



Filing ID #10008279

# FINANCIAL DISCLOSURE REPORT

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## FILER INFORMATION

**Name:** Hon. Mo Brooks  
**Status:** Member  
**State/District:** AL05

## FILING INFORMATION

**Filing Type:** Amendment Report  
**Filing Year:** 2014  
**Filing Date:** 07/22/2015

## SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
American New Perspective F2		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Anworth Mortgage Asset Corporation (ANH)	SP	None	Tax-Deferred		<input checked="" type="checkbox"/>
Ave Maria Rising Dividend		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Baldwin County AL Board of Ed Bond	JT	\$1,001 - \$15,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Charles Schwab Corporation (SCHW)	JT	\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Clearbridge Special Inv. Tr I	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: This mutual fund changed its name during the year from Legg Mason Special Investment Trust Mutual Fund.					
Columbia Contrarian Core Z	SP	\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Daphne Ala Ref Impt Wts	JT	None	Capital Gains, Interest	\$1,001 - \$2,500	<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Decatur Ala City Brd Ed Spl Tax Sch	JT	\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input checked="" type="checkbox"/>
Digirad Corporation (DRAD)	JT	\$1,001 - \$15,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Dreyfus Strategic Municipal Bond Fund	SP	None	Tax-Deferred		<input checked="" type="checkbox"/>
Duke Capital Corp. Bonds		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: These are corporate bonds.					
Duke Energy Corporation (DUK)		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Duke Energy Corporation (DUK)	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Etowah Cnty Ala Brd Ed Cap Outlay	JT	\$1,001 - \$15,000	Interest	\$1 - \$200	<input checked="" type="checkbox"/>
Homewood Ala City Brd Ed Spl Tax Sch Wts Rev	JT	\$1,001 - \$15,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Huntsville-Redstone Village Bonds	JT	\$1,001 - \$15,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Inteliquent, Inc. (IQNT)		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Legg Mason Opportunity Trust Mutual Fund	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Madison Alabama RFDG Wts - Series B	JT	None	Capital Gains, Interest	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
Managers AMG Yacktman Svc	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Managers AMG Yacktman Svc		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Mobile Cnty Ala Brd Sch Commrs Cap	JT	\$1,001 - \$15,000	Interest	\$1 - \$200	<input checked="" type="checkbox"/>
Montevallo Ala Amern Vg Pub Edl Bldg A OID	JT	\$1,001 - \$15,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Morgan Stanley Bank, N. A.		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Morgan Stanley Cap Tr V Gtd Cap Secs (MWO)	JT	None	Capital Gains, Interest	\$201 - \$1,000	<input checked="" type="checkbox"/>
Morgan Stanley Private Bank	JT	\$1,001 - \$15,000	Interest	\$1 - \$200	<input type="checkbox"/>
COMMENTS: This asset was named "Morgan Stanley Bank, N. A." in last year's filing.					
MS Liquid Asset Fund	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: This asset was named "Morgan Stanley Bank, N. A." in last year's filing.					
New Media Investment Group Inc. (NEWM)		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: This stock was acquired from a spin-off. Its value when acquired was less than \$1,000.					
New Senior Investment Group Inc. (SNR)		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Newcastle Investment Corporation Newcastle Investment Corporation (NCT)		\$1 - \$1,000	Tax-Deferred		<input type="checkbox"/>
Oakmark I		\$1 - \$1,000	Tax-Deferred		<input type="checkbox"/>
Olsen Chiropractic, Huntsville, AL	JT	None	Interest	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
COMMENTS: This debt to us was paid off by Olsen Chiropractic during 2014.					
Phenix City Al Sch Wts Genl Oblig	JT	\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input checked="" type="checkbox"/>
Pike Road Al OID	JT	\$1,001 - \$15,000	Interest	\$201 - \$1,000	<input checked="" type="checkbox"/>
Redstone Federal Credit Union	JT	\$50,001 - \$100,000	Interest	\$1 - \$200	<input type="checkbox"/>
Retirement Systems of Alabama	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
Retirement Systems of Alabama		\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
COMMENTS: Because Brooks turned 60 last year, he has been taking a monthly distribution from this retirement account.					
Royce Fund Mutual Fund	SP	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Royce Global Value Fund Consultant Class	JT	\$15,001 - \$50,000	Dividends	\$201 -	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
				\$1,000	
Royce Special EQ Multicap Cons	JT	\$50,001 - \$100,000	Capital Gains, Dividends	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
Royce Total Return Con	JT	\$50,001 - \$100,000	Capital Gains, Dividends	\$5,001 - \$15,000	<input type="checkbox"/>
RS Large Cap Alpha Fund Class A	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Seadrill Partners LLC Common Units Representing Limited Liability Company Interests (SDLP)	JT	\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Tenn Valley Authority Bond	JT	\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input checked="" type="checkbox"/>
W.P. Carey Inc. REIT (WPC)		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>

## SCHEDULE B: TRANSACTIONS

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Anworth Mortgage Asset Corporation (ANH)	SP	12/26/2014	S	\$1,001 - \$15,000	<input type="checkbox"/>
Columbia Contrarian Core Z	SP	12/26/2014	P	\$1,001 - \$15,000	
Daphne AL Ref Impt Wts	JT	08/11/2014	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Decatur Ala City Brd Ed Spl Tax Sch Wts	JT	07/3/2014	P	\$15,001 - \$50,000	
Digirad Corporation (DRAD)	JT	10/20/2014	P	\$1,001 - \$15,000	
Dreyfus Strategic Municipal Bond Fund, Inc. (DSM)	SP	03/28/2014	S	\$1,001 - \$15,000	<input type="checkbox"/>
Etowah Cnty Ala Brd Ed Cap Outlay Wts	JT	04/11/2014	P	\$1,001 - \$15,000	
Inteliquent, Inc. (IQNT)		08/18/2014	P	\$1,001 - \$15,000	
Madison Alabama RFDG Wts - Series B	JT	12/2/2014	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Mobile County Ala Brd Sch Commrscap Outlay WTS	JT	04/16/2014	P	\$1,001 - \$15,000	
Morgan Stanley Cap Tr V Gtd Cap Secs (MWO)	JT	05/5/2014	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
New Senior Investment Group Inc. (SNR)		11/7/2014	E	\$1,001 - \$15,000	
DESCRIPTION: This asset was acquired through a spin-off from Newcastle					
Phenix City AL Sch WTS GENL OBLIG-A	JT	03/28/2014	P	\$15,001 - \$50,000	
Pike Road AL OID	JT	06/18/2014	P	\$1,001 - \$15,000	
Royce Special EQ Multicap Cons	JT	05/5/2014	P	\$1,001 - \$15,000	
Royce Special EQ Multicap Cons	JT	08/4/2014	P	\$1,001 - \$15,000	
Royce Special EQ Multicap Cons	JT	08/11/2014	P	\$1,001 - \$15,000	
Royce Special EQ Multicap Cons	JT	09/2/2014	P	\$1,001 - \$15,000	
Royce Special EQ Multicap Cons	JT	10/3/2014	P	\$1,001 - \$15,000	
Royce Special EQ Multicap Cons	JT	11/6/2014	P	\$1,001 - \$15,000	
Royce Special EQ Multicap Cons	JT	12/2/2014	P	\$15,001 - \$50,000	
Seadrill Partners LLC Common Units Representing Limited Liability Company Interests (SDLP)	JT	11/3/2014	P	\$1,001 - \$15,000	
Tenn Valley Authority Bond	JT	09/8/2014	P	\$15,001 - \$50,000	

## SCHEDULE C: EARNED INCOME

Source	Type	Amount
Retirement Systems of Alabama	Retirement income	\$11,304

## SCHEDULE D: LIABILITIES

Owner	Creditor	Date Incurred	Type	Amount of Liability
JT	Capitol Hill Tower	January 2011	Underlying mortgage on cooperative unit	\$250,001 - \$500,000

SCHEDULE E: POSITIONS

None disclosed.

SCHEDULE F: AGREEMENTS

Date	Parties To	Terms of Agreement
April 2014	Morris J. Brooks, Jr. and Retirement Systems of Alabama	Brooks receives monthly retirement benefit payments as a result of his past employment with the State of Alabama and his contributions into the Retirement Systems of Alabama.

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	02/6/2014	02/8/2014	Washington, DC - Richmond, VA - Washington, DC	0	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

SCHEDULE I: PAYMENTS MADE TO CHARITY IN LIEU OF HONORARIA

None disclosed.

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:** Hon. Mo Brooks , 07/22/2015