



Filing ID #10020180

# 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:** Member  
**State/District:** IN05

## FILING INFORMATION

**Filing Type:** Annual Report  
**Filing Year:** 2017  
**Filing Date:** 05/15/2018

## 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 ⇒ AMERICAN EUROPACIFIC GROWTH FU CL F2 (AEPFX) [MF]		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
IRA ⇒ AQR FDS MANAGED FUTURES STRATEGY FUND CL I (AQMIX) [MF]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
IRA ⇒ BLACKROCK FDS II CORE BOND PORT INSTL CLASS (BFMCX) [MF]		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
IRA ⇒ BLACKROCK FUNDS GLOBAL LONG/SHORT CR FD INSTITUTIONAL (BGCIX) [MF]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
IRA ⇒ BROOKFIELD INVT FUNDS GLOBAL LISTED REAL ESTATE FD CL Y (BLRYX) [MF]		None	Tax-Deferred		<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
IRA ⇒ DEUTSCHE SECS TR ENHANCED COMMODITY STRAT FD INSTL CLASS (SKIRX) [MF]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
IRA ⇒ EATON VANCE MUTUAL FDS TRUST GLOBAL MACRO ABSLT RETURN ADVTG FD CL I (EGRIX) [MF]		\$1,001 - \$15,000	Tax-Deferred	None	<input type="checkbox"/>
IRA ⇒ GOLDMAN SACHS TR FINL SQUARE TREAS INSTRS FD (FTIXX) [MF]		\$1 - \$1,000	Tax-Deferred		<input checked="" type="checkbox"/>
IRA ⇒ HARBOR FD CAP APPRECIATION FD INSTL CL (HACAX) [MF]		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
IRA ⇒ HARBOR FUND SMALL CAP VALUE FD INSTL CL (HASCX) [MF]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
IRA ⇒ INVESTMENT MANAGERS SER TR OAK RIDGE SMALL CP GROWTH FUND CL Y (ORIYX) [MF]		None	Tax-Deferred		<input checked="" type="checkbox"/>
IRA ⇒ JOHN HANCOCK FDS II GLOBAL ABSOLUTE RETURN STRATEGIES FD CL I (JHAIX) [MF]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
IRA ⇒ JOHN HANCOCK FUNDS II ABSOLUTE RETURN CURRENCY FD CL I (JCUIX) [MF]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
IRA ⇒ JP MORGAN TR I INTREPID VALUE FD SELECT CL (JPIVX) [MF]		\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
IRA ⇒ MERIDIAN FD INC SMALL CAP GROWTH FD INVESTOR CL (MISGX) [MF]		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
IRA ⇒ METROPOLITAN WEST FDS TOTAL RETURN (MWTIX) [MF]		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
IRA ⇒ MFS SER TR I VALUE FD CL I (MEIIX) [MF]		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
IRA ⇒ MFS SER TR X EMERGING MKTS DEBT FD CLASS I (MEDIX) [MF]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
IRA ⇒ NEUBERGER BERMAN ALTERNATIVE FDS - LONG SHORT FUND INSTL CL (NLSIX) [MF]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
IRA ⇒ NUVEEN INVT FDS INC REAL ESTATE SECS FUND CL I (FARCX) [MF]		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
IRA ⇒ OPPENHEIMER DEV MKTS CL Y (ODVYX) [MF]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
IRA ⇒ OPPENHEIMER INTL BD FD CLASS Y (OIBYX) [MF]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
IRA ⇒ OPPENHEIMER MAIN STR FDS CL Y (MIGYX) [MF]		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
IRA ⇒ PRINCIPAL FDS INC HIGH YIELD FD INSTL CL (PHYTX) [MF]		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
IRA ⇒ PRINCIPAL FDS INC MIDCAP FUND INSTL CLASS (PCBIX) [MF]		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
IRA ⇒ PRINCIPAL FUNDS INC GLOBAL REAL ESTATE SECS FUND INSTL CLASS (POSIX) [MF]		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Other Assets ⇒ ARLINGTON WAREHOUSE INVESTORS II, LTD [OL]  LOCATION: ARLINGTON, TX, US DESCRIPTION: INVESTMENT	SP	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
Other Assets ⇒ BROOKS KOCH & SORG [OL]  LOCATION: Indianapolis, IN, US DESCRIPTION: Income Listed in Earned Income COMMENTS: Please note: This asset was placed in this report per guidance from Ethics to clarify ownership of spouse's firm.	SP	\$1,001 - \$15,000	See Earned Income	None	<input type="checkbox"/>
Other Assets ⇒ BROOKS KOCH & SORG, LLC REAL ESTATE (OFFICE	SP	\$250,001 - \$500,000	Rent	\$15,001 - \$50,000	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
BUILDING) [OL]  LOCATION: INDIANAPOLIS, IN, US DESCRIPTION: INVESTMENT					
Other Assets ⇒ JP MORGAN CHASE [BA]	SP	\$1,001 - \$15,000	Interest	\$1 - \$200	<input type="checkbox"/>
Other Assets ⇒ MANSFIELD WAREHOUSE INVESTORS I, LTD [OL]  LOCATION: MANSFIELD, TX, US DESCRIPTION: INVESTMENT	SP	None	Capital Gains, Dividends	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Other Assets ⇒ O'DAY FARMBROOK, INC - JUSTICE LANE, LLC - VACANT LOT [OL]  LOCATION: Mansfield, TX, US DESCRIPTION: VACANT LOT	SP	\$250,001 - \$500,000	None		<input checked="" type="checkbox"/>
Other Assets ⇒ O'DAY FARMBROOK, INC - RTI, EQUITY, LLC - VACANT LOT [OL]  LOCATION: MANSFIELD, TX, US DESCRIPTION: VACANT LOT	SP	\$100,001 - \$250,000	None		<input checked="" type="checkbox"/>
Other Assets ⇒ O'DAY FARMBROOK, INC - WAREHOUSING FACILITY [OL]  LOCATION: ARLINGTON, TX, US DESCRIPTION: INVESTMENT	SP	\$1,000,001 - \$5,000,000	Interest, Rent	\$100,001 - \$1,000,000	<input checked="" type="checkbox"/>
Other Assets ⇒ O'DAY FARMBROOK, INC - WAREHOUSING FACILITY II [OL]  LOCATION: MANSFIELD, TX, US DESCRIPTION: WAREHOUSE	SP	\$500,001 - \$1,000,000	None		<input checked="" type="checkbox"/>
Other Assets ⇒ O'DAY LANDMAN LLC - MINERAL RIGHTS [OL]  LOCATION: ARLINGTON, TX, US DESCRIPTION: INVESTMENT	SP	\$15,001 - \$50,000	Interest, Royalties	\$5,001 - \$15,000	<input type="checkbox"/>
Other Assets ⇒ Onspira Therapeutics, Inc. [PS]  DESCRIPTION: PHARMACEUTICAL COMPANY INVESTMENT MALVERN, PA	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Other Assets ⇒ RALEXAR THERAPEUTICS, INC. [PS]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
DESCRIPTION: PHARMACEUTICAL COMPANY INVESTMENT MALVERN, PA COMMENTS: PLEASE NOTE: THE NAME CHANGED FROM ALEXAR THERAPEUTICS, INC. TO RALEXAR THERAPEUTICS, INC.					
Other Assets ⇒ T.O. HARRIS INVESTORS, LLC [OT]	SP	\$15,001 - \$50,000	Interest	None	<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	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
DESCRIPTION: PHARMACEUTICAL COMPANY INVESTMENT MALVERN, PA					
Other Assets ⇒ WELLS FARGO BANK [BA]	SP	\$1,001 - \$15,000	Interest	\$1 - \$200	<input type="checkbox"/>
Other Assets ⇒ ZOOMI, INC. [PS]	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
DESCRIPTION: TECHNOLOGY SOLUTIONS INVESTMENT MALVERN, PA					
OTHER ASSETS ⇒ JP MORGAN CHASE [BA]		\$1,001 - \$15,000	Interest	\$1 - \$200	<input type="checkbox"/>
Retirement ⇒ TIAA-CREF Lifecycle 2025 Fund Institutional Class (TCYIX) [MF]		\$100,001 - \$250,000	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 ⇒ BROOKFIELD INVT FUNDS GLOBAL LISTED REAL ESTATE FD CL Y (BLRYX) [MF]		08/28/2017	S	\$1,001 - \$15,000	<input type="checkbox"/>
IRA ⇒ GOLDMAN SACHS TR FINL SQUARE TREAS INSTRS FD (FTIXX) [MF]		08/29/2017	P	\$1,001 - \$15,000	
IRA ⇒ INVESTMENT MANAGERS SER TR OAK RIDGE SMALL CP GROWTH FUND CL Y (ORIYX) [MF]		08/28/2017	S	\$1,001 - \$15,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
IRA ⇒ JP MORGAN TR I INTREPID VALUE FD SELECT CL (JPIVX) [MF]		08/28/2017	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
IRA ⇒ MERIDIAN FD INC SMALL CAP GROWTH FD INVESTOR CL (MISGX) [MF]		08/28/2017	P	\$1,001 - \$15,000	
IRA ⇒ MFS SER TR I VALUE FD CL I (MEIIX) [MF]		08/28/2017	P	\$1,001 - \$15,000	
IRA ⇒ NUVEEN INVT FDS INC REAL ESTATE SECS FUND CL I (FARCX) [MF]		08/28/2017	P	\$1,001 - \$15,000	
IRA ⇒ OPPENHEIMER MAIN STR FDS CL Y (MIGYX) [MF]		08/28/2017	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
IRA ⇒ PRINCIPAL FDS INC MIDCAP FUND INSTL CLASS (PCBIX) [MF]		08/28/2017	P	\$1,001 - \$15,000	
IRA ⇒ PRINCIPAL FUNDS INC GLOBAL REAL ESTATE SECS FUND INSTL CLASS (POSIX) [MF]		08/28/2017	P	\$1,001 - \$15,000	
Other Assets ⇒ MANSFIELD WAREHOUSE INVESTORS I, LTD [OI]  DESCRIPTION: SALE OF MANSFIELD, TX INVESTMENT	SP	10/4/2017	S	\$250,001 - \$500,000	<input checked="" type="checkbox"/>
Other Assets ⇒ O'DAY FARBROOK, INC - JUSTICE LANE, LLC - VACANT LOT [OI]  DESCRIPTION: 1031 EXCHANGE	SP	12/7/2017	P	\$250,001 - \$500,000	
Other Assets ⇒ O'DAY FARBROOK, INC - RTI, EQUITY, LLC - VACANT LOT [OI]  DESCRIPTION: 1031 EXCHANGE	SP	12/7/2017	P	\$100,001 - \$250,000	
Other Assets ⇒ O'DAY FARBROOK, INC - WAREHOUSING FACILITY [OI]  DESCRIPTION: 1031 EXCHANGE	SP	10/7/2017	S (partial)	\$500,001 - \$1,000,000	<input type="checkbox"/>
Other Assets ⇒	SP	10/7/2017	S	\$500,001 -	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
O'DAY FARMBROOK, INC - WAREHOUSING FACILITY [OI] DESCRIPTION: 1031 EXCHANGE			(partial)	\$1,000,000	
Other Assets ⇒ O'DAY FARMBROOK, INC - WAREHOUSING FACILITY II [OI] DESCRIPTION: 1031 EXCHANGE	SP	12/7/2017	P	\$500,001 - \$1,000,000	
Other Assets ⇒ Onspira Therapeutics, Inc. [PS] LOCATION: US DESCRIPTION: Initial Purchase	SP	06/15/2017	P	\$15,001 - \$50,000	
Other Assets ⇒ Velicept Therapeutics, Inc. [OT] LOCATION: US DESCRIPTION: Purchase of shares	SP	04/8/2017	P	\$1,001 - \$15,000	

\* 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	\$100,001 - \$250,000
	AMERICAN EXPRESS	12/31/2017	REVOLVING LINE OF CREDIT	\$15,001 - \$50,000
	CABELA'S VISA	12/31/2017	REVOLVING CHARGE ACCOUNT	\$10,000 - \$15,000

## 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
ADVISORY COUNCIL MEMBER	IUPUI PUBLIC POLICY INSTITUTE

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	Days at Own Exp.	Lodging?	Food?	Family?
US ASSOC OF FRMER MEMBERS OF CONG/SASAKAWA PEACE FOUNDATION	02/18/2017	02/25/2017	WASHINGTON, DC - TOKYO, JAPAN - NAGOYA, JAPAN - WASHINGTON, DC	0	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
HARVARD LAW SCHOOL	11/5/2017	11/6/2017	INDIANAPOLIS, IN - CAMBRIDGE, MA - WASHINGTON, DC	0	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

SCHEDULE I: PAYMENTS MADE TO CHARITY IN LIEU OF HONORARIA

None disclosed.

SCHEDULE A AND B ASSET CLASS DETAILS

<ul style="list-style-type: none"><li>Insurance</li><li>IRA</li><li>Other Assets (Owner: SP) LOCATION: US</li><li>OTHER ASSETS LOCATION: US</li><li>Retirement</li></ul>
--



## 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 , 05/15/2018