Filing ID #10001548

# Financial Disclosure Report

Clerk of the House of Representatives • Legislative Resource Center • B-106 Cannon Building • Washington, DC 20515

## Filer Information

**Name:** Mr. Todd Rokita
**Status:** Member
**State/District:** IN04

## Filing Information

**Filing Type:** Annual Report
**Filing Year:** 2013
**Filing Date:** 07/11/2014

## Schedule A: Assets and "Unearned" Income

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

| Asset | Owner | Value of Asset | Income Type(s) | Income | Tx. > $1,000? |
|---|---|---|---|---|---|
| 529 Plan ⇒<br>COLLEGECHOICE529 - INFLATION PROTECTED PORTFOLIO<br>DESCRIPTION: 529 DIRECT SAVINGS PLAN | SP | $1,001 - $15,000 | Tax-Deferred | None | ☑ |
| 529 Plan ⇒<br>COLLEGECHOICE529 - INTERNATIONAL PORTFOLIO<br>DESCRIPTION: 529 DIRECT SAVINGS PLAN<br>COMMENTS: PLEASE NOTE THAT THERE IS NO TRANSACTION FOR THIS ASSET. THE ASSET VALUE INCREASED AND THEREFORE IS NOW BEING INCLUDED IN THIS REPORT. | SP | $1,001 - $15,000 | Tax-Deferred | None | ☐ |
| 529 Plan ⇒<br>COLLEGECHOICE529 - US EQUITY INDEX PORTFOLIO<br>DESCRIPTION: 529 DIRECT SAVINGS PLAN | SP | $1,001 - $15,000 | Tax-Deferred | None | ☐ |
| Investment ⇒<br>Apple Inc. (AAPL) | SP | $1,001 - $15,000 | Dividends | $1 - $200 | ☐ |
| Investment ⇒<br>DAVIS NEW YORK VENTURE FUND CL A (NYVTX) | | $1,001 - $15,000 | Dividends | $1 - $200 | ☐ |
| Investment ⇒<br>FIFTH THIRD BANK<br>DESCRIPTION: STOCK | SP | $1,001 - $15,000 | Dividends | $1 - $200 | ☐ |
| Investment ⇒<br>FIFTH THIRD BANK SAVINGS | SP | $15,001 - $50,000 | Interest | $1 - $200 | ☐ |
| Investment ⇒<br>FIRST EAGLE FDS INC GOLD FD CL C (FEGOX) | | $1,001 - $15,000 | None | | ☐ |
| Investment ⇒<br>Pembina Pipeline Corp. Ordinary Shares (PBA) | | $1,001 - $15,000 | Dividends | $1 - $200 | ☐ |
| Investment ⇒<br>Wells Fargo Deposit Account | | $15,001 - $50,000 | Interest | $1 - $200 | ☐ |
| IRA ⇒<br>CALAMOS INTERNATIONAL GROWTH FUND CLASS I (CIGIX) | | $1,001 - $15,000 | Tax-Deferred | None | ☐ |
| IRA ⇒<br>DREYFUS ADVANTAGE FDS DREYFUS OPPORTUNISTIC SMALL CAP FD (DSCVX) | | $1,001 - $15,000 | Tax-Deferred | None | ☐ |

| Asset | Owner | Value of Asset | Income Type(s) | Income | Tx. > $1,000? |
|---|---|---|---|---|---|
| IRA ⇒ FIRST EAGLE FDS INC GLOBAL FD CL I (SGIIX) | | $1,001 - $15,000 | Tax-Deferred | None | ☐ |
| IRA ⇒ FMI LARGE CAP FUND (FMIHX) | SP | $1,001 - $15,000 | Tax-Deferred | None | ☑ |
| IRA ⇒ FRANKLIN/TEMPLETON GLOBAL BOND FUND CLASS A (TPINX) | SP | $1,001 - $15,000 | Tax-Deferred | None | ☐ |
| IRA ⇒ iShares 1-3 Year Credit Bond ETF (CSJ) | SP | $1,001 - $15,000 | Tax-Deferred | None | ☑ |
| IRA ⇒ iShares Core S&P Small-Cap ETF (IJR) | SP | $1,001 - $15,000 | Tax-Deferred | None | ☑ |
| IRA ⇒ iShares Russell Mid-Cap ETF (IWR) | SP | $1,001 - $15,000 | Tax-Deferred | None | ☑ |
| IRA ⇒ iShares Russell Midcap Growth ETF (IWP) | SP | $1,001 - $15,000 | Tax-Deferred | None | ☑ |
| IRA ⇒ IVY FDS INC ASSET STRATEGY FD CL I (IVAEX) | | $1,001 - $15,000 | Tax-Deferred | None | ☐ |
| IRA ⇒ JANUS INVT FD PERKINS MID CAP VALUE FD CL I (JMVAX) | | $1,001 - $15,000 | Tax-Deferred | None | ☐ |
| IRA ⇒ JOHN HANCOCK DISCIPLINED VALUE MID CAP FUND CLASS A (JVMAX) | SP | $1,001 - $15,000 | Tax-Deferred | None | ☑ |
| IRA ⇒ JP MORGAN CORE BOND FUND (WOBDX) | SP | $1,001 - $15,000 | Tax-Deferred | None | ☐ |
| IRA ⇒ MAINSTAY ICAP INTERNATIONAL FUND A (ICEVX) | SP | $1,001 - $15,000 | Tax-Deferred | None | ☑ |
| IRA ⇒ MANAGERS AMG FUNDS YACTMAN FUND SERVICE CLASS (YACKX) | | $1,001 - $15,000 | Tax-Deferred | None | ☐ |
| IRA ⇒ MANNING & NAPIER FD INC WORLD OPPORTUNITIES (EXWAX) | SP | $1,001 - $15,000 | Tax-Deferred | None | ☑ |

| Asset | Owner | Value of Asset | Income Type(s) | Income | Tx. > $1,000? |
|---|---|---|---|---|---|
| IRA ⇒<br>NUVEEN INVT TRUST TRADEWINDS VALUE OPPTYS FUND CLASS I (NVORX) | | $1,001 - $15,000 | Tax-Deferred | None | ☐ |
| IRA ⇒<br>OPPENHEIMER INTL DIV CL Y SHS (OIDYX) | | $1,001 - $15,000 | Tax-Deferred | None | ☐ |
| IRA ⇒<br>OPPENHEIMER SENIOR FLOATING RATE FUND CLASS A (OOSAX) | SP | $1,001 - $15,000 | Tax-Deferred | None | ☑ |
| IRA ⇒<br>PARADIGM VALUE FUND (PVFAX) | SP | None | Tax-Deferred | None | ☑ |
| IRA ⇒<br>PERMANENT PORTFOLIO FD (PRPFX) | | $1,001 - $15,000 | Tax-Deferred | None | ☐ |
| IRA ⇒<br>PRUDENTIAL JENNISON MID-CAP GROWTH FUND INC A (PEEAX) | SP | None | Tax-Deferred | None | ☑ |
| IRA ⇒<br>RIVERPARK/WEDGEWOOD RETAIL FUNDS (RWGFX) | SP | $1,001 - $15,000 | Tax-Deferred | None | ☑ |
| IRA ⇒<br>SPDR S&P 500 (SPY) | SP | $15,001 - $50,000 | Tax-Deferred | None | ☑ |
| IRA ⇒<br>UBS BANK DEPOSIT ACCOUNT | SP | $1,001 - $15,000 | Tax-Deferred | None | ☐ |
| IRA ⇒<br>Vanguard FTSEEuropean ETF (VGK) | SP | $1,001 - $15,000 | Tax-Deferred | None | ☑ |
| IRA ⇒<br>Vanguard Total Bond Market ETF (BND) | SP | $1,001 - $15,000 | Tax-Deferred | None | ☐ |
| IRA ⇒<br>Vanguard Total Stock Market ETF (VTI) | SP | None | Tax-Deferred | None | ☑ |
| IRA ⇒<br>VIRTUS MULTI-SECTOR SHORT TERM BOND FUND CLASS A (NARAX) | SP | $1,001 - $15,000 | Tax-Deferred | None | ☐ |
| OTHER RETIREMENT ⇒<br>INDIANA 401(a) PLAN - INDIANA FUND 2035 | | $1,001 - $15,000 | Tax-Deferred | None | ☐ |

| Asset | Owner | Value of Asset | Income Type(s) | Income | Tx. > $1,000? |
|---|---|---|---|---|---|
| DESCRIPTION: RETIREMENT ACCOUNT | | | | | |
| OTHER RETIREMENT ⇒<br>STATE OF INDIANA 401(a) PLAN - INDIANA STABLE VALUE FUND<br>DESCRIPTION: RETIREMENT ACCOUNT | | $1,001 - $15,000 | Tax-Deferred | None | ☐ |
| OTHER RETIREMENT ⇒<br>STATE OF INDIANA 457 PLAN - INDIANA FUND 2035<br>DESCRIPTION: RETIREMENT ACCOUNT | | $1,001 - $15,000 | Tax-Deferred | None | ☐ |
| OTHER RETIREMENT ⇒<br>STATE OF INDIANA 457 PLAN - STABLE VALUE FUND<br>DESCRIPTION: RETIREMENT ACCOUNT | | $1,001 - $15,000 | Tax-Deferred | None | ☐ |
| REAL ESTATE ⇒<br>RENTAL CONDO - MASS AVE<br>LOCATION: INDIANAPOLIS, IN, US | | $100,001 - $250,000 | Rent | $5,001 - $15,000 | ☐ |
| REAL ESTATE ⇒<br>RENTAL HOUSE - 54TH STREET<br>LOCATION: INDIANAPOLIS, IN, US | | $100,001 - $250,000 | Rent | $5,001 - $15,000 | ☐ |
| REAL ESTATE ⇒<br>RENTAL TOWNHOUSE<br>LOCATION: INDIANAPOLIS, IN, US | | $100,001 - $250,000 | Rent | $5,001 - $15,000 | ☐ |
| RIRA ⇒<br>FIRST EAGLE GLOBAL INC GLOBAL FD CL A (SGENX) | | $1,001 - $15,000 | Tax-Deferred | None | ☐ |

* Asset class details available at the bottom of this form.

## Schedule B: Transactions

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > $200? |
|---|---|---|---|---|---|
| 401(k) ⇒<br>ARTISAN VALUE FUND (ARTLX) | SP | 09/16/2013 | P | $1,001 - $15,000 | |
| 401(k) ⇒<br>NUVEEN NWQ LARGE CAP VALUE FUND (NQCAX) | SP | 09/16/2013 | S | $1,001 - $15,000 | ☐ |
| 529 Plan ⇒<br>COLLEGECHOICE529 - INFLATION-PROTECTED | SP | 01/7/2013 | P | $1,001 - $15,000 | |

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > $200? |
|---|---|---|---|---|---|
| PORTFOLIO<br>Location: US<br>Description: 529 DIRECT SAVINGS PLAN | | | | | |
| IRA ⇒<br>FMI LARGE CAP FUND (FMIHX) | SP | 06/6/2013 | P | $1,001 - $15,000 | |
| IRA ⇒<br>FMI LARGE CAP FUND (FMIHX) | SP | 11/18/2013 | P | $1,001 - $15,000 | |
| IRA ⇒<br>FRANKLIN/TEMPLETON GLOBAL BOND FUND (TPINX) | SP | 11/20/2013 | S (partial) | $1,001 - $15,000 | ☐ |
| IRA ⇒<br>iShares 1-3 Year Credit Bond ETF (CSJ) | SP | 10/22/2013 | P | $1,001 - $15,000 | |
| IRA ⇒<br>iShares Core S&P Small-Cap ETF (IJR) | SP | 01/28/2013 | P | $1,001 - $15,000 | |
| IRA ⇒<br>iShares Core S&P Small-Cap ETF (IJR) | SP | 06/25/2013 | S (partial) | $1,001 - $15,000 | ☑ |
| IRA ⇒<br>iShares Core S&P Small-Cap ETF (IJR) | SP | 11/20/2013 | P | $1,001 - $15,000 | |
| IRA ⇒<br>iShares Core S&P Small-Cap ETF (IJR) | SP | 12/27/2013 | P | $1,001 - $15,000 | |
| IRA ⇒<br>iShares Gold Trust (IAU) | SP | 03/18/2013 | S | $1,001 - $15,000 | ☐ |
| IRA ⇒<br>ISHARES MSCI EAFE INDEX FUND (ETF) | SP | 06/25/2013 | S | $1,001 - $15,000 | ☐ |
| IRA ⇒<br>iShares Russell Mid-Cap ETF (IWR) | SP | 11/20/2013 | P | $1,001 - $15,000 | |
| IRA ⇒<br>iShares Russell Midcap Growth ETF (IWP) | SP | 08/23/2013 | P | $1,001 - $15,000 | |
| IRA ⇒<br>iShares Russell Midcap Growth ETF (IWP) | SP | 11/20/2013 | P | $1,001 - $15,000 | |

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > $200? |
|---|---|---|---|---|---|
| IRA ⇒ JOHN HANCOCK DISCIPLINED VALUE MID CAP FUND CLASS A (JVMAX) | SP | 11/20/2013 | P | $1,001 - $15,000 | |
| IRA ⇒ JP MORGAN COR BOND FUND SELECT (WOBDX) | SP | 11/18/2013 | S (partial) | $1,001 - $15,000 | ☐ |
| IRA ⇒ LOOMIS SAYLES INVESTMENT GRADE BOND FUND CLASS A (LIGRX) | SP | 11/20/2013 | S | $1,001 - $15,000 | ☐ |
| IRA ⇒ MAINSTAY ICAP INTERNATIONAL FUND (ICEVX) | SP | 10/22/2013 | P | $1,001 - $15,000 | |
| IRA ⇒ MAINSTAY ICAP INTERNATIONAL FUND A (ICEVX) | SP | 11/20/2013 | P | $1,001 - $15,000 | |
| IRA ⇒ MANNING & NAPIER FD INC WORLD OPPORTUNITIES (RWGFX) | SP | 11/18/2013 | P | $1,001 - $15,000 | |
| IRA ⇒ OPPENHEIMER SENIOR FLOATING RATE FUND (OOSAX) | SP | 06/6/2013 | P | $1,001 - $15,000 | |
| IRA ⇒ OPPENHEIMER SENIOR FLOATING RATE FUND (OOSAX) | SP | 06/13/2013 | P | $1,001 - $15,000 | |
| IRA ⇒ OPPENHEIMER SENIOR FLOATING RATE FUND CLASS A (OOSAX) | SP | 11/20/2013 | S (partial) | $1,001 - $15,000 | ☐ |
| IRA ⇒ PARADIGM VALUE BOND FUND (PVFAX) | SP | 01/29/2013 | S | $1,001 - $15,000 | ☑ |
| IRA ⇒ PIMCO TOTAL RETURN FUND CLASS A (PTTAX) | SP | 06/25/2013 | S (partial) | $1,001 - $15,000 | ☐ |
| IRA ⇒ PIMCO TOTAL RETURN FUND CLASS A (PTTAX) | SP | 11/20/2013 | S | $1,001 - $15,000 | ☐ |
| IRA ⇒ PRUDENTIAL JENNISON MID-CAP GROWTH FUND INC A (PEEAX) | SP | 08/23/2013 | S | $1,001 - $15,000 | ☑ |

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > $200? |
|---|---|---|---|---|---|
| IRA ⇒ RIVERPARK/WEDGEWOOD RETAIL FUNDS (RWGFX) | SP | 06/6/2013 | P | $1,001 - $15,000 | |
| IRA ⇒ RIVERPARK/WEDGEWOOD RETAIL FUNDS (RWGFX) | SP | 11/18/2013 | P | $1,001 - $15,000 | |
| IRA ⇒ SPDR Barclays 1-3 Month T-Bill ETF (BIL) | SP | 01/24/2013 | S (partial) | $1,001 - $15,000 | ☐ |
| IRA ⇒ SPDR Barclays 1-3 Month T-Bill ETF (BIL) | SP | 03/18/2013 | P | $1,001 - $15,000 | |
| IRA ⇒ SPDR Barclays 1-3 Month T-Bill ETF (BIL) | SP | 06/6/2013 | S (partial) | $1,001 - $15,000 | ☐ |
| IRA ⇒ SPDR Barclays 1-3 Month T-Bill ETF (BIL) | SP | 06/13/2013 | P | $1,001 - $15,000 | |
| IRA ⇒ SPDR Barclays 1-3 Month T-Bill ETF (BIL) | SP | 06/25/2013 | P | $1,001 - $15,000 | |
| IRA ⇒ SPDR Barclays 1-3 Month T-Bill ETF (BIL) | SP | 10/17/2013 | S | $1,001 - $15,000 | ☐ |
| IRA ⇒ SPDR S&P 500 (SPY) | SP | 06/6/2013 | S (partial) | $1,001 - $15,000 | ☑ |
| IRA ⇒ SPDR S&P 500 (SPY) | SP | 11/20/2013 | P | $1,001 - $15,000 | |
| IRA ⇒ Vanguard FTSEEuropean ETF (VGK) | SP | 11/20/2013 | P | $1,001 - $15,000 | |
| IRA ⇒ Vanguard Total Bond Market ETF (BND) | SP | 06/25/2013 | S (partial) | $1,001 - $15,000 | ☐ |
| IRA ⇒ Vanguard Total Bond Market ETF (BND) | SP | 11/20/2013 | S (partial) | $1,001 - $15,000 | ☐ |
| IRA ⇒ Vanguard Total Bond Market ETF (BND) | SP | 12/27/2013 | S (partial) | $1,001 - $15,000 | ☐ |
| IRA ⇒ Vanguard Total Stock Market ETF (VTI) | SP | 01/24/2013 | P | $1,001 - $15,000 | |

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > $200? |
|---|---|---|---|---|---|
| | | | | | |
| IRA ⇒<br>Vanguard Total Stock Market ETF (VTI) | SP | 06/13/2013 | S (partial) | $1,001 - $15,000 | ☑ |
| IRA ⇒<br>Vanguard Total Stock Market ETF (VTI) | SP | 10/22/2013 | P | $1,001 - $15,000 | |
| IRA ⇒<br>Vanguard Total Stock Market ETF (VTI) | SP | 11/20/2013 | S | $1,001 - $15,000 | ☑ |
| IRA ⇒<br>VIRTUS MULTI-SECTOR SHORT TERM BOND FUND (NARAX) | SP | 11/20/2013 | S (partial) | $1,001 - $15,000 | ☐ |

* Asset class details available at the bottom of this form.

## Schedule C: Earned Income

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

## Schedule D: Liabilities

| Owner | Creditor | Date Incurred | Type | Amount of Liability |
|---|---|---|---|---|
| JT | CHASE BANK | JULY 2012 | MORTGAGE ON PRINCIPAL RESIDENCE | $250,001 - $500,000 |
| SP | OCWEN | APRIL 2011 | MORTGAGE ON INDIANAPOLIS RENTAL TOWNHOUSE | $100,001 - $250,000 |
| JT | OCWEN | FEB 2010 | MORTGAGE ON 54TH ST RENTAL HOUSE | $50,001 - $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 |
| | 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

| Trip Details | | | | Inclusions | | |
|---|---|---|---|---|---|---|
| **Source** | **Start Date** | **End Date** | **Itinerary** | **Lodging?** | **Food?** | **Family?** |
| REPUBLIC OF TURKEY (MECEA APPROVED TRIP) | 04/27/2013 | 05/1/2013 | WASHINGTON, DC - ISTANBUL - ANKARA - ISTANBUL - CHICAGO | ☑ | ☑ | ☐ |

## Schedule I: Payments Made to Charity in Lieu of Honoraria

None disclosed.

## Schedule A and B Asset Class Details

- 401(k) (Owner: SP)
- 529 Plan (Owner: SP)
  Location: IN
- Investment
  Location: US
- Investment (Owner: SP)
  Location: US
- IRA
- IRA (Owner: SP)
- OTHER RETIREMENT
- REAL ESTATE
  Location: US
- 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?

○ 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

## Comments

## 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:** Mr. Todd Rokita , 07/11/2014