



Filing ID #10015284

FINANCIAL DISCLOSURE REPORT

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FILER INFORMATION

Name: Hon. Susan W. Brooks
Status: Member
State/District: IN05

FILING INFORMATION

Filing Type: Annual Report
Filing Year: 2016
Filing Date: 05/15/2017

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		\$15,001 - \$50,000	None		<input type="checkbox"/>
IRA ⇒ AMERICAN EUROPACIFIC GROWTH FU CL F2 (AEPFX)		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
IRA ⇒ AQR FDS MANAGED FUTURES STRATEGY FUND CL I (AQMIX)		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
IRA ⇒ BLACKROCK FDS II CORE BOND PORT INSTL CLASS (BFMCX)		\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
IRA ⇒ BLACKROCK FUNDS GLOBAL LONG/SHORT CR FD INSTITUTIONAL (BGCIX)		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
IRA ⇒ BROOKFIELD INVT FUNDS GLOBAL LISTED REAL ESTATE FD CL Y (BLRYX)		\$1,001 - \$15,000	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)		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
IRA ⇒ EATON VANCE MUTUAL FDS TRUST GLOBAL MACRO ABSLT RETURN ADVTG FD CL I (EGRIX)		\$1,001 - \$15,000	Tax-Deferred	None	<input type="checkbox"/>
IRA ⇒ GOLDMAN SACHS TR FINL SQUARE TREAS INSTRS FD (FTIXX)		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
IRA ⇒ GOLDMAN SACHS TR FINL SQUARE TREAS INSTRS FD INSTL CL (FTIXX)		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
IRA ⇒ HARBOR FD CAP APPRECIATION FD INSTL CL (HACAX)		\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
IRA ⇒ HARBOR FUND SMALL CAP VALUE FD INSTL CL (HASCX)		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
IRA ⇒ INVESTMENT MANAGERS SER TR OAK RIDGE SMALL CP GROWTH FUND CL Y (ORIYX)		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
IRA ⇒ JOHN HANCOCK FDS II GLOBAL ABSOLUTE RETURN STRATEGIES FD CL I (JHAIX)		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
IRA ⇒ JOHN HANCOCK FUNDS II ABSOLUTE RETURN CURRENCY FD CL I (JCUIX)		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
IRA ⇒ JP MORGAN TR I INTREPID VALUE FD SELECT CL (JPIVX)		\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
IRA ⇒ METROPOLITAN WEST FDS TOTAL RETURN (MWTIX)		\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
IRA ⇒ MFS SER TR X EMERGING MKTS DEBT FD CLASS I (MEDIX)		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
IRA ⇒ NEUBERGER BERMAN ALTERNATIVE FDS - LONG SHORT FUND INSTL CL (NLSIX)		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
IRA ⇒ OPPENHEIMER DEV MKTS CL Y (ODVYX)		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
IRA ⇒ OPPENHEIMER INTL BD FD CLASS Y (OIBYX)		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
IRA ⇒ OPPENHEIMER MAIN STR FDS CL Y (MIGYX)		\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
IRA ⇒ PRINCIPAL FDS INC HIGH YIELD FD INSTL CL (PHYTX)		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
IRA ⇒ PRINCIPAL FDS INC MIDCAP FUND INSTL CLASS (PCBIX)		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Other Assets ⇒ ARLINGTON WAREHOUSE INVESTORS II, LTD	SP	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
LOCATION: ARLINGTON, TX, US DESCRIPTION: INVESTMENT					
Other Assets ⇒ BROOKS KOCH & SORG	SP	\$1,001 - \$15,000	See Earned Income	None	<input type="checkbox"/>
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.					
Other Assets ⇒ BROOKS KOCH & SORG, LLC REAL ESTATE (OFFICE BUILDING)	SP	\$250,001 - \$500,000	Rent	\$15,001 - \$50,000	<input type="checkbox"/>
LOCATION: INDIANAPOLIS, IN, US DESCRIPTION: INVESTMENT					
Other Assets ⇒ JP MORGAN CHASE	SP	\$1,001 - \$15,000	Interest	\$1 - \$200	<input type="checkbox"/>
Other Assets ⇒ MANSFIELD WAREHOUSE INVESTORS I, LTD	SP	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
LOCATION: MANSFIELD, TX, US DESCRIPTION: INVESTMENT					

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Other Assets ⇒ O'DAY FARMBROOK, INC - WAREHOUSING FACILITY LOCATION: ARLINGTON, TX, US DESCRIPTION: INVESTMENT	SP	\$5,000,001 - \$25,000,000	Interest, Rent	\$100,001 - \$1,000,000	<input type="checkbox"/>
Other Assets ⇒ O'DAY LANDMAN LLC - MINERAL RIGHTS LOCATION: ARLINGTON, TX, US DESCRIPTION: INVESTMENT	SP	\$15,001 - \$50,000	Interest, Royalties	\$5,001 - \$15,000	<input type="checkbox"/>
Other Assets ⇒ RALEXAR THERAPEUTICS, INC. DESCRIPTION: BUSINESS INVESTMENT COMMENTS: PLEASE NOTE: THE NAME CHANGED FROM ALEXAR THERAPEUTICS, INC. TO RALEXAR THERAPEUTICS, INC.	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
Other Assets ⇒ T.O. HARRIS INVESTORS, LLC DESCRIPTION: INVESTMENT COMMENTS: PLEASE NOTE: THERE ARE NO HARD ASSETS FOR THIS ENTITY AT THIS TIME.	SP	\$15,001 - \$50,000	Interest	\$1 - \$200	<input type="checkbox"/>
Other Assets ⇒ Velicept Therapeutics, Inc. DESCRIPTION: Investment	SP	\$1,001 - \$15,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Other Assets ⇒ WELLS FARGO BANK	SP	\$1,001 - \$15,000	Interest	\$1 - \$200	<input type="checkbox"/>
Other Assets ⇒ ZOOMI, INC. DESCRIPTION: INVESTMENT	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
OTHER ASSETS ⇒ JP MORGAN CHASE		\$1,001 - \$15,000	Interest	\$1 - \$200	<input type="checkbox"/>
Retirement ⇒ AMERCENT SMCAP VAL INV (ASV2)		None	Tax-Deferred		<input checked="" type="checkbox"/>
Retirement ⇒ AMERCENT STRAT ALLOC AGRSV INV (ASA2)		None	Tax-Deferred		<input checked="" type="checkbox"/>
Retirement ⇒ AMERCENT STRAT ALLOC MOD INV (ASM2)		None	Tax-Deferred		<input checked="" type="checkbox"/>
Retirement ⇒ AMERCENT VP CAPITAL APP INST (TEQU)		None	Tax-Deferred		<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Retirement ⇒ AMERFDS EUROPAC GRTH (AFEW)		None	Tax-Deferred		<input checked="" type="checkbox"/>
Retirement ⇒ AMERFDS FDAMENTAL INVS (AFFN)		None	Tax-Deferred		<input checked="" type="checkbox"/>
Retirement ⇒ GOLDMAN SACHS MONEY MARKET GOVT (GS/GA)		None	Tax-Deferred		<input checked="" type="checkbox"/>
Retirement ⇒ MFS INTL NEW DISCOVERY A (MID2)		None	Tax-Deferred		<input checked="" type="checkbox"/>
Retirement ⇒ ONE AMERICA MONEY MARKET FUND (BMON)		None	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: CASH ACCOUNT - NO REPORTABLE TRANSACTION					
Retirement ⇒ TIAA-CREF Lifecycle 2025 Fund Institutional Class (TCYIX)		\$100,001 - \$250,000	Tax-Deferred		<input checked="" type="checkbox"/>
Retirement ⇒ VANGUARD ST FEDERAL INV (VST2)		None	Tax-Deferred		<input checked="" type="checkbox"/>

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

SCHEDULE B: TRANSACTIONS

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
IRA ⇒ AQR FDS MANAGED FUTURES STRATEGY FUND CL I (AQMIX)		08/25/2016	P	\$1,001 - \$15,000	
IRA ⇒ BLACKROCK FDS II CORE BOND PORT INSTL CLASS (BFMCX)		08/25/2016	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
IRA ⇒ BLACKROCK FUNDS GLOBAL LONG/SHORT CR FD INSTITUTIONAL (BGCIX)		08/25/2016	P	\$1,001 - \$15,000	
IRA ⇒ BROOKFIELD INVT FUNDS GLOBAL LISTED REAL ESTATE FD CL Y (BLRYX)		08/25/2016	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
IRA ⇒ GOLDMAN SACHS TR FINL SQUARE TREAS INSTRS FD INSTL CL (FTIXX)		08/25/2016	P	\$1,001 - \$15,000	
IRA ⇒ HARBOR FD CAP APPRECIATION FD INSTL CL (HACAX)		08/25/2016	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
IRA ⇒ HARBOR FUND SMALL CAP VALUE FD INSTL CL (HASCX)		08/25/2016	P	\$1,001 - \$15,000	
IRA ⇒ JOHN HANCOCK FDS II GLOBAL ABSOLUTE RETURN STRATEGIES FD CL I (JHAIX)		08/25/2016	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
IRA ⇒ JOHN HANCOCK FUNDS II ABSOLUTE RETURN CURRENCY FD CL I (JCUIX)		08/25/2016	P	\$1,001 - \$15,000	
IRA ⇒ JP MORGAN TR I INTREPID VALUE FD SELECT CL (JPVIX)		08/25/2016	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
IRA ⇒ METROPOLITAN WEST FDS TOTAL RETURN (MWTIX)		08/25/2016	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
IRA ⇒ NEUBERGER BERMAN ALTERNATIVE FDS - LONG SHORT FUND INSTL CL (NLSIX)		08/25/2016	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
IRA ⇒ OPPENHEIMER INTL BD FD CLASS Y (OIBYX)		08/25/2016	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
IRA ⇒ OPPENHEIMER MAIN STR FDS CL Y (MIGYX)		08/25/2016	P	\$15,001 - \$50,000	
IRA ⇒ PRINCIPAL FDS INC HIGH YIELD FD INSTL CL (PHYTX)		08/25/2016	P	\$1,001 - \$15,000	
IRA ⇒ PRINCIPAL FDS INC MIDCAP FUND INSTL CLASS (PCBIX)		08/25/2016	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Retirement ⇒ AMERCENT SMCAP VAL INV (ASV2)		06/10/2016	S	\$1,001 - \$15,000	<input type="checkbox"/>
Retirement ⇒ AMERCENT STRAT ALLOC AGRSV INV (ASA2)		06/10/2016	S	\$1,001 - \$15,000	<input type="checkbox"/>
Retirement ⇒ AMERCENT STRAT ALLOC MOD INV (ASM2)		06/10/2016	S	\$50,001 - \$100,000	<input type="checkbox"/>
Retirement ⇒ AMERCENT VP CAPITAL APP INST (TEQU)		06/10/2016	S	\$15,001 - \$50,000	<input type="checkbox"/>
Retirement ⇒ AMERFDS EUROPAC GRTH (AFEW)		06/10/2016	S	\$15,001 - \$50,000	<input type="checkbox"/>
Retirement ⇒ AMERFDS FDAMENTAL INVS (AFFN)		06/10/2016	S	\$15,001 - \$50,000	<input type="checkbox"/>
Retirement ⇒ GOLDMAN SACHS MONEY MARKET GOVT (GS/GA)		06/10/2016	S	\$15,001 - \$50,000	<input type="checkbox"/>
Retirement ⇒ MFS INTL NEW DISCOVERY A (MID2)		06/10/2016	S	\$15,001 - \$50,000	<input type="checkbox"/>
Retirement ⇒ TIAA-CREF Lifecycle 2025 Fund Institutional Class (TCYIX)		06/10/2016	P	\$100,001 - \$250,000	
Retirement ⇒ VANGUARD ST FEDERAL INV (VST2)		06/10/2016	S	\$15,001 - \$50,000	<input type="checkbox"/>

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

SCHEDULE C: EARNED INCOME

Source	Type	Amount
BROOKS, KOCH & SORG	SPOUSE SALARY	N/A
BEAM, LONGEST & NEFF LLC	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	SEPT 2008	PRIMARY RESIDENCE - LINE OF CREDIT	\$50,001 - \$100,000
	AMERICAN EXPRESS	12/31/2016	REVOLVING LINE OF CREDIT	\$15,001 - \$50,000

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?
Ripon Society	05/5/2016	05/6/2016	INDIANAPOLIS, IN - DALLAS, TX - INDIANAPOLIS, IN	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"> Insurance IRA
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- Other Assets (Owner: SP)

LOCATION: US

- OTHER ASSETS

LOCATION: US

- Retirement

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 , 05/15/2017