



Filing ID #10023307

FINANCIAL DISCLOSURE REPORT

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

FILER INFORMATION

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

FILING INFORMATION

Filing Type: Amendment Report
Filing Year: 2017
Filing Date: 08/13/2019
Period Covered: 01/01/2016– 07/31/2017

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 (5) [RP] LOCATION: Columbus, OH, US DESCRIPTION: Rent received from HER Realtors, LLC		\$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	Capital Gains, Dividends	\$1 - \$200	\$5,001 - \$15,000
Armchair Investments LLC ⇒ HER Realtors, LLC [OL] LOCATION: Columbus, OH, US DESCRIPTION: Real estate.		\$1,000,001 - \$5,000,000	Interest, Rent	\$100,001 - \$1,000,000	\$1,000,001 - \$5,000,000
Armchair Investments LLC ⇒ SEAM II Fund [OL]		\$100,001 - \$250,000	Interest	\$1,001 - \$2,500	\$1,001 - \$2,500

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
LOCATION: Los Angeles, CA, US DESCRIPTION: Pooled investment account.					
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ Angel Oak Multi Strategy Inc. Insti [EF]		\$50,001 - \$100,000	Tax-Deferred		
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ Citigroup Global Markets Holdings [EF]		\$50,001 - \$100,000	Tax-Deferred		
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ Citigroup Global Mkts Holdings Inc. [EF]		\$1,001 - \$15,000	Tax-Deferred		
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ DFA International Core Equity [EF]		\$50,001 - \$100,000	Tax-Deferred		
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ DFA U.S. Small Cap Growth Port Insti [EF]		\$15,001 - \$50,000	Tax-Deferred		
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ DFA US Small Cap Value Prtf Insti [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]		\$50,001 - \$100,000	Tax-Deferred		
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ Fidelity Government Cash Reserves [MF]		\$1,001 - \$15,000	Tax-Deferred		
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ Fidelity Government Cash Reserves [MF]		\$15,001 - \$50,000	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 ⇒ Invesco Equally Weighted S&P 500 (VADDX) [IH]		\$50,001 - \$100,000	Tax-Deferred		
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ JPMorgan Strategic Income Opps CI I [EF]		\$15,001 - \$50,000	Tax-Deferred		
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ Pioneer ILS Interval Fund Common [EF]		\$15,001 - \$50,000	Tax-Deferred		
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ SPDR S&P Midcap 400 ETF Tr Utser1 S&Pdcrp [EF]		\$50,001 - \$100,000	Tax-Deferred		
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ Vanguard Admiral FDS Inc S&P 500 Value Index Fund Et [EF]		\$50,001 - \$100,000	Tax-Deferred		
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ Vanguard S&P 500 Growth ETF [EF]		\$50,001 - \$100,000	Tax-Deferred		
Carta, Inc. ⇒ Grayl, Inc. [OL] LOCATION: Seattle, WA, US DESCRIPTION: Water purification products. Shares granted for services provided as a director.		\$1,001 - \$15,000	None		
Corient Capital Partners LLC ⇒ Fidelity Government Cash Reserves [MF]		\$1 - \$1,000	Dividends	None	None
Corient Capital Partners LLC ⇒ Fidelity Government Cash Reserves [MF]		\$1 - \$1,000	Tax-Deferred		
Corient Capital Partners LLC ⇒ Fidelity Government Cash Reserves [MF]		\$1 - \$1,000	Dividends	None	\$1 - \$200
Corient Capital Partners LLC ⇒ Fidelity Government Cash Reserves [MF]		\$1 - \$1,000	Tax-Deferred		

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Corient Capital Partners LLC ⇒ IShares MSCI EAFE ETF [EF]		\$1,001 - \$15,000	Tax-Deferred		
Corient Capital Partners LLC ⇒ IShares MSCI EAFE ETF [EF]		\$1,001 - \$15,000	Tax-Deferred		
Corient Capital Partners LLC ⇒ IShares Russell 2000 Growth ETF [EF]		\$1,001 - \$15,000	Tax-Deferred		
Corient Capital Partners LLC ⇒ IShares Russell 1000 Value ETF [EF]		\$1,001 - \$15,000	Tax-Deferred		
Corient Capital Partners LLC ⇒ IShares Russell 1000 Value ETF [EF]		\$1,001 - \$15,000	Tax-Deferred		
Corient Capital Partners LLC ⇒ IShares Russell 2000 Value [EF]		\$1,001 - \$15,000	Tax-Deferred		
Corient Capital Partners LLC ⇒ IShares Russell 2000 Value ETF [EF]		\$1,001 - \$15,000	Tax-Deferred		
Corient Capital Partners LLC ⇒ ProShares Ultra Bloomberg Crude Oil (UCO) [ST]		\$1,001 - \$15,000	Tax-Deferred		
Corient Capital Partners LLC ⇒ ProShares Ultra Bloomberg Crude Oil (UCO) [ST]		\$1,001 - \$15,000	Tax-Deferred		
Corient Capital Partners LLC ⇒ Rocky Brands, Inc. (RCKY) [ST]		\$1,001 - \$15,000	Dividends	None	\$201 - \$1,000
Corient Capital Partners LLC ⇒ Rocky Brands, Inc. (RCKY) [ST]		\$1,001 - \$15,000	Capital Gains, Dividends	None	\$1 - \$200
Corient Capital Partners LLC ⇒ Rocky Brands, Inc. (RCKY) [ST]		\$100,001 - \$250,000	Capital Gains, Dividends, Interest	\$201 - \$1,000	\$5,001 - \$15,000
Corient Capital Partners LLC ⇒ Vanguard Admiral FD S Inc S&P 600 Value [EF]		\$1,001 - \$15,000	Tax-Deferred		
Corient Capital Partners LLC ⇒ Vanguard Admiral FDS Inc S&P 500 [EF]		\$1,001 - \$15,000	Tax-Deferred		

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Corient Capital Partners LLC ⇒ Vanguard S&P 500 Growth ETF [EF]		\$1,001 - \$15,000	Tax-Deferred		
Corient Capital Partners LLC ⇒ Vanguard S&P 500 Growth ETF [EF]		\$1,001 - \$15,000	Tax-Deferred		
RealStir Inc. [OP]		\$15,001 - \$50,000	None		
DESCRIPTION: 100,000 shares with a strike price of \$0.50. Granted 4/1/2016 and valid for 6 years.					
Rocky Brands (RCKY) [OP]		\$1,001 - \$15,000	None		
DESCRIPTION: Rocky Brands, Inc. (RCKY) Strike Price: \$11.55 Market price on 7/31/17: \$13.95					
Rocky Brands, Inc. (RCKY) [ST]		\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500	\$1,001 - \$2,500
Trident Holdings, Inc. ⇒ Cova, LLC [OL]		\$50,001 - \$100,000	None		
LOCATION: San Clemente, CA, US DESCRIPTION: Water sports apparel.					
Trident Holdings, Inc. ⇒ Grayl, Inc. [OL]		\$100,001 - \$250,000	None		
LOCATION: Seattle, WA, US DESCRIPTION: Water purification products.					
Trident Holdings, Inc. ⇒ HER Realty HomeGard [OL]		\$15,001 - \$50,000	None		
LOCATION: Columbus, OH, US DESCRIPTION: Home warranty services.					
Trident Holdings, Inc. ⇒ HER, Inc. [OL]		\$1,000,001 - \$5,000,000	None		
LOCATION: Columbus, OH, US DESCRIPTION: Real estate.					
Trident Holdings, Inc. ⇒ Poler Inc. [OL]		\$15,001 - \$50,000	None		
LOCATION: Portland, OR, US DESCRIPTION: Apparel & outdoor gear.					
Trident Holdings, Inc. ⇒ Raen Optics, Inc. [OL]		\$50,001 - \$100,000	None		
LOCATION: Encinitas, CA, US					

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
DESCRIPTION: Eyewear.					
Trident Holdings, Inc. ⇒ RealStir Inc. [OL]		\$50,001 - \$100,000	None		
LOCATION: San Diego, CA, US DESCRIPTION: Real estate technology					
Trident Holdings, Inc. ⇒ Relevium Labs, Inc. [OL]		\$15,001 - \$50,000	None		
LOCATION: Oxford, OH, US DESCRIPTION: Medical devices.					
Trident Holdings, Inc. ⇒ Stuffstr [OL]		\$15,001 - \$50,000	None		
LOCATION: Seattle, WA, US DESCRIPTION: Item reuse/repair/resale/recycling services public benefit corporation.					
Trident Holdings, Inc. [DO]		\$1,001 - \$15,000	Interest	\$201 - \$1,000	\$201 - \$1,000
Trident Holdings, Inc. [OL]		\$5,000,001 - \$25,000,000	Distributions	\$100,001 - \$1,000,000	\$100,001 - \$1,000,000
LOCATION: Columbus, OH, US DESCRIPTION: Real estate and other investments.					
Trident Holdings, Inc. [OL]		\$5,000,001 - \$25,000,000	Loan Repayment	\$100,001 - \$1,000,000	\$100,001 - \$1,000,000
LOCATION: Columbus, OH, US DESCRIPTION: Real estate services.					
Trident Holdings, Inc. ⇒ Trident Title Agency Ltd. [OL]		\$250,001 - \$500,000	Distributions.	\$50,001 - \$100,000	\$50,001 - \$100,000
LOCATION: Columbus, OH, US DESCRIPTION: Real estate title services.					
UTG, Inc. (UTGN) [ST]		\$1,001 - \$15,000	None		
Wells Fargo [BA]		\$50,001 - \$100,000	None		
Wells Fargo Brokerage ⇒ Cash [BA]		\$15,001 - \$50,000	Interest	\$1 - \$200	\$1 - \$200
Wells Fargo Brokerage ⇒		\$500,001 -	Capital Gains	\$5,001 -	\$5,001 -

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
ProShares Ultra Bloomberg Crude Oil (UCO) [ST]		\$1,000,000		\$15,000	\$15,000
Wells Fargo Brokerage ⇒ Rocky Brands, Inc. (RCKY) [ST]		\$1,001 - \$15,000	Capital Gains	None	None
Wells Fargo IRA ⇒ Cash [IH]		\$1,001 - \$15,000	Interest	\$1 - \$200	\$1 - \$200
Wells Fargo IRA ⇒ n/a [IH]		\$1,001 - \$15,000	Interest	\$1 - \$200	\$1 - \$200
Wells Fargo IRA ⇒ ProShares Ultra Bloomberg Crude Oil (UCO) [ST]		\$250,001 - \$500,000	Capital Gains	\$201 - \$1,000	\$2,501 - \$5,000
Wells Fargo IRA ⇒ Rocky Brands, Inc. (RCKY) [ST]		\$100,001 - \$250,000	Capital Gains, Dividends	\$15,001 - \$50,000	\$15,001 - \$50,000
Wells Fargo IRA (2) ⇒ Cash [IH]		\$1 - \$1,000	Interest	\$1 - \$200	\$1 - \$200
Wells Fargo IRA (2) ⇒ ProShares Ultra Bloomberg Crude Oil (UCO) [ST]		\$1,001 - \$15,000	Capital Gains	None	None

* 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	\$860,000.00	\$860,000.00
Rocky Brands, Inc.	Board fees.	\$35,000.00	\$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.	\$7,500.00	\$10,000.00

Source	Type	Amount Current Year to Filing	Amount Preceding Year
HER Homegard	Board fees.	\$500.00	\$1,000.00
HER Realtors LLC	Salary.	N/A	\$180,000.00

SCHEDULE D: LIABILITIES

Owner	Creditor	Date Incurred	Type	Amount of Liability
	American Express COMMENTS: Paid in full.	July 2017	Credit Card.	\$15,001 - \$50,000
	Capital One COMMENTS: Paid in full.	July 2017	Credit Card.	\$10,000 - \$15,000
	Wells Fargo	January 2016	Margin Account	\$100,001 - \$250,000

SCHEDULE E: POSITIONS

Position	Name of Organization
Director	Rocky Brands, Inc.
Chief Executive Officer, Boardmember	HomeGard
Boardmember	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
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
- 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., 08/13/2019