



Filing ID #10003589

FINANCIAL DISCLOSURE REPORT

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FILER INFORMATION

Name: Mr. Mo Brooks
Status: Member
State/District: AL05

FILING INFORMATION

Filing Type: Amendment Report
Filing Year: 2013
Filing Date: 07/9/2014

SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Alliance Resource Partners Limited Partnership	JT	None	Capital Gains, Partnership distribution	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
DESCRIPTION: Alliance Resource Partners is a publicly traded partnership.					
American New Perspective F2		\$1,001 - \$15,000	Interest, Tax-Deferred	\$1 - \$200	<input checked="" type="checkbox"/>
Anworth Mortgage Asset Corporation (ANH)	SP	\$1,001 - \$15,000	Dividends, Tax-Deferred	\$201 - \$1,000	<input type="checkbox"/>
Ave Maria Rising Dividend		\$1,001 - \$15,000	Dividends, Tax-Deferred	\$1 - \$200	<input checked="" type="checkbox"/>
Baldwin County AL Board of Ed Bond	JT	\$1,001 - \$15,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Baldwin County Board of Education BE 5000	JT	None	Capital Gains, Dividends	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
BlackRock Income Trust Inc. (BKT)	JT	None	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
California EDL GACS Auth College & Univ. Revenue	JT	None	Capital Gains	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
Charles Schwab Corporation (SCHW)	JT	\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Consolidated Edison, Inc. (ED)	JT	None	Capital Gains, Dividends	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
Daphne Ala Ref Impt Wts	JT	\$1,001 - \$15,000	Interest	\$201 - \$1,000	<input checked="" type="checkbox"/>
DNP Select Income Fund, Inc. (DNP)	JT	None	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Dreyfus Strategic Municipal Bond Fund	SP	\$1,001 - \$15,000	Dividends, Tax-Deferred	\$201 - \$1,000	<input type="checkbox"/>
Duke Capital Corp. Bonds		\$1,001 - \$15,000	Interest, Tax-Deferred	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: These are corporate bonds.					
Duke Energy Corporation (DUK)	SP	\$1,001 - \$15,000	Dividends, Tax-Deferred	\$1 - \$200	<input type="checkbox"/>
Duke Energy Corporation (DUK)	JT	None	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Duke Energy Corporation (DUK)		\$1,001 - \$15,000	Dividends, Tax-Deferred	\$201 - \$1,000	<input type="checkbox"/>
Frontier Communications Corporation (FTR)	JT	None	Capital Gains, Dividends	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Frontier Communications Corp. was never reported because it never exceeded the \$1,000 value or \$200 income limits.					
Homewood Ala City Brd Ed Spl Tax Sch Wts Rev	JT	\$1,001 - \$15,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Hospitality Properites Trust (HPT)	JT	None	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Huntsville-Redstone Village Bonds	JT	\$1,001 - \$15,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Legg Mason Opportunity Trust Mutual Fund	SP	\$1,001 - \$15,000	Dividends, Tax-Deferred	\$1 - \$200	<input type="checkbox"/>
Legg Mason Special Investment Trust Mutual Fund	SP	\$1,001 - \$15,000	Dividends, Tax-	\$1 - \$200	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
			Deferred		
Madison Alabama RFDG Wts - Series B	JT	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	<input type="checkbox"/>
Managers AMG Yacktman Svc	SP	\$1,001 - \$15,000	Interest, Tax-Deferred	\$1 - \$200	<input checked="" type="checkbox"/>
Managers AMG Yacktman Svc		\$1,001 - \$15,000	Interest, Tax-Deferred	\$1 - \$200	<input checked="" type="checkbox"/>
Montevallo Ala Amern Vg Pub Edl Bldg A OID	JT	\$1,001 - \$15,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Morgan Stanley Bank, N. A.		\$1,001 - \$15,000	Interest	\$1 - \$200	<input type="checkbox"/>
Morgan Stanley Cap Tr V Gtd Cap Secs (MWO)	JT	\$1,001 - \$15,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Newcastle Investment Corporation Newcastle Investment Corporation (NCT)		\$1,001 - \$15,000	Dividends, Tax-Deferred	\$201 - \$1,000	<input type="checkbox"/>
Oakmark I		\$1,001 - \$15,000	Interest, Tax-Deferred	\$1 - \$200	<input checked="" type="checkbox"/>
Olsen Chiropractic, Huntsville, AL	JT	\$15,001 - \$50,000	Interest	\$2,501 - \$5,000	<input type="checkbox"/>
Redstone Federal Credit Union	JT	\$50,001 - \$100,000	Interest	\$1 - \$200	<input type="checkbox"/>
Retirement Systems of Alabama	JT	\$1,001 - \$15,000	None		<input type="checkbox"/>
Retirement Systems of Alabama		\$50,001 - \$100,000	None		<input type="checkbox"/>
Royce Fund Mutual Fund	SP	\$15,001 - \$50,000	Dividends, Tax-Deferred	\$1 - \$200	<input type="checkbox"/>
Royce Global Value Fund Consultant Class	JT	\$15,001 - \$50,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Royce Total Return Con	JT	\$50,001 - \$100,000	Dividends	\$5,001 - \$15,000	<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
RS Large Cap Alpha Fund Class A	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
San Joaquin Hills Ca Transportation-Highway Revenue Tolls	JT	None	Capital Gains	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
Sunoco Logistics Partners	JT	None	Capital Gains, Partnership distribution	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
DESCRIPTION: Sunoco Logistics Partners is a publicly traded partnership.					
Universal Health Realty Income Trust (UHT)	JT	None	Capital Gains, Dividends	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
Verizon Communications Inc. (VZ)	JT	None	Capital Gains, Dividends	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
W.P. Carey Inc. REIT (WPC)		\$15,001 - \$50,000	Partnership distribution, Tax-Deferred	\$1,001 - \$2,500	<input type="checkbox"/>

SCHEDULE B: TRANSACTIONS

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Alliance Resource Partners LP	JT	06/10/2013	S	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
DESCRIPTION: Alliance Resource Partners LP is a publicly traded partnership.					
American New Perspective		09/13/2013	P	\$1,001 - \$15,000	
Arlington Asset Investment Corp Class A (AI)	JT	06/10/2013	S	\$1,001 - \$15,000	<input type="checkbox"/>
Arlington Asset Investment Corp Class A (AI)		09/13/2013	S	\$1,001 - \$15,000	<input type="checkbox"/>
Ava Maria Rising Dividend		09/16/2013	P	\$1,001 - \$15,000	
Baldwin County AL Board of Ed Bond 11/6/08	JT	02/8/2013	S	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
BlackRock Income Trust Inc. (BKT)	JT	06/13/2013	S	\$1,001 - \$15,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
California EDL GACS Auth College & Univ. Revenue	JT	06/10/2013	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Consolidated Edison, Inc. (ED)	JT	06/13/2013	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Daphne Ala Ref Impt Wts	JT	08/9/2013	P	\$1,001 - \$15,000	
DNP Select Income Fund, Inc. (DNP)	JT	06/10/2013	S	\$15,001 - \$50,000	<input type="checkbox"/>
Duke Energy Corporation (DUK)	JT	06/12/2013	S	\$15,001 - \$50,000	<input type="checkbox"/>
Hospitality Properites Trust (HPT)	JT	06/13/2013	S	\$1,001 - \$15,000	<input type="checkbox"/>
Hugoton Royalty Trust (HGT)	JT	06/10/2013	S	\$1,001 - \$15,000	<input type="checkbox"/>
Manager AMG Yacktman Svc	SP	11/11/2013	P	\$1,001 - \$15,000	
Managers AMG Yacktman Svc		09/13/2013	P	\$1,001 - \$15,000	
New Residential Investment Corp. (NRZ)		09/13/2013	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
New York Community Bancorp, Inc. (NYCB)		09/13/2013	S	\$15,001 - \$50,000	<input type="checkbox"/>
Oakmark I		09/13/2013	P	\$1,001 - \$15,000	
Redwood Trust, Inc. (RWT)	JT	06/13/2013	S	\$1,001 - \$15,000	<input type="checkbox"/>
Royce Total Return Con	JT	02/8/2013	P	\$50,001 - \$100,000	
Royce Total Return Con	JT	05/10/2013	P	\$1,001 - \$15,000	
Royce Total Return Con	JT	10/4/2013	P	\$1,001 - \$15,000	
San Joaquin Hills Ca Transporatation-Highway Revenue Tolls	JT	06/10/2013	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Sunoco Logistics Partners	JT	06/12/2013	S	\$50,001 - \$100,000	<input checked="" type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
LOCATION: US DESCRIPTION: Sunoco Logistics Partners is a publicly traded partnership.					
Tobacco Settlement Finance Corp of Louisiana Bonds	JT	05/3/2013	S	\$1,001 - \$15,000	<input type="checkbox"/>
Universal Health Realty Income Trust (UHT)	JT	06/10/2013	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Verizon Communications Inc. (VZ)	JT	06/10/2013	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>

SCHEDULE C: EARNED INCOME

None disclosed.

SCHEDULE D: LIABILITIES

Owner	Creditor	Date Incurred	Type	Amount of Liability
JT	Capital Hill Tower	January 2011	Underlying mortgage on cooperative unit	\$250,001 - \$500,000

SCHEDULE E: POSITIONS

None disclosed.

SCHEDULE F: AGREEMENTS

Date	Parties To	Terms of Agreement
April 2014	Morris J. Brooks, Jr. and Retirement Systems of Alabama	Brooks receives monthly retirement benefit payments as a result of his past employment with the State of Alabama and his contributions into the Retirement Systems of Alabama.

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.

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

These non-disclosable events occurred: 1. CitiGroup Capital x 10% preferred stock was redeemed. 2. IMPAC Mortgage holdings stock was sold for less than the \$1,000 threshold. The sale did not generate over \$200 in capital gain, and the asset did not produce income of over \$200 of income during 2013. 3. Arlington Asset Investment Corp was not reported at 12/31/12 because its FMV as of that date was below \$1,000. This asset was sold for more than \$1,000, making the transaction reportable.

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. Mo Brooks , 07/9/2014