



Filing ID #10014068

FINANCIAL DISCLOSURE REPORT

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

FILER INFORMATION

Name: Mr. Mike Sherzan
Status: Congressional Candidate
State/District: IA03

FILING INFORMATION

Filing Type: Candidate Report
Filing Year: 2016
Filing Date: 09/26/2016
Period Covered: 01/01/2015– 05/16/2016

SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Broker Dealer Financial Services Corp. 401(k) Plan ⇒ 5 Acres Land / Real Estate West Des Moines, Iowa LOCATION: West Des Moines/Dallas, IA, US		\$100,001 - \$250,000	None		
Broker Dealer Financial Services Corp. 401(k) Plan ⇒ Calamos Convertible Opportunities and Income Fund (CHI)		\$50,001 - \$100,000	Capital Gains, Dividends	\$2,501 - \$5,000	\$5,001 - \$15,000
Broker Dealer Financial Services Corp. 401(k) Plan ⇒ Yorkville High Income MLP (YMLP)		\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000	\$15,001 - \$50,000
Michael T. Sherzan IRA ⇒ Calamos Convertible Opportunities and Income Fund (CHI)		\$50,001 - \$100,000	Capital Gains, Dividends	None	None
Michael T. Sherzan IRA ⇒ Vaneck Vectors ETF TRET High Income MLP ETF		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	\$1,001 - \$2,500

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Sherzan Trust ⇒ 28 Acres Land / Real Estate LOCATION: West Des Moines / Dallas, IA, US	JT	\$500,001 - \$1,000,000	None		
Sherzan Trust ⇒ Advanaced Analytical Technology DESCRIPTION: Private Stock / Equity	JT	\$15,001 - \$50,000	None		
Sherzan Trust ⇒ Ally Bank Checking	JT	\$1,001 - \$15,000	Interest	\$1 - \$200	\$1 - \$200
Sherzan Trust ⇒ Ally Money Market	JT	\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Sherzan Trust ⇒ BDFSC Holdings Corp. DESCRIPTION: Sub S Corporation Tax Distribution for Shareholders Estimated Tax Payments	JT	\$1,000,001 - \$5,000,000	Tax Distributions	\$2,501 - \$5,000	\$100,001 - \$1,000,000
Sherzan Trust ⇒ BDFSC Holdings Corp. Note DESCRIPTION: BDFSC Holdings Corp. is a privately held business. It conducts business as a holding company for three financial services companies providing investment brokerage and advice for individual and commercial clients. Business is located in West Des Moines, Iowa.	JT	\$100,001 - \$250,000	Interest	\$50,001 - \$100,000	None
Sherzan Trust ⇒ DNS Properties LLC., 40% Interest LOCATION: West Des Moines / Dallas, IA, US DESCRIPTION: Commercial Property Owner	JT	\$100,001 - \$250,000	Dividends	\$15,001 - \$50,000	\$15,001 - \$50,000
Sherzan Trust ⇒ Trubank Checking	JT	\$50,001 - \$100,000	Interest	\$1 - \$200	\$1 - \$200
Susan A. Sherzan IRA ⇒ Money Market Fund		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Susan A. Sherzan IRA ⇒ Vaneck Vectors ETF TRET High Income MLP ETF		\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000	\$5,001 - \$15,000

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

SCHEDULE C: EARNED INCOME

Source	Type	Amount Current Year to Filing	Amount Preceding Year
Prudential Life Insurance Company of America	Commission from sale of life insurance policy.	\$2,426.12	\$2,426.12
Broker Dealer Financial Services Corp.	Salary and Commissions		\$556,911.00

SCHEDULE D: LIABILITIES

Owner	Creditor	Date Incurred	Type	Amount of Liability
JT	Luana Savings Bank	October 2012	Mortgage Personal Residence	\$250,001 - \$500,000
JT	Luana Savings Bank	March 2016	Mortgage Loan on Investment Property	\$250,001 - \$500,000
JT	Luana Savings Bank	October 2012	Home Owners Equity Line of Credit	\$250,001 - \$500,000
	Chase Bank	February 2015	Balance Transfer	\$15,001 - \$50,000
	Bank of America	February 2016	Balance Transfer	\$15,001 - \$50,000
	Luana Savings Bank	March 2011	DNS Properties LLC. Commercial Property Personal Guarantee	\$500,001 - \$1,000,000
	West Bank	November 2015	Personal Guarantee of Business Line of Credit	\$250,001 - \$500,000
	Capital One	May 2016	Credit Card Advance	\$10,000 - \$15,000

SCHEDULE E: POSITIONS

Position	Name of Organization
Chairman/President/CEO	BDFSC Holdings Corp.
Chairman/President/CEO	Broker Dealer Financial Services Corp.
Chairman/President/CEO	Investment Advisors Corp.
President	Sherzan Consulting
Member	DNS Properties LLC.
Trustee	Broker Dealer Financial Services Corp. 401(k) Plan
Trustee	Broker Dealer Financial Services Corp. Employee Stock Ownership Plan (ESOP)
Member	National Futures Association Introducing Broker Advisory Committee

Position	Name of Organization
Board Member	Jordon Creek Property Owners Association
Representative	National Football League Registered Player Financial Advisor
Chairman/President/CEO	Bankers Financial Services LLC.
Consultant	GLG Consulting

SCHEDULE F: AGREEMENTS

Date	Parties To	Terms of Agreement
January 2016	Broker Dealer Financial Services Corp. / Michael Sherzan	Health Insurance through COBRA
January 2016	BDFSC Holdings Corp. / Michael Sherzan	Redeemed approximately 4% of Corporate Stock and the Firm signed a note.

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

None disclosed.

SCHEDULE A ASSET CLASS DETAILS

- Broker Dealer Financial Services Corp. 401(k) Plan
- Michael T. Sherzan IRA
- Sherzan Trust (Owner: JT)
- Susan A. Sherzan IRA

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

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. Mike Sherzan , 09/26/2016