies Finance LLC (New York, NY, US)	Legal services
Stoneridge, Inc. (Novi, MI, US)	Legal services
Lineage Logistics (Irvine, CA, US)	Legal services
Oaktree Capital Management, L.P. (Los Angeles, CA, US)	Legal services
Colony Capital, Inc. (Los Angeles, CA, US)	Legal services
Lyft (San Francisco, CA, US)	Legal services
Spirit Realty Corporation (Scottsdale, AZ, US)	Legal services
Huntsman Corporation (The Woodlands, TX, US)	Legal services
CommScope, Inc. (Hickory, NC, US)	Legal services
Funding Circle Holding Limited (San Francisco, CA, US)	Legal services

Source (Name and Address)	Brief Description of Duties
Deutsche Bank Securities Inc. (New York, NY, US)	Legal services
Ulta, Inc. (Bolingbrook, IL, US)	Legal services

Schedule A Asset Class Details

- Ellen L. Marks Revocable Trust
- Latham & Watkins 401(k) Savings and Profit Sharing Plan
- MetLife Group Variable Universal Life
- P.E. Partners III, LLC
- Univ Notre Dame 403B (Owner: SP)
- University of Notre Dame 403(b) Retirement Plan (Owner: SP)
- VP Fund Investments 2008, LLC
- VP Fund Investments 2016, LLC

Exclusions of Spouse, Dependent, or Trust Information

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: Ellen L. Marks , 11/23/2019