



Filing ID #10039600

FINANCIAL DISCLOSURE REPORT

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

FILER INFORMATION

Name: Hon. Susan W. Brooks
Status: Former Member
State/District: IN05

FILING INFORMATION

Filing Type: Terminated Filer Report
Filing Year: 2021
Filing Date: 05/4/2021

SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Insurance ⇒ MET LIFE UNIVERSAL LIFE INSURANCE POLICY [WU]		\$15,001 - \$50,000	None		<input type="checkbox"/>
IRA ⇒ Amazon.com, Inc. (AMZN) [ST]		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
IRA ⇒ Apple Inc. (AAPL) [ST]		\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
IRA ⇒ Chevron Corporation (CVX) [ST]		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
IRA ⇒ Coca-Cola Company (KO) [ST]		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
IRA ⇒ Delta Air Lines, Inc. (DAL) [ST]		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
IRA ⇒ Exxon Mobil Corporation (XOM) [ST]		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
IRA ⇒ General Electric Company (GE) [ST]		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
IRA ⇒ GOLDMAN SACHS TR FINL SQUARE TREAS INSTRS FD (FTIXX) [MF]		None	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: Asset sold in non-reportable transactions.					
IRA ⇒ Mastercard Incorporated (MA) [ST]		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
IRA ⇒ Microsoft Corporation (MSFT) [ST]		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
IRA ⇒ QUALCOMM Incorporated (QCOM) [ST]		\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
IRA ⇒ SPDR Dow Jones Industrial Average ETF (DIA) [ST]		\$50,001 - \$100,000	Tax-Deferred		<input checked="" type="checkbox"/>
IRA ⇒ SPDR Select Sector Fund - Energy Select Sector (XLE) [ST]		\$50,001 - \$100,000	Tax-Deferred		<input checked="" type="checkbox"/>
IRA ⇒ Vanguard S&P 500 ETF (VOO) [ST]		\$50,001 - \$100,000	Tax-Deferred		<input checked="" type="checkbox"/>
IRA ⇒ Verizon Communications Inc. (VZ) [ST]		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
IRA ⇒ Walt Disney Company (DIS) [ST]		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
IRA ⇒ Wells Fargo Bank Deposit [IH]		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Other Assets ⇒ ARLINGTON WAREHOUSE INVESTORS II, LTD [OL]	SP	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
LOCATION: ARLINGTON, TX, US DESCRIPTION: INVESTMENT					
Other Assets ⇒ BROOKS KOCH & SORG [OL]	SP	\$1,001 - \$15,000	See Earned Income	None	<input type="checkbox"/>
LOCATION: Indianapolis, IN, US DESCRIPTION: Income Listed in Earned Income					

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
COMMENTS: Please note: This asset was placed in this report per guidance from Ethics to clarify ownership of spouse's firm.					
Other Assets ⇒ BROOKS KOCH & SORG, LLC REAL ESTATE (OFFICE BUILDING) [OL]	SP	None	Capital Gains, Rent	\$100,001 - \$1,000,000	<input checked="" type="checkbox"/>
LOCATION: INDIANAPOLIS, IN, US DESCRIPTION: INVESTMENT					
Other Assets ⇒ Myota, Inc. [PS]	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
DESCRIPTION: INVESTMENT					
Other Assets ⇒ NexEos Diagnostics, Inc [PS]	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
DESCRIPTION: Medical Diagnostics Company					
Other Assets ⇒ O'DAY FARMBROOK, INC - JUSTICE LANE, LLC - VACANT LOT [OL]	SP	\$250,001 - \$500,000	None		<input type="checkbox"/>
LOCATION: Mansfield, TX, US DESCRIPTION: VACANT LOT					
Other Assets ⇒ O'DAY FARMBROOK, INC - PSW OPPORTUNITY FUND - VACANT LOT [OL]	SP	\$100,001 - \$250,000	None		<input type="checkbox"/>
LOCATION: MANSFIELD, TX, US DESCRIPTION: PREVIOUSLY LISTED AS O'DAY FARMBROOK, INC - RTI EQUITY, LLC (VACANT LOT), WHICH WAS ASSIGNED TO PSW OPPORTUNITY FUND IN EXCHANGE FOR THE INTEREST IN PSW FUND					
Other Assets ⇒ O'DAY FARMBROOK, INC - WAREHOUSING FACILITY [OL]	SP	Spouse/DC Over \$1,000,000	Interest, Rent	\$100,001 - \$1,000,000	<input type="checkbox"/>
LOCATION: ARLINGTON, TX, US DESCRIPTION: INVESTMENT					
Other Assets ⇒ O'DAY FARMBROOK, INC - WAREHOUSING FACILITY II [OL]	SP	\$250,001 - \$500,000	None		<input type="checkbox"/>
LOCATION: MANSFIELD, TX, US DESCRIPTION: WAREHOUSE					
Other Assets ⇒ O'DAY LANDMAN LLC - MINERAL RIGHTS [OL]	SP	\$15,001 - \$50,000	Interest, Royalties	\$5,001 - \$15,000	<input type="checkbox"/>
LOCATION: ARLINGTON, TX, US DESCRIPTION: INVESTMENT					
Other Assets ⇒	SP	\$15,001 - \$50,000	Interest	\$2,501 -	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
OTH Holding, LLC [PS]				\$5,000	
DESCRIPTION: PHARMACEUTICAL COMPANY INVESTMENT MALVERN, PA					
Other Assets ⇒ RALEXAR THERAPEUTICS, INC. [PS]	SP	\$1 - \$1,000	None		<input type="checkbox"/>
DESCRIPTION: PHARMACEUTICAL COMPANY INVESTMENT MALVERN, PA					
Other Assets ⇒ T.O. HARRIS INVESTORS, LLC [OT]	SP	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	<input type="checkbox"/>
DESCRIPTION: INVESTMENT					
COMMENTS: PLEASE NOTE: THERE ARE NO HARD ASSETS FOR THIS ENTITY AT THIS TIME.					
Other Assets ⇒ Velicept Therapeutics, Inc. [PS]	SP	\$1 - \$1,000	None		<input type="checkbox"/>
DESCRIPTION: PHARMACEUTICAL COMPANY INVESTMENT MALVERN, PA					
Other Assets ⇒ ZOOMI, INC. [PS]	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
DESCRIPTION: TECHNOLOGY SOLUTIONS INVESTMENT MALVERN, PA					
Retirement ⇒ TIAA-CREF Lifecycle 2025 Fund Institutional Class (TCYIX) [MF]		\$250,001 - \$500,000	Tax-Deferred		<input 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?
IRA ⇒ Amazon.com, Inc. (AMZN) [ST]		04/6/2020	P	\$1,001 - \$15,000	
IRA ⇒ AMERICAN EUROPACIFIC GROWTH FU CL F2 (AEPFX) [MF]		04/6/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
IRA ⇒ American Funds Washington Mutual Investors Fund Class F2 (WMFFX) [MF]		04/6/2020	S	\$15,001 - \$50,000	<input type="checkbox"/>
IRA ⇒ Apple Inc. (AAPL) [ST]		04/6/2020	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
IRA ⇒ BAIRD FDS INC AGGREGATE BD FD INSL SHS CLASS I (BAGIX) [MF]		04/6/2020	S	\$15,001 - \$50,000	<input type="checkbox"/>
IRA ⇒ Baron Small Cap Fund Institutional Class (BSFIX) [MF]		04/6/2020	S	\$15,001 - \$50,000	<input type="checkbox"/>
IRA ⇒ Chevron Corporation (CVX) [ST]		04/6/2020	P	\$1,001 - \$15,000	
IRA ⇒ Coca-Cola Company (KO) [ST]		04/6/2020	P	\$1,001 - \$15,000	
IRA ⇒ Delta Air Lines, Inc. (DAL) [ST]		04/6/2020	P	\$1,001 - \$15,000	
IRA ⇒ DODGE & COX FDS INTL STK FD (DODFX) [MF]		04/6/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
IRA ⇒ Eaton Vance Income Fund of Boston Class I (EIBIX) [MF]		04/6/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
IRA ⇒ Edgewood Growth Fund Class Institutional (EGFIX) [MF]		04/6/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
IRA ⇒ Exxon Mobil Corporation (XOM) [ST]		04/6/2020	P	\$1,001 - \$15,000	
IRA ⇒ General Electric Company (GE) [ST]		04/6/2020	P	\$1,001 - \$15,000	
IRA ⇒ HARBOR FD CAP APPRECIATION FD INSTL CL (HACAX) [MF]		04/6/2020	S	\$15,001 - \$50,000	<input type="checkbox"/>
IRA ⇒ Lazard Emerging Markets Equity Portfolio Institutional Shares (LZEMX) [MF]		04/6/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
IRA ⇒ Mastercard Incorporated (MA) [ST]		04/6/2020	P	\$1,001 - \$15,000	
IRA ⇒ MFS SER TR I VALUE FD CL I (MEIIX) [MF]		04/6/2020	S	\$15,001 - \$50,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
IRA ⇒ MFS SER TR X EMERGING MKTS DEBT FD CLASS I (MEDIX) [MF]		04/6/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
IRA ⇒ Microsoft Corporation (MSFT) [ST]		04/6/2020	P	\$1,001 - \$15,000	
IRA ⇒ QUALCOMM Incorporated (QCOM) [ST]		04/6/2020	P	\$1,001 - \$15,000	
IRA ⇒ SPDR Dow Jones Industrial Average ETF (DIA) [EF]		04/6/2020	P	\$15,001 - \$50,000	
IRA ⇒ SPDR Dow Jones Industrial Average ETF (DIA) [MF]		04/7/2020	P	\$1,001 - \$15,000	
IRA ⇒ SPDR Select Sector Fund - Energy Select Sector (XLE) [EF]		04/6/2020	P	\$15,001 - \$50,000	
IRA ⇒ SPDR Select Sector Fund - Energy Select Sector (XLE) [MF]		04/7/2020	P	\$1,001 - \$15,000	
IRA ⇒ T. Rowe Price Mid-Cap Growth Fund (RPMGX) [MF]		04/6/2020	S	\$15,001 - \$50,000	<input type="checkbox"/>
IRA ⇒ T. Rowe Price Overseas Stock Fund (TROSX) [MF]		04/6/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
IRA ⇒ Vanguard S&P 500 ETF (VOO) [EF]		04/6/2020	P	\$15,001 - \$50,000	
IRA ⇒ Vanguard S&P 500 ETF (VOO) [MF]		04/7/2020	P	\$1,001 - \$15,000	
IRA ⇒ Verizon Communications Inc. (VZ) [ST]		04/6/2020	P	\$1,001 - \$15,000	
IRA ⇒ Victory Sycamore Small Company Opportunity Fund Class I (VSOIX) [MF]		04/6/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
IRA ⇒ Virtus Ceredex Mid-Cap Value Equity Fund Class I (SMVTX) [MF]		04/6/2020	S	\$15,001 - \$50,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
IRA ⇒ Virtus Vontobel Emerging Markets Opportunities Fund Class I (HIEMX) [MF]		04/6/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
IRA ⇒ Walt Disney Company (DIS) [ST]		04/6/2020	P	\$1,001 - \$15,000	
OTHER ASSETS ⇒ BROOKS KOCH & SORG, LLC REAL ESTATE (OFFICE BUILDING) [OL]		04/1/2020	S	\$250,001 - \$500,000	<input checked="" type="checkbox"/>
LOCATION: INDIANAPOLIS, IN, US DESCRIPTION: Building Sale					
OTHER ASSETS ⇒ Onspira Therapeutics, Inc [PS]		01/8/2020	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
LOCATION: Malvern, PA, US DESCRIPTION: Pharmaceutical company investment					
OTHER ASSETS ⇒ OTH Holding, LLC [OI]		01/8/2020	E	\$1,001 - \$15,000	
DESCRIPTION: Private shares in Onspira Therapeutics, Inc were exchanged for 0.371% interest in OTH Holding, LLC, a pharmaceutical company					

* 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
BEAM, LONGEST & NEFF LLC	Spouse Salary	N/A
BROOKS, KOCH & SORG	SPOUSE SALARY	N/A

SCHEDULE D: LIABILITIES

Owner	Creditor	Date Incurred	Type	Amount of Liability
	WELLS FARGO	AUG 2012	PRIMARY RESIDENCE - CARMEL, IN - MORTGAGE	\$250,001 - \$500,000
	WELLS FARGO	APRIL 2017	PRIMARY RESIDENCE - LINE OF CREDIT	\$50,001 - \$100,000

SCHEDULE E: POSITIONS

Position	Name of Organization
BOARD MEMBER	INDIANA UNIVERSITY SCHOOL OF LAW - INDIANAPOLIS - BOARD OF VISITORS
DISTINGUISHED ADVISOR	CHILDREN'S MUSEUM OF INDIANAPOLIS
EMERITUS BOARD MEMBER	WOMEN'S FUND OF CENTRAL INDIANA
COMMISSION MEMBER	CSIS COMMISSION ON STRENGTHENING AMERICA'S HEALTH SECURITY

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

- Insurance
- IRA
- Other Assets (Owner: SP)
LOCATION: US
- OTHER ASSETS
LOCATION: US
- Retirement

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. Susan W. Brooks , 05/4/2021