



FINANCIAL DISCLOSURE REPORT

Clerk of the House of Representatives • Legislative Resource Center • 135 Cannon Building • Washington, DC 20515

FILER INFORMATION

Name: Hon. David Cheston Rouzer
Status: Member
State/District: NC07

FILING INFORMATION

Filing Type: Annual Report
Filing Year: 2020
Filing Date: 08/13/2021

SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income Tx. > \$1,000?
Avantax Investment Services ⇒ Bank Deposit Sweep Program [BA]		\$15,001 - \$50,000	Tax-Deferred	<input type="checkbox"/>
Avantax Investment Services ⇒ BARON EMERGING MARKETS FUND INSTL [MF]		\$15,001 - \$50,000	Tax-Deferred	<input type="checkbox"/>
Avantax Investment Services ⇒ BARON SMALL CAP FUND INSTL CLASS [MF]		\$15,001 - \$50,000	Tax-Deferred	<input type="checkbox"/>
Avantax Investment Services ⇒ Berkshire Hathaway Inc. New (BRK.B) [ST]		\$15,001 - \$50,000	Tax-Deferred	<input type="checkbox"/>
Avantax Investment Services ⇒ DODGE & COX STOCK [MF]		\$15,001 - \$50,000	Tax-Deferred	<input type="checkbox"/>
Avantax Investment Services ⇒ Eaton Vance Tax-Managed Global Diversified Equity Income Fund Eaton Vance Tax-Managed Global Diversi (EXG) [ST]		\$1,001 - \$15,000	Tax-Deferred	<input type="checkbox"/>
Avantax Investment Services ⇒ FIDELTIY ADVISOR REAL ESTATE INC I [MF]		\$1,001 - \$15,000	Tax-Deferred	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income Tx. > \$1,000?
Avantax Investment Services ⇒ FIRST EAGLE GLOBAL CLASS I [MF]		\$1,001 - \$15,000	Tax-Deferred	<input type="checkbox"/>
Avantax Investment Services ⇒ FIRST TR EXCHANGE TRADED FD II HEALTH [EF]		\$1,001 - \$15,000	Tax-Deferred	<input type="checkbox"/>
Avantax Investment Services ⇒ FIRST TR EXCHANGE TRADED FD IV LOW [EF]		\$1,001 - \$15,000	Tax-Deferred	<input type="checkbox"/>
Avantax Investment Services ⇒ FIRST TR VALUE LINE DIVID INDEX FD SHS [EF]		\$15,001 - \$50,000	Tax-Deferred	<input type="checkbox"/>
Avantax Investment Services ⇒ ISHARES TRUST ISHARES CORE HIGH DIVIDEND [EF]		\$15,001 - \$50,000	Tax-Deferred	<input type="checkbox"/>
Avantax Investment Services ⇒ Main Street Capital Corporation (MAIN) [ST]		\$1,001 - \$15,000	Tax-Deferred	<input type="checkbox"/>
Avantax Investment Services ⇒ MFS INTERNATIONAL DIVERSIFICATION CLASS I [MF]		\$15,001 - \$50,000	Tax-Deferred	<input type="checkbox"/>
Avantax Investment Services ⇒ OPPENHEIMER INTER DIVER FD CLAS A [IH]		None	Tax-Deferred	<input type="checkbox"/>
Avantax Investment Services ⇒ PGIM TOTAL RETURN BOND CL Z [MF]		\$1,001 - \$15,000	Tax-Deferred	<input type="checkbox"/>
Avantax Investment Services ⇒ PIMCO ETF TR ACTIVE BD ETF [EF]		\$1,001 - \$15,000	Tax-Deferred	<input type="checkbox"/>
Avantax Investment Services ⇒ PIMCO INC CL 12 [MF]		\$1,001 - \$15,000	Tax-Deferred	<input checked="" type="checkbox"/>
Avantax Investment Services ⇒ PIMCO INCOME CL 13 [MF]		None	Tax-Deferred	<input checked="" type="checkbox"/>
Avantax Investment Services ⇒ PIMCO TOTAL RETURN FUND CL 12 [MF]		\$1,001 - \$15,000	Tax-Deferred	<input checked="" type="checkbox"/>
Avantax Investment Services ⇒ PIMCO TOTAL RETURN FUND CL 13 [MF]		None	Tax-Deferred	<input checked="" type="checkbox"/>
Avantax Investment Services ⇒ PRINCIPAL REAL ESTATE SEC INSTL CL [MF]		\$1,001 - \$15,000	Tax-Deferred	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income Tx. > \$1,000?
Avantax Investment Services ⇒ T Rowe Price Blue Chip Growth Inc. [IH]		\$100,001 - \$250,000	Tax-Deferred	<input type="checkbox"/>
Avantax Investment Services ⇒ T ROWE PRICE CAP APPRECIATION [IH]		\$15,001 - \$50,000	Tax-Deferred	<input type="checkbox"/>
Avantax Investment Services ⇒ VANGUARD SMALL CAP STOCK INDEX ADMIRAL [MF]		\$1,001 - \$15,000	Tax-Deferred	<input type="checkbox"/>
Avantax Investment Services ⇒ Virtus-Mid Cap Core Fund Cl 1 [MF]		\$50,001 - \$100,000	Tax-Deferred	<input type="checkbox"/>
Avantax Investment Services ⇒ WISDOMTREE TR US SMALLCAP FUND [EF]		None	Tax-Deferred	<input checked="" type="checkbox"/>
First Citizens Bank ⇒ Personal Checking Account [BA] COMMENTS: Not an interest bearing account		\$1,001 - \$15,000	None	<input type="checkbox"/>
Goldman Sachs Bank ⇒ Marcus Savings Account [BA]		\$15,001 - \$50,000	Interest	\$201 - \$1,000 <input checked="" type="checkbox"/>
State of NC Defined Benefit Retirement Plan ⇒ Teachers & State Employees Retirement System and Legislative Retirement System Benefits [DB]		Undetermined	Tax-Deferred	<input type="checkbox"/>
TD WATERHOUSE CLEARING ⇒ Advanced Micro Devices, Inc. (AMD) [ST]		\$1,001 - \$15,000	Tax-Deferred	<input type="checkbox"/>
TD WATERHOUSE CLEARING ⇒ Altria Group, Inc. (MO) [ST]		\$1,001 - \$15,000	Tax-Deferred	<input checked="" type="checkbox"/>
TD WATERHOUSE CLEARING ⇒ Amazon.com, Inc. (AMZN) [ST]		None	Tax-Deferred	<input type="checkbox"/>
TD WATERHOUSE CLEARING ⇒ Boeing Company (BA) [ST]		\$1,001 - \$15,000	Tax-Deferred	<input type="checkbox"/>
TD WATERHOUSE CLEARING ⇒ BRK Inc (BRKK) [ST]		\$1,001 - \$15,000	Tax-Deferred	<input type="checkbox"/>
TD WATERHOUSE CLEARING ⇒ CASH [IH]		\$1,001 - \$15,000	Tax-Deferred	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
TD WATERHOUSE CLEARING ⇒ GLOBAL X FDS US PFD ETF [EF]		\$1 - \$1,000	Tax-Deferred		<input type="checkbox"/>
TD WATERHOUSE CLEARING ⇒ Mastercard Incorporated (MA) [ST]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
TD WATERHOUSE CLEARING ⇒ NVIDIA Corporation (NVDA) [ST]		None	Tax-Deferred		<input checked="" type="checkbox"/>
TD WATERHOUSE CLEARING ⇒ Pinterest, Inc. Class A (PINS) [ST]		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
TD WATERHOUSE CLEARING ⇒ Raytheon Technologies Corporation (RTX) [ST]		\$1 - \$1,000	Tax-Deferred		<input type="checkbox"/>
TD WATERHOUSE CLEARING ⇒ Real Estate Select Sector SPDR Fund (XLRE) [ST]		None	Tax-Deferred		<input type="checkbox"/>
TD WATERHOUSE CLEARING ⇒ SELECT SECTOR SPDR TRUST ENERGY ETF [EF]		None	Tax-Deferred		<input type="checkbox"/>
TD WATERHOUSE CLEARING ⇒ SELECT SECTOR SPDR TRUST FINANCIAL SELECT SECTOR FUND [EF]		None	Tax-Deferred		<input checked="" type="checkbox"/>
TD WATERHOUSE CLEARING ⇒ SPDR GOLD TR GOLD SHS ETF [EF]		\$1,001 - \$15,000	Tax-Deferred	None	<input type="checkbox"/>
TD WATERHOUSE CLEARING ⇒ US GLOBAL JETS ETF [EF]		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
TD WATERHOUSE CLEARING ⇒ Visa Inc. (V) [ST]		\$1,001 - \$15,000	Tax-Deferred	None	<input type="checkbox"/>
TD WATERHOUSE CLEARING ⇒ Wasatch Ultra Growth Fund [MF]		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Wasatch Global Investors ⇒ Wasatch Ultra Growth Fund [MF]		\$15,001 - \$50,000	Capital Gains	\$201 - \$1,000	<input checked="" type="checkbox"/>

* 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?
Avantax Investment Services ⇒ OPPENHEIMER INT'L DIVERSIFIED A [IH]	03/2/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Avantax Investment Services ⇒ PIMCO INC CL 12 [MF] DESCRIPTION: LISTED AS AN EXCHANGE ON THE JULY STATEMENT	07/2/2020	E	\$1,001 - \$15,000	
Avantax Investment Services ⇒ PIMCO INC CL 13 [MF]	03/26/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Avantax Investment Services ⇒ PIMCO INC CL 13 [MF] DESCRIPTION: LISTED AS AN EXCHANGE ON THE JULY STATEMENT	07/2/2020	E	\$1,001 - \$15,000	
Avantax Investment Services ⇒ PIMCO TOTAL RETURN FUND CL 12 [IH] DESCRIPTION: LISTED AS AN EXCHANGE ON THE JULY STATEMENT	07/2/2020	E	\$1,001 - \$15,000	
Avantax Investment Services ⇒ PIMCO TOTAL RETURN FUND CL 13 [MF]	03/26/2020	P	\$1,001 - \$15,000	
Avantax Investment Services ⇒ PIMCO TOTAL RETURN FUND CL 13 [MF] DESCRIPTION: LISTED AS AN EXCHANGE ON THE JULY STATEMENT	07/2/2020	E	\$1,001 - \$15,000	
Avantax Investment Services ⇒ VANGUARD SMALL CAP INDEX ADMIRAL [MF]	03/2/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Avantax Investment Services ⇒ WISDOMTREE TR US SMALL CAP FUND [IH]	03/12/2021	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Goldman Sachs Bank ⇒ Marcus Savings Account [BA] DESCRIPTION: Money transferred to checking account	02/21/2020	E	\$1,001 - \$15,000	
Goldman Sachs Bank ⇒ Marcus Savings Account [BA] DESCRIPTION: Money used to purchase shares of Wasatch Ultra Growth Fund	03/26/2020	P	\$1,001 - \$15,000	
Goldman Sachs Bank ⇒ Marcus Savings Account [BA] DESCRIPTION: Money used to purchase shares of Wasatch Ultra Growth Fund	05/12/2020	P	\$1,001 - \$15,000	
Goldman Sachs Bank ⇒	06/16/2020	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Marcus Savings Account [BA] DESCRIPTION: Money used to purchase shares of Wasatch Ultra Growth Fund					
Goldman Sachs Bank ⇒ Marcus Savings Account [BA]		09/9/2020	P	\$1,001 - \$15,000	
DESCRIPTION: Money used to purchase shares of Wasatch Ultra Growth Fund					
TD WATERHOUSE CLEARING ⇒ Altria Group, Inc. (MO) [ST]		08/27/2020	P	\$1,001 - \$15,000	
TD WATERHOUSE CLEARING ⇒ Amazon.com, Inc. (AMZN) [ST]		01/31/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
TD WATERHOUSE CLEARING ⇒ NVIDIA Corporation (NVDA) [ST]		02/21/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
TD WATERHOUSE CLEARING ⇒ Pinterest, Inc. Class A (PINS) [ST]		04/22/2020	P	\$1,001 - \$15,000	
TD WATERHOUSE CLEARING ⇒ SPDR Select Sector Fund - Financial (XLF) [ST]		09/2/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
TD WATERHOUSE CLEARING ⇒ U.S. Global Jets ETF (JETS) [ST]		04/14/2020	P	\$1,001 - \$15,000	
TD WATERHOUSE CLEARING ⇒ Wasatch Ultra Growth Fund [MF]		09/10/2020	P	\$1,001 - \$15,000	
Wasatch Global Investors ⇒ Wasatch Ultra Growth Fund [MF]		03/25/2020	P	\$1,001 - \$15,000	
Wasatch Global Investors ⇒ Wasatch Ultra Growth Fund [MF]		05/11/2021	P	\$1,001 - \$15,000	
Wasatch Global Investors ⇒ Wasatch Ultra Growth Fund [MF]		06/15/2020	P	\$1,001 - \$15,000	
Wasatch Global Investors ⇒ Wasatch Ultra Growth Fund [MF]		09/8/2020	P	\$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

None disclosed.

SCHEDULE D: LIABILITIES

Owner	Creditor	Date Incurred	Type	Amount of Liability
	The Money Source, Inc.	June 2020	Refinance of Chase home mortgage	\$250,001 - \$500,000

SCHEDULE E: POSITIONS

None disclosed.

SCHEDULE F: AGREEMENTS

Date	Parties To	Terms of Agreement
January 2013	MYSELF AND THE STATE OF NC	RETIRED AND FORMER STATE LEGISLATORS HEALTH PLAN
January 2013	MYSELF AND THE STATE OF NC	TEACHERS AND STATE EMPLOYEES RETIREMENT SYSTEM AND LEGISLATIVE RETIREMENT SYSTEM BENEFITS BEGINNING AT AGE 60

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

- o Avantax Investment Services
- o First Citizens Bank
LOCATION: US
- o Goldman Sachs Bank
LOCATION: US
- o State of NC Defined Benefit Retirement Plan
- o TD WATERHOUSE CLEARING
- o Wasatch Global Investors
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. David Cheston Rouzer , 08/13/2021