



Filing ID #10003941

# FINANCIAL DISCLOSURE REPORT

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## FILER INFORMATION

**Name:** Mr. Chris Rockwood  
**Status:** Congressional Candidate  
**State/District:** WI05

## FILING INFORMATION

**Filing Type:** Candidate Report  
**Filing Year:** 2014  
**Filing Date:** 08/24/2014

## SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Annette's EG 401k ⇒ PAI American Funds Money Market  DESCRIPTION: Exemplar Global 401k		\$1,001 - \$15,000	Tax-Deferred	None	None
Annette's IRA rollover ⇒ USAA Emerging Markets fund		\$1,001 - \$15,000	Dividends, Tax-Deferred	None	\$1 - \$200
Annette's IRA rollover ⇒ USAA Growth Fund		\$15,001 - \$50,000	Dividends, Tax-Deferred	None	\$201 - \$1,000
Annette's IRA rollover ⇒ USAA High Income fund		\$1,001 - \$15,000	Capital Gains, Dividends, Tax-Deferred	\$201 - \$1,000	\$201 - \$1,000
Annette's IRA rollover ⇒ USAA Income fund		\$15,001 - \$50,000	Capital Gains, Dividends, Tax-Deferred	\$201 - \$1,000	\$201 - \$1,000
Annette's IRA rollover ⇒ USAA Intermediate Term Bond fund		\$15,001 - \$50,000	Capital Gains, Dividends, Tax-Deferred	\$201 - \$1,000	\$1,001 - \$2,500

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Annette's IRA rollover ⇒ USAA International fund		\$15,001 - \$50,000	Dividends, Tax-Deferred	None	\$201 - \$1,000
Annette's IRA rollover ⇒ USAA Short Term Bond fund		\$1,001 - \$15,000	Dividends, Tax-Deferred	\$1 - \$200	\$201 - \$1,000
Annette's IRA rollover ⇒ USAA Small Cap Stock fund		\$15,001 - \$50,000	Capital Gains, Tax-Deferred	None	\$1,001 - \$2,500
Annette's IRA rollover ⇒ USAA Value fund		\$15,001 - \$50,000	Capital Gains, Dividends, Tax-Deferred	None	\$1,001 - \$2,500
Annette's Prudential fund ⇒ Prudential Core Equity Account  DESCRIPTION: Company investment plan - 401k		\$50,001 - \$100,000	Tax-Deferred	None	None
Annette's Prudential fund ⇒ Prudential Fidelity Government Income  DESCRIPTION: Company investment plan - 401k		\$1,001 - \$15,000	Tax-Deferred	None	None
Annette's Prudential fund ⇒ Prudential Fin Inc Com Stk fund  DESCRIPTION: Company investment account - 401k		\$1,001 - \$15,000	Tax-Deferred	None	None
Annette's Prudential fund ⇒ Prudential GE Inst Intl Eq Inv  DESCRIPTION: Company investment account - 401k		\$1,001 - \$15,000	Tax-Deferred	None	None
Annette's Prudential fund ⇒ Prudential Jennison Nat Resources  DESCRIPTION: Company investment account - 401k		\$1,001 - \$15,000	Tax-Deferred	None	None
Annette's Prudential fund ⇒ Prudential Large Cap Gro/Jennison fund  DESCRIPTION: Company investment plan - 401k		\$50,001 - \$100,000	Tax-Deferred	None	None
Annette's Prudential fund ⇒ Prudential PESP Fixed Rate fund  DESCRIPTION: Company investment plan - 401k		\$1,001 - \$15,000	Tax-Deferred	None	None
Annette's Prudential fund ⇒ Prudential Small Company Stock Account  DESCRIPTION: Company investment account - 401k		\$50,001 - \$100,000	Tax-Deferred	None	None

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Annette's Roth conversion IRA ⇒ USAA Aggressive Growth fund		\$1,001 - \$15,000	Capital Gains, Dividends	None	\$1 - \$200
Annette's Roth conversion IRA ⇒ USAA Emerging Markets fund		\$1,001 - \$15,000	Dividends	None	\$1 - \$200
Annette's Roth conversion IRA ⇒ USAA Growth Fund		\$1,001 - \$15,000	Dividends	None	\$1 - \$200
Annette's Roth conversion IRA ⇒ USAA International fund		\$1,001 - \$15,000	Dividends	None	\$1 - \$200
Annette's Roth conversion IRA ⇒ USAA World Growth fund		\$1,001 - \$15,000	Capital Gains, Dividends	None	\$1 - \$200
Annette's Roth IRA ⇒ USAA Aggressive Growth fund		\$1,001 - \$15,000	Capital Gains, Dividends	None	\$201 - \$1,000
Annette's Roth IRA ⇒ USAA Emerging Markets fund		\$15,001 - \$50,000	Dividends	None	\$1 - \$200
Annette's Roth IRA ⇒ USAA Growth Fund		\$1,001 - \$15,000	Dividends	None	\$1 - \$200
Annette's Roth IRA ⇒ USAA International fund		\$1,001 - \$15,000	Dividends	None	\$1 - \$200
Annette's Roth IRA ⇒ USAA Money Market fund		\$1 - \$1,000	None		
Annette's Roth IRA ⇒ USAA Target Retirement 2020 fund		\$15,001 - \$50,000	Dividends, Interest	None	\$201 - \$1,000
Annette's Roth IRA ⇒ USAA World Growth fund		\$1,001 - \$15,000	Capital Gains, Dividends	None	\$201 - \$1,000
Chris' eTrade individual ⇒ JP Morgan California Money Market Fund		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
DESCRIPTION: Money market fund					
Chris' eTrade joint ⇒ JP Morgan California Money Market Fund		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
DESCRIPTION: Money market fund					
Chris' eTrade joint ⇒ Wave Systems Corp. - Class A (WAVX)		\$1 - \$1,000	Dividends	None	None
DESCRIPTION: Cash account					
Chris' Fidelity account ⇒ Fidelity cash account		\$1 - \$1,000	None		
DESCRIPTION: Cash account					
Chris' Fidelity account ⇒ Mentor Graphics Corporation (MENT)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
DESCRIPTION: Mentor 401k					
Chris' Mentor 401k ⇒ Mentor AF Europac Growth		\$50,001 - \$100,000	Dividends, Interest, Tax-Deferred	None	\$201 - \$1,000
DESCRIPTION: Mentor 401k					
Chris' Mentor 401k ⇒ Mentor Artisan SM Cap Value IS		\$15,001 - \$50,000	Dividends, Interest, Tax-Deferred	\$1 - \$200	\$1,001 - \$2,500
DESCRIPTION: Mentor 401k					
Chris' Mentor 401k ⇒ Mentor Managed Income Portfolio II CL 1		\$100,001 - \$250,000	Dividends, Interest, Tax-Deferred	\$201 - \$1,000	\$201 - \$1,000
DESCRIPTION: Stable value fund					
Chris' Mentor 401k ⇒ Mentor Moderate Portfolio		\$15,001 - \$50,000	Dividends, Interest, Tax-Deferred	None	None
DESCRIPTION: Blended fund					
Chris' Mentor 401k ⇒ Mentor Munder Mdep Growth		\$15,001 - \$50,000	Dividends, Interest, Tax-Deferred	None	\$201 - \$1,000
DESCRIPTION: Mentor 401k					
Chris' Mentor 401k ⇒ Mentor TRP Equity Income		\$50,001 - \$100,000	Dividends, Interest, Tax-Deferred	\$201 - \$1,000	\$1,001 - \$2,500
DESCRIPTION: Mentor 401k					
Chris' Mentor 401k ⇒ Mentor TRP New Horizons		\$1,001 - \$15,000	Dividends, Interest, Tax-Deferred	None	\$201 - \$1,000
DESCRIPTION: Mentor 401k					

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Chris' Mentor 401k ⇒ Mentor Vanguard Inst Index		\$15,001 - \$50,000	Dividends, Interest, Tax-Deferred	\$201 - \$1,000	\$1 - \$200
DESCRIPTION: Mentor 401k					
Chris' Mentor 401k ⇒ Mentor Vanguard MidCap Grth		\$1,001 - \$15,000	Dividends, Interest, Tax-Deferred	None	\$201 - \$1,000
DESCRIPTION: Mentor 401k					
Chris' Mentor 401k ⇒ Mentor Vanguard Sm Cap Idx Inst		\$1,001 - \$15,000	Dividends, Interest, Tax-Deferred	\$1 - \$200	\$1 - \$200
DESCRIPTION: Mentor 401k					
Chris' Roth IRA ⇒ USAA Government Securities fund		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$201 - \$1,000
Chris' Roth IRA ⇒ USAA International fund		\$1,001 - \$15,000	Dividends	None	\$1 - \$200
Chris' Roth IRA ⇒ USAA Money Market fund		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Chris' Roth IRA ⇒ USAA Precious Metals and Minerals fund		\$1,001 - \$15,000	Dividends	None	\$1 - \$200
Chris' Roth IRA ⇒ USAA Target Retirement 2020 fund		\$1,001 - \$15,000	Capital Gains, Dividends	None	\$1 - \$200
Chris' Roth IRA ⇒ USAA Target Retirement 2030 fund		\$1,001 - \$15,000	Capital Gains, Dividends	None	\$201 - \$1,000
Chris' Roth IRA ⇒ USAA World Growth fund		\$1 - \$1,000	Capital Gains, Dividends	None	\$1 - \$200
Joint USAA account ⇒ USAA Aggressive Growth fund		\$15,001 - \$50,000	Capital Gains, Dividends	None	\$2,501 - \$5,000
Joint USAA account ⇒ USAA Emerging Markets fund		\$50,001 - \$100,000	Dividends	None	\$201 - \$1,000
Joint USAA account ⇒ USAA Growth Fund		\$15,001 - \$50,000	Dividends	None	\$1 - \$200

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Joint USAA account ⇒ USAA International fund		\$15,001 - \$50,000	Dividends	None	\$201 - \$1,000
Joint USAA account ⇒ USAA Money Market fund		\$100,001 - \$250,000	Dividends	\$1 - \$200	\$1 - \$200
Joint USAA account ⇒ USAA Precious Metals and Minerals fund		\$1,001 - \$15,000	Dividends	None	\$1 - \$200
Joint USAA account ⇒ USAA Tax Exempt Intermediate Term fund		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	\$201 - \$1,000
Joint USAA account ⇒ USAA Tax Exempt Short Term fund		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$201 - \$1,000
Joint USAA account ⇒ USAA World Growth fund		\$50,001 - \$100,000	Capital Gains, Dividends	None	\$1,001 - \$2,500

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

SCHEDULE C: EARNED INCOME

Source	Type	Amount Current Year to Filing	Amount Preceding Year
Mentor Graphics Corp.	salary	\$99,399	\$163,163
American Society for Quality/Exemplar Global	spouse salary	\$48,472	\$50,488

SCHEDULE D: LIABILITIES

None disclosed.

SCHEDULE E: POSITIONS

Position	Name of Organization
Technical Marketing Engineer	Mentor Graphics Corp.

SCHEDULE F: AGREEMENTS

None disclosed.

SCHEDULE J: COMPENSATION IN EXCESS OF \$5,000 PAID BY ONE SOURCE

None disclosed.

## SCHEDULE A ASSET CLASS DETAILS

- Annette's EG 401k
- Annette's IRA rollover
- Annette's Prudential fund
- Annette's Roth conversion IRA
- Annette's Roth IRA
- Chris' eTrade individual  
LOCATION: US
- Chris' eTrade joint  
LOCATION: US
- Chris' Fidelity account  
LOCATION: US
- Chris' Mentor 401k
- Chris' Roth IRA
- Joint USAA account  
LOCATION: US

## 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

## COMMENTS

Reporting period ending July 31, 2014. This filing is timely because the Rockwood for Congress campaign did not exceed the \$5,000 fundraising or spending threshold until July 31, 2014.

## 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. Chris Rockwood , 08/24/2014