

# 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: 2014

**Filing Date:** 07/14/2015

# SCHEDULE A: ASSETS AND "UNEARNED" INCOME

| Asset  | Owner | Value of Asset      | Income<br>Type(s) | Income | Tx. > \$1,000? |
|--|-------|---------------------|-------------------|--------|----------------|
| $401(k) \Rightarrow$ ARTISAN VALUE FUND (ARTLX)  | SP    | \$15,001 - \$50,000 | Tax-Deferred      |        |                |
| $401(k) \Rightarrow$ BARON SMALL CAP INST (BSFIX)  | SP    | \$15,001 - \$50,000 | Tax-Deferred      | None   |                |
| $_{401(k)}$ $\Rightarrow$ CAMBIAR SMALL CAP FUND (CAMSX)                                 | SP    | \$15,001 - \$50,000 | Tax-Deferred      | None   |                |
| $_{401(k)}$ $\Rightarrow$ MAINSTAY LARGE CAP GROWTH R1 (MLRRX)                           | SP    | \$15,001 - \$50,000 | Tax-Deferred      | None   |                |
| $_{401}(k)$ $\Rightarrow$ PIMCO Total Return Exchange-Traded Fund (BOND)                 | SP    | \$15,001 - \$50,000 | Tax-Deferred      | None   |                |
| $_{401(k)}$ $\Rightarrow$ VIRTUS REAL ESTATE SECURITIES (PHRAX)                          | SP    | \$15,001 - \$50,000 | Tax-Deferred      |        |                |
| 529 Plan ⇒ COLLEGECHOICE529 - ACTIVE BOND PORTFOLIO DESCRIPTION: 529 DIRECT SAVINGS PLAN | SP    | \$1,001 - \$15,000  | Tax-Deferred      | None   | П              |

| Asset   | Owner | Value of Asset      | Income<br>Type(s)           | Income             | Tx. > \$1,000? |
|---|-------|---------------------|-----------------------------|--------------------|----------------|
| 529 Plan ⇒ COLLEGECHOICE529 - INFLATION PROTECTED PORTFOLIO   | SP    | \$1,001 - \$15,000  | Tax-Deferred                | None               |                |
| DESCRIPTION: 529 DIRECT SAVINGS PLAN  |       |                     |                             |                    |                |
| 529 Plan ⇒<br>COLLEGECHOICE529 - INTERNATIONAL PORTFOLIO  | SP    | \$1,001 - \$15,000  | Tax-Deferred                |                    |                |
| DESCRIPTION: 529 DIRECT SAVINGS PLAN  |       |                     |                             |                    |                |
| 529 Plan ⇒ COLLEGECHOICE529 - US EQUITY INDEX PORTFOLIO   | SP    | \$1,001 - \$15,000  | Tax-Deferred                | None               |                |
| DESCRIPTION: 529 DIRECT SAVINGS PLAN  |       |                     |                             |                    |                |
| Investment ⇒ Apple Inc. (AAPL)  | SP    | \$1,001 - \$15,000  | Dividends                   | \$1 - \$200        |                |
| Investment ⇒ DAVIS NEW YORK VENTURE FUND CL A (NYVTX)   |       | \$1,001 - \$15,000  | Capital Gains,<br>Dividends | \$1 - \$200        |                |
| Investment ⇒ FIDELITY ADVISOR BIOTECHNOLOGY FUND CLASS C (FBTCX)  | SP    | \$1,001 - \$15,000  | Capital Gains,<br>Dividends | \$201 -<br>\$1,000 | <b>▽</b>       |
| Investment ⇒ FIFTH THIRD BANK  DESCRIPTION: STOCK   | SP    | \$1,001 - \$15,000  | Dividends                   | \$1 - \$200        |                |
| Investment ⇒ FIFTH THIRD BANK SAVINGS   | SP    | \$15,001 - \$50,000 | Interest                    | \$1 - \$200        |                |
| Investment ⇒ FIRST EAGLE FDS INC GOLD FD CL C (FEGOX)   |       | \$1,001 - \$15,000  | None                        |                    |                |
| Investment ⇒ Pembina Pipeline Corp. Ordinary Shares (PBA)   |       | \$1,001 - \$15,000  | Dividends                   | \$1 - \$200        |                |
| Investment ⇒ Wells Fargo Deposit Account  |       | \$15,001 - \$50,000 | Interest                    | \$1 - \$200        |                |
| IRA ⇒ BAIRD MIDCAP FUND INSTITUTIONAL CLASS (BMDIX)   | SP    | \$1,001 - \$15,000  | Tax-Deferred                |                    | <b>▽</b>       |
| $\begin{array}{l} \text{IRA} \Rightarrow \\ \text{CALAMOS INTERNATIONAL GROWTH FUND CLASS I} \end{array}$ |       | \$1,001 - \$15,000  | Tax-Deferred                | None               |                |

| Asset  | Owner    | Value of Asset     | Income<br>Type(s) | Income | Tx. > \$1,000? |
|--|----------|--------------------|-------------------|--------|----------------|
| (CIGIX)  |          |                    |                   |        |                |
| $\label{eq:ira} \mbox{IRA} \Rightarrow \\ \mbox{CHARTWELL SMALL CAP VALYUE I SHARE (CWSIX)}$   | SP       | \$1,001 - \$15,000 | Tax-Deferred      |        | <u>~</u>       |
| IRA ⇒ DREYFUS ADVANTAGE FDS DREYFUS OPPORTUNISTIC SMALL CAP FD (DSCVX)   |          | \$1,001 - \$15,000 | Tax-Deferred      | None   | П              |
| $\begin{array}{c} \text{IRA} \Rightarrow \\ \text{FIRST EAGLE FDS INC GLOBAL FD CL I (SGIIX)} \end{array}$   |          | \$1,001 - \$15,000 | Tax-Deferred      | None   |                |
| $IRA \Rightarrow$ FMI LARGE CAP FUND (FMIHX)   | SP       | \$1,001 - \$15,000 | Tax-Deferred      |        | <u>~</u>       |
| $\begin{array}{l} \text{IRA} \Rightarrow \\ \text{GABELLI SMALL CAP GROWTH FUND CLASS I} \\ \text{(GACIX)} \end{array}$                                  | SP       | \$1,001 - \$15,000 | Tax-Deferred      |        | <b>~</b>       |
| IRA $\Rightarrow$ iShares 7-10 Year Treasury Bond ETF (IEF)  | SP       | \$1,001 - \$15,000 | Tax-Deferred      |        | <u>~</u>       |
| $IRA \Rightarrow$ iShares Russell Mid-Cap ETF (IWR)  | SP       | \$1,001 - \$15,000 | Tax-Deferred      |        | ~              |
| $IRA \Rightarrow$ iShares Russell Midcap Growth ETF (IWP)  | SP       | \$1,001 - \$15,000 | Tax-Deferred      |        | <b>~</b>       |
| $\begin{array}{l} \text{IRA} \Rightarrow \\ \text{IVY FDS INC ASSET STRATEGY FD CL I (IVAEX)} \end{array}$   |          | \$1,001 - \$15,000 | Tax-Deferred      | None   |                |
| IRA $\Rightarrow$ JANUS INVT FD PERKINS MID CAP VALUE FD CL I (JMVAX)  |          | \$1,001 - \$15,000 | Tax-Deferred      | None   | П              |
| IRA $\Rightarrow$ JOHN HANCOCK DISCIPLINED VALUE MID CAP FUND CLASS I (JVMIX)  | SP       | \$1,001 - \$15,000 | Tax-Deferred      |        | <b>∀</b>       |
| COMMENTS: PLEASE NOTE: JOHN HANCOCK DISCIPLINED V<br>HANCOCK DISCIPLINED VALUE MIDCAP FUND CLASS A (J<br>AND DID NOT INVOLVE THE SALE OR PURCHASE OF ANY | VMAX) ON |                    |                   |        |                |
| IRA $\Rightarrow$ JP MORGAN CORE BOND FUND (WOBDX)   | SP       | \$1,001 - \$15,000 | Tax-Deferred      |        | <b>~</b>       |

| Asset  | Owner       | Value of Asset      | Income<br>Type(s) | Income    | Tx. > \$1,000?          |
|--|-------------|---------------------|-------------------|-----------|-------------------------|
| $IRA \Rightarrow$ MAINSTAY ICAP INTERNATIONAL FUND I (ICEUX)   | SP          | \$1,001 - \$15,000  | Tax-Deferred      |           | <b>✓</b>                |
| COMMENTS: PLEASE NOTE: MAINSTAY ICAP INTERNATIONAL INTERNATIONAL FUND A (ICEVX) ON 2013 FD. THIS CHAIN SALE OR PURCHASE OF ANY STOCK.                  |             |                     |                   |           |                         |
| $\begin{array}{l} {\rm IRA} \Rightarrow \\ {\rm MANAGERS\ AMG\ FUNDS\ YACTMAN\ FUND\ SERVICE} \\ {\rm CLASS\ (YACKX)} \end{array}$                     |             | \$1,001 - \$15,000  | Tax-Deferred      | None      |                         |
| IRA ⇒ MANNING & NAPIER FD INC WORLD OPPORTUNITIES (EXWAX)  | SP          | \$1,001 - \$15,000  | Tax-Deferred      |           | <b>▽</b>                |
| $\begin{array}{l} \text{IRA} \Rightarrow \\ \text{NUVEEN INVT TRUST TRADEWINDS VALUE OPPTYS} \\ \text{FUND CLASS I (NVORX)} \end{array}$               |             | \$1,001 - \$15,000  | Tax-Deferred      | None      | П                       |
| IRA $\Rightarrow$ OPPENHEIMER INTL DIV CL Y SHS (OIDYX)  |             | \$1,001 - \$15,000  | Tax-Deferred      | None      |                         |
| $\begin{array}{l} {\rm IRA} \Rightarrow \\ {\rm OPPENHEIMER~SENIOR~FLOATING~RATE~FUND} \\ {\rm CLASS~Y~(OOSYX)} \end{array}$                           | SP          | \$1,001 - \$15,000  | Tax-Deferred      |           | <b>∀</b>                |
| COMMENTS: PLEASE NOTE: OPPENHEIMER SENIOR FLOATI<br>OPPENHEIMER SENIOR FLOATING RATE FUND CLASS A (<br>AND DID NOT INVOLVE THE SALE, PURCHASE OR EXCHA | OOSAX) O    | N 2013 FD. THIS CHA | *                 |           | CHANGE                  |
| $IRA \Rightarrow$ PERMANENT PORTFOLIO FD (PRPFX)   |             | \$1,001 - \$15,000  | Tax-Deferred      | None      |                         |
| IRA ⇒ RIVERPARK/WEDGEWOOD INSTL FUNDS (RWGIX)  | SP          | \$1,001 - \$15,000  | Tax-Deferred      |           | $\overline{\checkmark}$ |
| COMMENTS: PLEASE NOTE: RIVERPARK/WEDGEWOOD INS' RIVERPARK/WEDGEWOOD RETAIL FUNDS (RWGFX) ON : INVOLVE THE SALE, PURCHASE OR EXCHANGE OF ANY S          | 2013 FD. TI |                     |                   | CHANGE AN | D DID NOT               |
| IRA ⇒ SPDR S&P 500 (SPY)   | SP          | \$1,001 - \$15,000  | Tax-Deferred      |           | <u>~</u>                |
| IRA ⇒ SPDR S&P Emerging Asia Pacific ETF (GMF)   | SP          | \$1,001 - \$15,000  | Tax-Deferred      |           | <b>~</b>                |
| $\begin{array}{c} \text{IRA} \Rightarrow \\ \text{UBS BANK DEPOSIT ACCOUNT} \end{array}$   | SP          | \$1,001 - \$15,000  | Tax-Deferred      | None      |                         |
|  |             |                     |                   |           |                         |

| Asset   | Owner      | Value of Asset           | Income<br>Type(s) | Income                | Tx. > \$1,000? |
|---|------------|--------------------------|-------------------|-----------------------|----------------|
| $IRA \Rightarrow$ Vanguard Total Bond Market ETF (BND)  | SP         | \$1,001 - \$15,000       | Tax-Deferred      |                       | <b>∀</b>       |
| $IRA \Rightarrow$ Vanguard Total International Bond ETF (BNDX)  | SP         | \$1,001 - \$15,000       | Tax-Deferred      |                       | <b>▽</b>       |
| $IRA \Rightarrow$ Vanguard Total Stock Market ETF (VTI)   | SP         | \$1,001 - \$15,000       | Tax-Deferred      |                       | <b>~</b>       |
| $IRA \Rightarrow$ VIRTUS MULTI-SECTOR SHORT TERM BOND FUND CLASS A (PIMSX)  | SP         | \$1,001 - \$15,000       | Tax-Deferred      |                       | <u>~</u>       |
| COMMENTS: PLEASE NOTE: VIRTUS MULTI-SECTOR SHORT MULTI-SECTOR SHORT TERM BOND FUND CLASS A (NARADID NOT INVOLVE THE SALE OR PURCHASE OF ANY STOCK | AX) ON 201 |                          |                   |                       |                |
| OTHER RETIREMENT ⇒ INDIANA 401(a) PLAN - INDIANA FUND 2035 DESCRIPTION: RETIREMENT ACCOUNT  |            | \$1,001 - \$15,000       | Tax-Deferred      | None                  |                |
| OTHER RETIREMENT ⇒ STATE OF INDIANA 401(a) PLAN - INDIANA STABLE VALUE FUND  DESCRIPTION: RETIREMENT ACCOUNT                                      |            | \$1,001 - \$15,000       | Tax-Deferred      | None                  | П              |
| OTHER RETIREMENT ⇒ STATE OF INDIANA 457 PLAN - INDIANA FUND 2035 DESCRIPTION: RETIREMENT ACCOUNT  |            | \$1,001 - \$15,000       | Tax-Deferred      | None                  | П              |
| OTHER RETIREMENT ⇒ STATE OF INDIANA 457 PLAN - STABLE VALUE FUND DESCRIPTION: RETIREMENT ACCOUNT  |            | \$1,001 - \$15,000       | Tax-Deferred      | None                  |                |
| REAL ESTATE ⇒ RENTAL CONDO - MASS AVE Location: INDIANAPOLIS, IN, US  |            | \$100,001 -<br>\$250,000 | Rent              | \$5,001 -<br>\$15,000 |                |
| REAL ESTATE ⇒ RENTAL HOUSE - 54TH STREET Location: INDIANAPOLIS, IN, US   |            | \$100,001 -<br>\$250,000 | Rent              | \$5,001 -<br>\$15,000 |                |
| REAL ESTATE ⇒ RENTAL TOWNHOUSE Location: INDIANAPOLIS, IN, US   |            | \$100,001 -<br>\$250,000 | Rent              | \$5,001 -<br>\$15,000 |                |
| $RIRA \Rightarrow$  |            | \$1,001 - \$15,000       | Tax-Deferred      | None                  | П              |

| Asset   | Owner Value of Asset | Income<br>Type(s) | Income | Tx. ><br>\$1,000? |
|---|----------------------|-------------------|--------|-------------------|
| FIRST EAGLE GLOBAL INC GLOBAL FD CL A (SGENX) |                      |                   |        |                   |

 $<sup>\</sup>ensuremath{^*}$  Asset class details available at the bottom of this form.

# SCHEDULE B: TRANSACTIONS

| Asset  | Owner | Date       | Tx.<br>Type    | Amount             | Cap. Gains > \$200? |
|--|-------|------------|----------------|--------------------|---------------------|
| Investment ⇒ FIDELITY ADVISOR BIOTECHNOLOGY FUND CLASS C (FBTCX)   | SP    | 04/25/2014 | P              | \$1,001 - \$15,000 |                     |
| IRA ⇒ BAIRD MIDCAP FUND INSTITUTIONAL CLASS (BMDIX)  | SP    | 10/2/2014  | S<br>(partial) | \$1,001 - \$15,000 |                     |
| IRA ⇒ BAIRD MIDCAP FUND INVESTOR CLASS (BMDIX)   | SP    | 02/20/2014 | P              | \$1,001 - \$15,000 |                     |
| $\begin{array}{l} \text{IRA} \Rightarrow \\ \text{CHARTWELL SMALL CAP VALUE FUND CLASS A} \\ \text{(CWSIX)} \end{array}$ | SP    | 04/9/2014  | P              | \$1,001 - \$15,000 |                     |
| $IRA \Rightarrow$ CHARTWELL SMALL CAP VALUE I SHARE (CWSIX)  | SP    | 10/2/2014  | S<br>(partial) | \$1,001 - \$15,000 |                     |
| IRA ⇒ FMI LARGE CAP FUND (FMIHX)   | SP    | 10/2/2014  | S<br>(partial) | \$1,001 - \$15,000 | <b>∀</b>            |
| IRA ⇒ GABELLI SMALL CAP GROWTH FUND (GACIX)  | SP    | 04/9/2014  | P              | \$1,001 - \$15,000 |                     |
| $IRA \Rightarrow$ GABELLI SMALL CAP GROWTH FUND CLASS I (GACIX)  | SP    | 10/2/2014  | S<br>(partial) | \$1,001 - \$15,000 | П                   |
| $IRA \Rightarrow$ iShares 1-3 Year Credit Bond ETF (CSJ)   | SP    | 04/9/2014  | S              | \$1,001 - \$15,000 |                     |
| $IRA \Rightarrow$ iShares 7-10 Year Treasury Bond ETF (IEF)  | SP    | 12/22/2014 | P              | \$1,001 - \$15,000 |                     |
| $IRA \Rightarrow$ iShares Core MSCI Emerging Markets ETF (IEMG)  | SP    | 08/26/2014 | P              | \$1,001 - \$15,000 |                     |

| Asset  | Owner | Date       | Tx.<br>Type    | Amount             | Cap. Gains > \$200? |
|--|-------|------------|----------------|--------------------|---------------------|
| IRA ⇒ iShares Core MSCI Emerging Markets ETF (IEMG)  | SP    | 10/2/2014  | S              | \$1,001 - \$15,000 |                     |
| $IRA \Rightarrow$ iShares Core MSCI Emerging Markets ETF (IEMG)  | SP    | 12/22/2014 | S<br>(partial) | \$1,001 - \$15,000 |                     |
| $IRA \Rightarrow$ iShares Core S&P Small-Cap ETF (IJR)   | SP    | 04/9/2014  | S              | \$1,001 - \$15,000 |                     |
| $IRA \Rightarrow$ iShares Russell Mid-Cap ETF (IWR)  | SP    | 10/2/2014  | S<br>(partial) | \$1,001 - \$15,000 | <u></u>             |
| $IRA \Rightarrow$ iShares Russell Midcap Growth ETF (IWP)  | SP    | 02/20/2014 | S<br>(partial) | \$1,001 - \$15,000 | <u></u>             |
| $\begin{array}{l} \text{IRA} \Rightarrow \\ \text{JOHN HANCOCK DISCIPLINED VALUE MIDCAP FUND} \\ \text{CLASS I (JVMIX)} \end{array}$ | SP    | 10/2/2014  | S<br>(partial) | \$1,001 - \$15,000 | <u>~</u>            |
| $IRA \Rightarrow$ JP MORGAN CORE BOND FUND SELECT (WOBDX)  | SP    | 10/2/2014  | S<br>(partial) | \$1,001 - \$15,000 |                     |
| $\begin{array}{l} \text{IRA} \Rightarrow \\ \text{MAINSTAY ICAP INTERNATIONAL FUND CLASS I} \\ \text{(ICEUX)} \end{array}$           | SP    | 08/26/2014 | S<br>(partial) | \$1,001 - \$15,000 | <u>~</u>            |
| $\begin{array}{l} \text{IRA} \Rightarrow \\ \text{MAINSTAY ICAP INTERNATIONAL FUND CLASS I} \\ \text{(ICEUX)} \end{array}$           | SP    | 10/2/2014  | S<br>(partial) | \$1,001 - \$15,000 | <u> </u>            |
| IRA ⇒ MANNING & NAPIER FD, INC. WORLD OPPORTUNITIES (EXWAX)  | SP    | 08/26/2014 | S<br>(partial) | \$1,001 - \$15,000 | <u>~</u>            |
| IRA ⇒ MANNING & NAPIER FD, INC. WORLD OPPORTUNITIES (EXWAX)  | SP    | 10/2/2014  | S<br>(partial) | \$1,001 - \$15,000 | <u>~</u>            |
| $\begin{array}{l} \text{IRA} \Rightarrow \\ \text{OPPENHEIMER SENIOR FLOATING RATE FUND CLASS} \\ \text{A (OOSYX)} \end{array}$      | SP    | 04/9/2014  | S<br>(partial) | \$1,001 - \$15,000 | П                   |
| IRA $\Rightarrow$ OPPENHEIMER SR FLOATING RATE FD CLASS Y (OOSYX)  | SP    | 09/29/2014 | S<br>(partial) | \$1,001 - \$15,000 | П                   |

| Asset  | Owner | Date       | Tx.<br>Type    | Amount             | Cap. Gains > \$200? |
|--|-------|------------|----------------|--------------------|---------------------|
| IRA ⇒ OPPENHEIMER SR FLOATING RATE FD CLASS Y (OOSYX)  | SP    | 10/2/2014  | S<br>(partial) | \$1,001 - \$15,000 | П                   |
| IRA ⇒ RIVERPARK/WEDGEWOOD INSTL FUNDS (RWGIX)          | SP    | 10/2/2014  | S<br>(partial) | \$1,001 - \$15,000 | <b>▽</b>            |
| $IRA \Rightarrow$ SPDR Barclays Intl Treasury Bd (BWX) | SP    | 04/9/2014  | P              | \$1,001 - \$15,000 |                     |
| $IRA \Rightarrow$ SPDR Barclays Intl Treasury Bd (BWX) | SP    | 09/23/2014 | S<br>(partial) | \$1,001 - \$15,000 | П                   |
| IRA ⇒ SPDR Barclays Intl Treasury Bd (BWX)             | SP    | 10/2/2014  | S              | \$1,001 - \$15,000 | П                   |
| IRA ⇒ SPDR S&P 500 (SPY)                               | SP    | 02/20/2014 | P              | \$1,001 - \$15,000 |                     |
| IRA ⇒ SPDR S&P 500 (SPY)                               | SP    | 10/2/2014  | S<br>(partial) | \$1,001 - \$15,000 | <b>▽</b>            |
| IRA ⇒ SPDR S&P Emerging Asia Pacific ETF (GMF)         | SP    | 08/27/2014 | P              | \$1,001 - \$15,000 |                     |
| IRA ⇒ SPDR S&P Emerging Asia Pacific ETF (GMF)         | SP    | 08/26/2014 | P              | \$1,001 - \$15,000 |                     |
| IRA ⇒ SPDR S&P Emerging Asia Pacific ETF (GMF)         | SP    | 10/2/2014  | S<br>(partial) | \$1,001 - \$15,000 | П                   |
| $IRA \Rightarrow$ TEMPLETON GLOBAL BOND ADV (TPINX)    | SP    | 10/2/2014  | S<br>(partial) | \$1,001 - \$15,000 | П                   |
| $IRA \Rightarrow$ TEMPLETON GLOBAL BOND ADV (TPINX)    | SP    | 12/22/2014 | S              | \$1,001 - \$15,000 | П                   |
| IRA ⇒<br>Vanguard FTSEEuropean ETF (VGK)               | SP    | 08/26/2014 | S              | \$1,001 - \$15,000 | П                   |
| $IRA \Rightarrow$ Vanguard Total Bond Market ETF (BND) | SP    | 04/9/2014  | P              | \$1,001 - \$15,000 |                     |
| IRA ⇒  | SP    | 09/29/2014 | P              | \$1,001 - \$15,000 |                     |

| Asset   | Owner | Date       | Tx.<br>Type    | Amount             | Cap. Gains > \$200? |
|---|-------|------------|----------------|--------------------|---------------------|
| Vanguard Total Bond Market ETF (BND)  |       |            |                |                    |                     |
| $IRA \Rightarrow$ Vanguard Total Bond Market ETF (BND)  | SP    | 10/2/2014  | S<br>(partial) | \$1,001 - \$15,000 |                     |
| $IRA \Rightarrow$ Vanguard Total International Bond ETF (BNDX)  | SP    | 09/23/2014 | P              | \$1,001 - \$15,000 |                     |
| $IRA \Rightarrow$ Vanguard Total International Bond ETF (BNDX)  | SP    | 10/2/2014  | S<br>(partial) | \$1,001 - \$15,000 | П                   |
| $IRA \Rightarrow$ Vanguard Total Stock Market ETF (VTI)   | SP    | 12/22/2014 | P              | \$1,001 - \$15,000 |                     |
| $\begin{array}{l} \text{IRA} \Rightarrow \\ \text{VIRTUS MULTI-SECOR SHORT TERM BOND FUND} \\ \text{CLASS I (NARAX)} \end{array}$ | SP    | 10/2/2014  | S<br>(partial) | \$1,001 - \$15,000 |                     |

<sup>\*</sup> Asset class details available at the bottom of this form.

# SCHEDULE C: EARNED INCOME

| Source              | Туре          | Amount |
|---------------------|---------------|--------|
| SOMERSET CPA'S P.C. | SPOUSE SALARY | N/A    |

# SCHEDULE D: LIABILITIES

| Owner | Creditor         | Date Incurred | Туре   | Amount of<br>Liability   |
|-------|------------------|---------------|--|--------------------------|
| JT    | CHASE BANK       | JULY 2012     | MORTGAGE ON PRINCIPAL<br>RESIDENCE           | \$250,001 -<br>\$500,000 |
| SP    | OCWEN            | APRIL 2011    | MORTGAGE ON INDIANAPOLIS<br>RENTAL TOWNHOUSE | \$100,001 -<br>\$250,000 |
| JT    | OCWEN            | FEB 2010      | MORTGAGE ON 54TH ST RENTAL HOUSE             | \$50,001 -<br>\$100,000  |
|       | FIFTH THIRD BANK | 2002          | MORTGAGE ON MASS AVE RENTAL CONDO            | \$15,001 - \$50,000      |
| JT    | PNC BANK         | JUNE 2005     | EQUITY LINE ON PERSONAL RESIDENCE            | \$15,001 - \$50,000      |
| SP    | PNC BANK         | NOV 2003      | EQUITY LINE ON RENTAL TOWNHOUSE              | \$10,000 - \$15,000      |

| Owner Creditor   | Date Incurred | Туре                                 | Amount of<br>Liability |
|------------------|---------------|--------------------------------------|------------------------|
| FIFTH THIRD BANK | 2002          | EQUITY LINE ON MASS AVE RENTAL CONDO | \$15,001 - \$50,000    |

#### SCHEDULE E: POSITIONS

None disclosed.

## 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

- o 401(k) (Owner: SP)
- o 529 Plan (Owner: SP)

LOCATION: IN

Investment

LOCATION: US

• Investment (Owner: SP)

LOCATION: US

- o IRA
- IRA (Owner: SP)
- OTHER RETIREMENT
- REAL ESTATE

LOCATION: US

o 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?



**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?

C 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?

C 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. Todd Rokita, 07/14/2015