



Filing ID #10023998

# FINANCIAL DISCLOSURE REPORT

---

Clerk of the House of Representatives • Legislative Resource Center • 135 Cannon Building • Washington, DC 20515

---

## FILER INFORMATION

**Name:** Hon. David Cheston Rouzer  
**Status:** Member  
**State/District:** NCo7

## FILING INFORMATION

**Filing Type:** Amendment Report  
**Filing Year:** 2017  
**Filing Date:** 06/20/2018

## SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income Tx. > \$1,000?
1ST GLOBAL RESEARCH & CONSULTING ⇒ FIDELITY GOVT MMKT CAPITAL RESERVES CL [IH]		\$1 - \$1,000	Tax-Deferred	<input type="checkbox"/>
1ST GLOBAL RESEARCH & CONSULTING ⇒ Oppenheimer Inter Diver FD Clas [IH]		\$1,001 - \$15,000	Capital Gains	\$1,001 - \$2,500 <input type="checkbox"/>
1ST GLOBAL RESEARCH & CONSULTING ⇒ OPPENHEIMER INTER DIVER FD CLAS A [IH]		\$1,001 - \$15,000	Tax-Deferred	<input type="checkbox"/>
DESCRIPTION: A portion of this was sold on November 30, 2016 and Vitrus Mid-Cap Core Cl 1 was bought.				
1ST GLOBAL RESEARCH & CONSULTING ⇒ T Rowe Price Blue Chip Growth Inc. [IH]		\$15,001 - \$50,000	Tax-Deferred	<input type="checkbox"/>
1ST GLOBAL RESEARCH & CONSULTING ⇒ T Rowe Price Cap Appreciation [IH]		None	None	<input type="checkbox"/>
1ST GLOBAL RESEARCH & CONSULTING ⇒ T ROWE PRICE CAP APPRECIATION [IH]		\$1,001 - \$15,000	Tax-Deferred	<input type="checkbox"/>
DESCRIPTION: This was sold on November 30, 2016 and additional shares of T Rowe Price Blue Chip Growth Inc. were bought.				
1ST GLOBAL RESEARCH & CONSULTING ⇒ VANGUARD SMALL CAP STOCK IND TRUST INV [IH]		\$1,001 - \$15,000	Tax-Deferred	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
1ST GLOBAL RESEARCH & CONSULTING ⇒ Virtus-Mid Cap Core Cl 1 [IH]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: This mutual fund was bought on November 30, 2016 from the partial sale of Oppenheimer Inter Diver FD Clas					
AMERICAN FUNDS ⇒ AMERICAN HIGH TRUST [MF]		\$1,001 - \$15,000	Tax-Deferred	None	<input type="checkbox"/>
AMERICAN FUNDS ⇒ AMERICAN MUTUAL FUND [MF]		\$50,001 - \$100,000	Tax-Deferred	None	<input type="checkbox"/>
AMERICAN FUNDS ⇒ CAPITAL INCOME BUILDER [MF]		\$50,001 - \$100,000	Tax-Deferred	None	<input type="checkbox"/>
AMERICAN FUNDS ⇒ FUNDAMENTAL INVESTORS [MF]		\$100,001 - \$250,000	Tax-Deferred		<input type="checkbox"/>
AMERICAN FUNDS ⇒ Growth Fund [MF]		\$50,001 - \$100,000	Tax-Deferred		<input type="checkbox"/>
AMERICAN FUNDS ⇒ INT'L GROWTH & INCOME [MF]		\$15,001 - \$50,000	Tax-Deferred	None	<input type="checkbox"/>
AMERICAN FUNDS ⇒ SMALL CAP World Fund [MF]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
ING DIRECT ⇒ SAVINGS [BA]		\$1 - \$1,000	Interest	\$1 - \$200	<input type="checkbox"/>
State of NC Defined Benefit Retirement Plan ⇒ Teachers & State Employees Retirement System and Legislative Retirement System Benefits [DB]		Undetermined	Tax-Deferred		<input type="checkbox"/>
TD WATERHOUSE CLEARING ⇒ Annaly Capital Management Inc (NLY) [ST]		\$1,001 - \$15,000	Tax-Deferred	None	<input type="checkbox"/>
TD WATERHOUSE CLEARING ⇒ AT&T Inc. (T) [ST]		\$1,001 - \$15,000	Tax-Deferred	None	<input type="checkbox"/>
TD WATERHOUSE CLEARING ⇒ BRK Inc (BRKK) [ST]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
TD WATERHOUSE CLEARING ⇒ Cascadian Therapeutics, Inc. (CASC) [ST]		\$1 - \$1,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: Oncothyreon Inc was sold on June 9, 2016 and Cascadian Therapeutics was purchased.					

Asset	Owner	Value of Asset	Income Type(s)	Income Tx. > \$1,000?
TD WATERHOUSE CLEARING ⇒ CASH [IH]		\$1,001 - \$15,000	Tax-Deferred	None <input type="checkbox"/>
TD WATERHOUSE CLEARING ⇒ Oncothyreon Inc. - Common Shares (ONTY) [ST]		None	Tax-Deferred	<input type="checkbox"/>
DESCRIPTION: This was sold on June 9, 2016 to purchase Cascadian Therapeutics Inc.				
TD WATERHOUSE CLEARING ⇒ Real Estate Select Sector SPDR Fund (XLRE) [ST]		\$1 - \$1,000	Tax-Deferred	<input type="checkbox"/>
DESCRIPTION: This new asset is a spinoff of Select Sector SPDR Trust. No new money was used for this investment.				
TD WATERHOUSE CLEARING ⇒ SELECT SECTOR SPDR TRUST ENERGY SELECT INDEX [EF]		\$1,001 - \$15,000	Tax-Deferred	None <input type="checkbox"/>
TD WATERHOUSE CLEARING ⇒ SELECT SECTOR SPDR TRUST FINANCIAL SELECT SECTOR FUND [EF]		\$1,001 - \$15,000	Tax-Deferred	None <input type="checkbox"/>
TD WATERHOUSE CLEARING ⇒ SPDR GOLD TR GOLD SHS ETF [EF]		\$1,001 - \$15,000	Tax-Deferred	None <input type="checkbox"/>
TD WATERHOUSE CLEARING ⇒ US PREFERRED STOCK ETF [EF]		\$1,001 - \$15,000	Tax-Deferred	None <input type="checkbox"/>
TD WATERHOUSE CLEARING ⇒ Visa Inc. (V) [ST]		\$1,001 - \$15,000	Tax-Deferred	None <input type="checkbox"/>
TD WATERHOUSE CLEARING ⇒ Whole Foods Market, Inc. (WFM) [ST]		\$1 - \$1,000	Tax-Deferred	None <input type="checkbox"/>
THE ROUZER COMPANY ⇒ R&C DISTRIBUTORS, LLC [OL]		None	None	<input type="checkbox"/>
LOCATION: BENSON/JOHNSTON, NC, US DESCRIPTION: WAREHOUSE DISTRIBUTORSHIP				
THE ROUZER COMPANY [OL]		None	None	<input type="checkbox"/>
LOCATION: BENSON/JOHNSTON, NC, US DESCRIPTION: MARKETING AND BUSINESS DEVELOPMENT				

\* 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

None disclosed.

SCHEDULE C: EARNED INCOME

None disclosed.

SCHEDULE D: LIABILITIES

Owner	Creditor	Date Incurred	Type	Amount of Liability
	Wells Fargo	March 2016	mortgage on home in Benson, NC	\$100,001 - \$250,000

SCHEDULE E: POSITIONS

None disclosed.

SCHEDULE F: AGREEMENTS

Date	Parties To	Terms of Agreement
January 2013	MYSELF AND THE STATE OF NC	RETIRED AND FORMER STATE LEGISLATORS HEALTH PLAN
January 2013	MYSELF AND THE STATE OF NC	TEACHERS AND STATE EMPLOYEES RETIREMENT SYSTEM AND LEGISLATIVE RETIREMENT SYSTEM BENEFITS BEGINNING AT AGE 60

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?
The Heritage Foundation	02/8/2017	02/11/2017	Washington, DC - New York, NY - Washington, DC	1	<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>1ST GLOBAL RESEARCH &amp; CONSULTING</li><li>AMERICAN FUNDS</li></ul>
---

- ING DIRECT  
LOCATION: US
- State of NC Defined Benefit Retirement Plan
- TD WATERHOUSE CLEARING
- THE ROUZER COMPANY  
LOCATION: US

## 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. David Cheston Rouzer , 06/20/2018