



Filing ID #10000593

# FINANCIAL DISCLOSURE REPORT

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## FILER INFORMATION

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

## FILING INFORMATION

**Filing Type:** Annual Report  
**Filing Year:** 2013  
**Filing Date:** 05/9/2014

## 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 ⇒ AQR FDS MANAGED FUTURES STRATEGY FD CL I (AQMIX)		\$1,001 - \$15,000	Tax-Deferred	None	<input type="checkbox"/>
IRA ⇒ ARTIO GLOBAL INVT FDS ABERDEEN TOTAL RETURN BD FD CL I (JBGIX)		\$15,001 - \$50,000	Tax-Deferred	None	<input checked="" type="checkbox"/>
IRA ⇒ ARTISAN FUNDS INC MID CAP VALUE FD INV SHS (ARTQX)		\$1,001 - \$15,000	Tax-Deferred	None	<input checked="" type="checkbox"/>
IRA ⇒ BROADVIEW FDS TR OPPORTUNITY FD (BVAOX)		\$1,001 - \$15,000	Tax-Deferred	None	<input checked="" type="checkbox"/>
COMMENTS: PLEASE NOTE THAT THIS ITEM WAS PREVIOUSLY NAMED FMI FDS INC FOCUS FUND.					
IRA ⇒ COHEN & STEER RLTY SHARES INC (CSRSX)		\$1,001 - \$15,000	Tax-Deferred	None	<input type="checkbox"/>
IRA ⇒		\$1,001 - \$15,000	Tax-Deferred	None	<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
EATON VANCE MUTUAL FDS TRUST GLOBAL MACRO ABSLT RETURN ADVTG FD CL I (EGRIX)					
IRA ⇒ GOLDMAN SACHS TR FINL SQUARE TREAS INSTRS FD (FTIXX)		\$1,001 - \$15,000	Tax-Deferred	None	<input checked="" type="checkbox"/>
IRA ⇒ HARBOR FD CAP APPRECIATION FD INSTL CL (HACAX)		\$15,001 - \$50,000	Tax-Deferred	None	<input checked="" type="checkbox"/>
IRA ⇒ HEARTLAND GROUP INC VALUE PLUS FD INSTL CL (HNVIX)		\$1,001 - \$15,000	Tax-Deferred	None	<input type="checkbox"/>
IRA ⇒ HIGHLAND LONG/SHORT EQUITY FUND CLASS Z (HEOZX)		\$1,001 - \$15,000	Tax-Deferred	None	<input type="checkbox"/>
COMMENTS: PLEASE NOTE THAT THIS ITEM WAS PREVIOUSLY NAMED PYXIS LONG/SHORT EQUITY FUND.					
IRA ⇒ JOHN HANCOCK FDS II GLOBAL ABSOLUTE RETURN STRATEGIES FD CL I (JHAIX)		\$1,001 - \$15,000	Tax-Deferred	None	<input type="checkbox"/>
IRA ⇒ JP MORGAN TR I INTREPID VALUE FD SELECT CL (JPIVX)		\$15,001 - \$50,000	Tax-Deferred	None	<input checked="" type="checkbox"/>
IRA ⇒ MAINSTAY FD HIGH YIELD CORPORATE BD FD CL I (MHYIX)		\$1,001 - \$15,000	Tax-Deferred	None	<input type="checkbox"/>
IRA ⇒ MANAGERS FDS BOND FD INSTL CL (MGBIX)		\$1,001 - \$15,000	Tax-Deferred	None	<input type="checkbox"/>
IRA ⇒ METROPOLITAN WEST FDS TOTAL RETURN (MWTIX)		\$1,001 - \$15,000	Tax-Deferred	None	<input type="checkbox"/>
IRA ⇒ MFS SER TR X EMERGING MKTS DEBT FD CLASS I (MEDIX)		\$1,001 - \$15,000	Tax-Deferred	None	<input type="checkbox"/>
IRA ⇒ NEUBERGER BERMAN ALTERNATIVE FDS - LONG SHORT FUND INSTL CL (NLSIX)		\$1,001 - \$15,000	Tax-Deferred	None	<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
IRA ⇒ OPPENHEIMER DEV MKTS CL Y (ODVYX)		\$1,001 - \$15,000	Tax-Deferred	None	<input type="checkbox"/>
IRA ⇒ OPPENHEIMER INTL BD FD CLASS Y (OIBYX)		\$1,001 - \$15,000	Tax-Deferred	None	<input type="checkbox"/>
IRA ⇒ PIMCO FDS PAC INVT MGMT SER TOTAL RETURN FD INSTL CL (PTTRX)		\$15,001 - \$50,000	Tax-Deferred	None	<input type="checkbox"/>
IRA ⇒ PIMCO FDS PAC INVT MGMT SER-COMMODITY REAL RETURN STRAT FD INSTL CL (PCRIX)		\$1,001 - \$15,000	Tax-Deferred	None	<input type="checkbox"/>
IRA ⇒ PIONEER SER TR I PIONEER OAK RIDGE SMALL CAP GROWTH FUND CL Y (ORIYX)		\$1,001 - \$15,000	Tax-Deferred	None	<input type="checkbox"/>
IRA ⇒ THORNBURG INTERNATIONAL VALUE FUND CLASS I (TGVIX)		\$1,001 - \$15,000	Tax-Deferred	None	<input type="checkbox"/>
IRA ⇒ THORNBURG INVT TR INVT INCOME BUILDER FD CL I (TIBIX)		\$1,001 - \$15,000	Tax-Deferred	None	<input 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 ⇒ CASTLE CREEK INVESTORS, LLC - BUILDING ONE	SP	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
LOCATION: INDIANAPOLIS, IN, US DESCRIPTION: INVESTMENT					

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Other Assets ⇒ CASTLE CREEK INVESTORS, LLC - BUILDING TWO  LOCATION: INDIANAPOLIS, IN, US DESCRIPTION: INVESTMENT	SP	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
Other Assets ⇒ MANSFIELD WAREHOUSE INVESTORS I, LTD  LOCATION: MANSFIELD, TX, US DESCRIPTION: INVESTMENT	SP	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
Other Assets ⇒ O'DAY FARMBROOK, INC - WAREHOUSING FACILITY  LOCATION: ARLINGTON, TX, US DESCRIPTION: INVESTMENT	SP	\$1,000,001 - \$5,000,000	Interest, Rent	\$50,001 - \$100,000	<input type="checkbox"/>
Other Assets ⇒ O'DAY LANDMAN LLC - MINERAL RIGHTS  LOCATION: ARLINGTON, TX, US DESCRIPTION: INVESTMENT	SP	\$100,001 - \$250,000	Interest, Royalties	\$50,001 - \$100,000	<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	\$1,001 - \$15,000	Interest	\$1 - \$200	<input type="checkbox"/>
Retirement ⇒ AMERCENT SMCAP VAL INV (ASV2)		\$1,001 - \$15,000	Tax-Deferred	None	<input type="checkbox"/>
Retirement ⇒ AMERCENT STRAT ALLOC AGRSV INV (ASA2)		\$1,001 - \$15,000	Tax-Deferred	None	<input type="checkbox"/>
Retirement ⇒ AMERCENT STRAT ALLOC MOD INV (ASM2)		\$50,001 - \$100,000	Tax-Deferred	None	<input type="checkbox"/>
Retirement ⇒ AMERCENT VP CAPITAL APP INST (TEQU)		\$1,001 - \$15,000	Tax-Deferred	None	<input type="checkbox"/>
Retirement ⇒ AMERFDS EUROPAC GRTH (AFEW)		\$15,001 - \$50,000	Tax-Deferred	None	<input type="checkbox"/>
Retirement ⇒ AMERFDS FDAMENTAL INVS (AFFN)		\$15,001 - \$50,000	Tax-Deferred	None	<input type="checkbox"/>
Retirement ⇒		\$15,001 - \$50,000	Tax-Deferred	None	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
MFS INTL NEW DISCOVERY A (MID2)					
Retirement ⇒ ONE AMERICA MONEY MARKET FUND (BMON)		\$15,001 - \$50,000	Tax-Deferred	None	<input type="checkbox"/>
Retirement ⇒ VANGUARD ST FEDERAL INV (VST2)		\$15,001 - \$50,000	Tax-Deferred	None	<input 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 ⇒ ARTIO GLOBAL INVT FDS ABERDEEN TOTAL RETURN BD FD (JBGIX)		06/18/2013	P	\$1,001 - \$15,000	
IRA ⇒ ARTIO GLOBAL INVT FDS ABERDEEN TOTAL RETURN BD FD (JBGIX)		09/24/2013	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
IRA ⇒ ARTISAN FUNDS INC MID CAP VALUE FD (ARTQX)		06/17/2013	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
IRA ⇒ ARTISANS FUNDS INC MID CAP VALUE FD (ARTQX)		09/24/2013	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
IRA ⇒ EATON VANCE GLOBAL MACRO ABSOLUTE RETURN FUND CLASS I (EAGMX)		06/18/2013	S	\$1,001 - \$15,000	<input type="checkbox"/>
IRA ⇒ EATON VANCE MUTUAL FDS TRUST GLOBAL MACRO ABSLT RETURN ADVTG FD CL I (EGRIX)		06/18/2013	P	\$1,001 - \$15,000	
IRA ⇒ FMI FDS INC FOCUS FUND (FMIOX)		06/18/2013	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
COMMENTS: PLEASE NOTE THAT THIS FUND CHANGED ITS NAME TO BROADVIEW FDS TR OPPORTUNITY FD (BVAOX)					
IRA ⇒ GOLDMAN SACHS TR FINL SQUARE TREAS INSTRS FD (FTIXX)		06/18/2013	P	\$1,001 - \$15,000	
IRA ⇒		09/24/2013	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
HARBOR FUND CAP APPRECIATION FD (HACAX)					
IRA ⇒ JP MORGAN TR I INTREPID VALUE FD (JPIVX)		06/17/2013	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
IRA ⇒ JP MORGAN TR I INTREPID VALUE FD (JPIVX)		09/24/2013	P	\$1,001 - \$15,000	
IRA ⇒ NEUBERGER BERMAN ALTERNATIVE FDS - LONG SHORT FUND INSTL CL (NLSIX)		06/17/2013	P	\$1,001 - \$15,000	
IRA ⇒ TURNER FDS SPECTRUM FD (TSPEX)		06/17/2013	S	\$1,001 - \$15,000	<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	\$100,001 - \$250,000

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

Position	Name of Organization
ADVISORY COUNCIL MEMBER	IUPUI PUBLIC POLICY INSTITUTE

## SCHEDULE F: AGREEMENTS

None disclosed.

## 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.

## SCHEDULE A AND B ASSET CLASS DETAILS

- Insurance
- IRA
- Other Assets (Owner: SP)  
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

## 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:** Mrs. Susan W. Brooks , 05/9/2014