



Filing ID #10037721

FINANCIAL DISCLOSURE REPORT

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FILER INFORMATION

Name: Hon. Harley E. Rouda Jr.
Status: Congressional Candidate
State/District: CA48

FILING INFORMATION

Filing Type: Amendment Report
Filing Year: 2018
Filing Date: 08/13/2020
Period Covered: 01/01/2017– 04/30/2018

SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Apex Sports Group [OL] LOCATION: Golden, CO, US DESCRIPTION: Ski boot systems		\$15,001 - \$50,000	None		
Armchair Investments LLC ⇒ Commercial Buildings [RP] LOCATION: Columbus, OH, US		\$1,000,001 - \$5,000,000	Rent	\$100,001 - \$1,000,000	\$100,001 - \$1,000,000
Armchair Investments LLC ⇒ Fidelity/Corient Capital Partners LLC Defined Benefit Plan [BA]		\$100,001 - \$250,000	Tax-Deferred		
Armchair Investments LLC ⇒ TrueWest [OL] LOCATION: Location, CA, US DESCRIPTION: Pooled investment account (formerly known as SEAM II Fund)		\$50,001 - \$100,000	None		
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ Angel Oak Multi Strategy Inc. Insti [EF]		\$100,001 - \$250,000	Tax-Deferred		

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ Direxion SHS ETF TR Developed Mkts Bear [EF]		\$15,001 - \$50,000	Tax-Deferred		
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ Eaton Vance Floating Rate Advantage CI I [EF]		\$100,001 - \$250,000	Tax-Deferred		
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ Fidelity Government Cash Reserves [BA]		\$250,001 - \$500,000	Tax-Deferred		
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ JPMorgan Strategic Income Opps CI I [EF]		\$50,001 - \$100,000	Tax-Deferred		
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ Proshares TR ULTPRO SHT 2017 [EF]		\$15,001 - \$50,000	Tax-Deferred		
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ Proshares TR Ultrapro Short [EF]		\$15,001 - \$50,000	Tax-Deferred		
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ Proshares Ultrashort FTSE China 50 [EF]		\$15,001 - \$50,000	Tax-Deferred		
Bank of America Accounts [BA]	SP	\$1,001 - \$15,000	Interest	\$1 - \$200	\$1 - \$200
Carta, Inc. ⇒ Grayl, Inc. [OL] LOCATION: Seattle, WA, US DESCRIPTION: Water purification products. Shares granted for services provided as a director.		\$15,001 - \$50,000	None		
Corient Capital Partners LLC ⇒ Fidelity Government Cash Reserves [BA]		\$1 - \$1,000	Interest	None	None

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Corient Capital Partners LLC ⇒ Rocky Brands, Inc. (RCKY) [ST]		\$100,001 - \$250,000	Dividends	\$1 - \$200	\$201 - \$1,000
Corient IRA ⇒ Angel Oak Multi-Strategy Income Fund Institutional Shares (ANGIX) [MF]	SP	\$15,001 - \$50,000	Tax-Deferred		
Corient IRA ⇒ DFA Emerging Markets Portfolio Institutional Class (DFEMX) [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		
Corient IRA ⇒ DFA Emerging Markets Small Cap Portfolio Institutional Class (DEMSX) [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		
Corient IRA ⇒ DFA Emerging Markets Value Portfolio Institutional Class (DFEVX) [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		
Corient IRA ⇒ DFA International Large Cap Growth Portfolio (DILRX) [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		
Corient IRA ⇒ DFA International Small Cap Growth Portfolio (DISMX) [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		
Corient IRA ⇒ DFA International Small Cap Value Portfolio Institutional Class (DISVX) [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		
Corient IRA ⇒ DFA International Value Portfolio Institutional Class (DFIVX) [MF]	SP	\$15,001 - \$50,000	Tax-Deferred		
Corient IRA ⇒ DFA U.S. Micro Cap Portfolio Institutional Class (DFSCX) [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		
Corient IRA ⇒ DFA U.S. Small Cap Growth Portfolio Institutional Class (DSCGX) [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		
Corient IRA ⇒ DFA U.S. Small Cap Value Portfolio Institutional Class (DFSVX) [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Corient IRA ⇒ Eaton Vance Floating-Rate Advantage Fund Class I (EIFAX) [MF]	SP	\$15,001 - \$50,000	Tax-Deferred		
Corient IRA ⇒ Fidelity Government Cash Reserves (FDRXX) [MF]	SP	\$15,001 - \$50,000	Tax-Deferred		
Corient IRA ⇒ Invesco Equally-Weighted S&P 500 Fund Class Y (VADDX) [MF]	SP	\$15,001 - \$50,000	Tax-Deferred		
Corient IRA ⇒ JPMorgan Strategic Income Opportunities Fund Class I Shares (JSOSX) [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		
Corient IRA ⇒ SPDR S&P MidCap 400 ETF (MDY) [EF]	SP	\$1,001 - \$15,000	Tax-Deferred		
Corient IRA ⇒ Vanguard Admiral FDS Inc S&P 500 Value (VOOV) [EF]	SP	\$15,001 - \$50,000	Tax-Deferred		
Corient IRA ⇒ Vanguard S&P 500 Growth ETF (VOOG) [EF]	SP	\$15,001 - \$50,000	Tax-Deferred		
Raen Optics, Inc. [OL] LOCATION: Encinitas, CA, US DESCRIPTION: Eyewear		\$50,001 - \$100,000	None		
RealStir Inc. [OP] DESCRIPTION: 100,000 shares with a strike price of \$0.50. Granted 4/1/2016 and valid for 6 years.		\$15,001 - \$50,000	None		
Rocky Brands Inc. (RCKY) [OP] DESCRIPTION: Rocky Brands, Inc. (RCKY) 2000 shares at strike price of \$11.55 4000 shares at strike price of \$18.90 Market Price on 4/30/18: \$23.32		\$15,001 - \$50,000	None		
Rocky Brands, Inc. (RCKY) [ST]		\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500	\$2,501 - \$5,000
Trident Holdings, Inc. ⇒ Cova, LLC [OL] LOCATION: San Clemente, CA, US DESCRIPTION: Water sports apparel		\$50,001 - \$100,000	None		

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Trident Holdings, Inc. ⇒ Echo Labs Note [DO]		\$15,001 - \$50,000	None		
Trident Holdings, Inc. ⇒ Grayl, Inc. [OL] LOCATION: Seattle, WA, US DESCRIPTION: Water purification products		\$100,001 - \$250,000	None		
Trident Holdings, Inc. ⇒ Her Realtors, LLC [OL] LOCATION: Columbus, OH, US DESCRIPTION: Real estate		\$500,001 - \$1,000,000	Rent	\$100,001 - \$1,000,000	\$100,001 - \$1,000,000
Trident Holdings, Inc. ⇒ HER Realty HomeGard [OL] LOCATION: Columbus, OH, US DESCRIPTION: Home warranty services		\$15,001 - \$50,000	None		
Trident Holdings, Inc. ⇒ Her, Inc. [OL] LOCATION: Columbus, OH, US DESCRIPTION: Real estate		\$1,000,001 - \$5,000,000	None		
Trident Holdings, Inc. ⇒ Poler Inc. [OL] LOCATION: Portland, OR, US DESCRIPTION: Apparel & outdoor gear		\$15,001 - \$50,000	None		
Trident Holdings, Inc. ⇒ RealStir Inc. [OL] LOCATION: San Diego, CA, US DESCRIPTION: Real estate technology		\$50,001 - \$100,000	None		
Trident Holdings, Inc. ⇒ Relevium Labs, Inc. [OL] LOCATION: Oxford, OH, US DESCRIPTION: Medical devices		\$15,001 - \$50,000	None		
Trident Holdings, Inc. ⇒ Stuffstr [OL] LOCATION: Seattle, WA, US DESCRIPTION: Item reuse/repair/resale/recycling services public benefit corporation		\$15,001 - \$50,000	None		

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Trident Holdings, Inc. ⇒ Trident Holdings, Inc. [OL]		\$5,000,001 - \$25,000,000	None		
LOCATION: Columbus, OH, US DESCRIPTION: Real estate services					
Trident Holdings, Inc. ⇒ Trident Title Agency Ltd. [OL]		\$1,000,001 - \$5,000,000	Ownership profits	\$1,000,001 - \$5,000,000	\$1,000,001 - \$5,000,000
LOCATION: Columbus, OH, US DESCRIPTION: Real estate title services					
UTG, Inc. (UTGN) [ST]		\$1,001 - \$15,000	None		
Wells Fargo Accounts [BA]		\$15,001 - \$50,000	Interest	None	None
Wells Fargo Brokerage ⇒ ProShares Ultrashort FTSE China 50 (FXP) [ST]		\$500,001 - \$1,000,000	None		
Wells Fargo Brokerage ⇒ Rocky Brands, Inc. (RCKY) [ST]		\$100,001 - \$250,000	Dividends	\$201 - \$1,000	\$1,001 - \$2,500
Wells Fargo IRA ⇒ Cash [BA]		\$1,001 - \$15,000	Tax-Deferred		
Wells Fargo IRA ⇒ ProShares Ultrashort FTSE China 50 (FXP) [ST]		\$250,001 - \$500,000	Tax-Deferred		
Wells Fargo IRA ⇒ Rocky Brands, Inc. (RCKY) [ST]		\$100,001 - \$250,000	Tax-Deferred		
Wells Fargo IRA (2) ⇒ Cash [BA]		\$1 - \$1,000	Tax-Deferred		
Wells Fargo IRA (2) ⇒ ProShares Ultrashort FTSE China 50 (FXP) [ST]		\$1,001 - \$15,000	Tax-Deferred		

* 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
Trident Holdings, Inc.	Salary, Board Fees	\$220,499.00	\$607,999.00
Rocky Brands, Inc.	Board Fees	\$70,000.00	\$70,000.00
Amazon	Spouse Royalties	N/A	N/A
Harlequin	Spouse Royalties	N/A	N/A
Spark Press	Spouse Royalties	N/A	N/A
Tule Publishing	Spouse Royalties	N/A	N/A
Trident Holdings, Inc.	Spouse Board Fees	N/A	N/A
Trident Title Agency Ltd.	Board Fees	\$5,000.00	\$10,000.00
HER Homegard	Board Fees	N/A	\$500.00
Trident Holdings, Inc.	Consulting fees and debt repayment	N/A	\$1,020,000.00

SCHEDULE D: LIABILITIES

Owner	Creditor	Date Incurred	Type	Amount of Liability
	American Express COMMENTS: Paid in full.	May 2018	Credit Card	\$15,001 - \$50,000
	Wells Fargo	January 2017	Margin Account	\$100,001 - \$250,000

SCHEDULE E: POSITIONS

Position	Name of Organization
Director	Rocky Brands, Inc.
Chief Executive Officer, Boardmember	HomeGard
Member	Partners United Financial, LLC
President, Board of Managers Member, Board of Advisors Member	Homeco LLC
Chief Executive Officer, President, Director	Trident Holdings, Inc.
President, Director	HER, Inc.
Chief Executive Officer, Director	HER Realtors, LLC

Position	Name of Organization
Managing Member	Armchair Investments, LLC
Boardmember	Grayl, Inc.
Boardmember	Cova, LLC
Boardmember	Relevium Labs, Inc.
Boardmember	Realstir

SCHEDULE F: AGREEMENTS

None disclosed.

SCHEDULE J: COMPENSATION IN EXCESS OF \$5,000 PAID BY ONE SOURCE

None disclosed.

SCHEDULE A ASSET CLASS DETAILS

- Armchair Investments LLC
LOCATION: US
 - Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan
LOCATION: US
 - Carta, Inc.
LOCATION: US
 - Corient Capital Partners LLC
LOCATION: US
 - Corient IRA (Owner: SP)
 - Trident Holdings, Inc.
LOCATION: US
 - Wells Fargo Brokerage
LOCATION: US
 - Wells Fargo IRA
 - Wells Fargo IRA (2)

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: Hon. Harley E. Rouda Jr., 08/13/2020