



Filing ID #10054681

# FINANCIAL DISCLOSURE REPORT

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## FILER INFORMATION

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

## FILING INFORMATION

**Filing Type:** Amendment Report  
**Filing Year:** 2021  
**Filing Date:** 05/15/2023

## SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Avantax Investment Services ⇒ Bank Deposit Sweep Program [BA]		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Avantax Investment Services ⇒ BARON EMERGING MARKETS FUND INSTL [MF]		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Avantax Investment Services ⇒ BARON SMALL CAP FUND INSTL CLASS [MF]		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Avantax Investment Services ⇒ Berkshire Hathaway Inc. New (BRK.B) [ST]		None	Tax-Deferred		<input checked="" type="checkbox"/>
DESCRIPTION: All of this stock was sold in two separate transactions as listed on Schedule B.					
Avantax Investment Services ⇒ DODGE & COX STOCK [MF]		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Avantax Investment Services ⇒ Eaton Vance Tax-Managed Global Diversified Equity Income Fund Eaton Vance Tax-Managed Global Diversi (EXG) [ST]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Avantax Investment Services ⇒ FIDELITY ADVISOR REAL ESTATE INC I [MF]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Avantax Investment Services ⇒ FIRST EAGLE GLOBAL CLASS I [MF]		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Avantax Investment Services ⇒ FIRST TR EXCHANGE TRADED FD II HEALTH [EF]		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Avantax Investment Services ⇒ FIRST TR EXCHANGE TRADED FD IV LOW [EF]  DESCRIPTION: This asset was sold as recorded on Schedule B.		None	Tax-Deferred		<input checked="" type="checkbox"/>
Avantax Investment Services ⇒ FIRST TR VALUE LINE DIVID INDEX FD SHS [EF]		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Avantax Investment Services ⇒ ISHARES RUSSELL 1000 INDEX FUND [EF]		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Avantax Investment Services ⇒ ISHARES TR U.S. MED DVC ETF [EF]		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Avantax Investment Services ⇒ ISHARES TRUST CORE DIVID GWTH [EF]		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Avantax Investment Services ⇒ ISHARES TRUST ISHARES CORE HIGH DIVIDEND [EF]		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Avantax Investment Services ⇒ Main Street Capital Corporation (MAIN) [ST]  DESCRIPTION: All of this stock was sold as listed on Schedule B.		None	Tax-Deferred		<input checked="" type="checkbox"/>
Avantax Investment Services ⇒ MFS INTERNATIONAL DIVERSIFICATION CLASS I [MF]		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Avantax Investment Services ⇒ Morgan Stanley International Advantage Class I [MF]		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Avantax Investment Services ⇒ PGIM TOTAL RETURN BOND CL Z [MF]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Avantax Investment Services ⇒ PIMCO ETF TR ACTIVE BD ETF [EF]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Avantax Investment Services ⇒ PIMCO INC CL 12 [MF]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Avantax Investment Services ⇒ PIMCO TOTAL RETURN FUND CL 12 [MF]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Avantax Investment Services ⇒ PRINCIPAL REAL ESTATE SEC INSTL CL [MF]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Avantax Investment Services ⇒ Select Sector SPDR TR Financial [EF]		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Avantax Investment Services ⇒ T Rowe Price Blue Chip Growth Inc. [IH]		\$100,001 - \$250,000	Tax-Deferred		<input type="checkbox"/>
Avantax Investment Services ⇒ T ROWE PRICE CAP APPRECIATION [IH]		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Avantax Investment Services ⇒ VANGUARD SMALL CAP STOCK INDEX ADMIRAL [MF]		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Avantax Investment Services ⇒ Virtus-Mid Cap Core Fund Cl 1 [MF]		\$50,001 - \$100,000	Tax-Deferred		<input type="checkbox"/>
First Citizens Bank ⇒ Personal Checking Account [BA]  COMMENTS: Not an interest bearing account		\$1,001 - \$15,000	None		<input type="checkbox"/>
Goldman Sachs Bank ⇒ Marcus Savings Account [BA]		\$1,001 - \$15,000	Interest	\$1 - \$200	<input checked="" 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 ⇒ Advanced Micro Devices, Inc. (AMD) [ST]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
TD WATERHOUSE CLEARING ⇒ Altria Group, Inc. (MO) [ST]		None	Tax-Deferred		<input checked="" type="checkbox"/>
TD WATERHOUSE CLEARING ⇒ Boeing Company (BA) [ST]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
TD WATERHOUSE CLEARING ⇒ BRK Inc (BRKK) [ST]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
TD WATERHOUSE CLEARING ⇒ CASH [IH]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
TD WATERHOUSE CLEARING ⇒ GLOBAL X FDS US PFD ETF [EF]		None	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: This asset was sold. There was not a transaction over \$1000.					
TD WATERHOUSE CLEARING ⇒ Mastercard Incorporated (MA) [ST]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
TD WATERHOUSE CLEARING ⇒ NVIDIA Corporation (NVDA) [ST]		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
TD WATERHOUSE CLEARING ⇒ Pinterest, Inc. Class A (PINS) [ST]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
TD WATERHOUSE CLEARING ⇒ Raytheon Technologies Corporation (RTX) [ST]		\$1 - \$1,000	Tax-Deferred		<input type="checkbox"/>
TD WATERHOUSE CLEARING ⇒ Select Sector SPDR Trust Technology ETF [EF]		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
TD WATERHOUSE CLEARING ⇒ SPDR GOLD TR GOLD SHS ETF [EF]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
TD WATERHOUSE CLEARING ⇒ SPDR Series Trust Portfolio S&P 1500 Comp STK ETF [EF]		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
TD WATERHOUSE CLEARING ⇒ SPDR Series Trust S&P Homebuilders ETF [EF]		None	Tax-Deferred		<input checked="" type="checkbox"/>
TD WATERHOUSE CLEARING ⇒ US GLOBAL JETS ETF [EF]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
TD WATERHOUSE CLEARING ⇒ Verizon Communications Inc. (VZ) [ST]		\$1 - \$1,000	Tax-Deferred		<input type="checkbox"/>
TD WATERHOUSE CLEARING ⇒ Visa Inc. (V) [ST]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
TD WATERHOUSE CLEARING ⇒ Wasatch Funds Micro Cap Investor [MF]		None	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: This fund was bought and sold within the calendar year and therefore, as of December 31, 2021, no longer owned. The transactions are included on Schedule B.					

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
TD WATERHOUSE CLEARING ⇒ Wasatch Ultra Growth Fund [MF]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Wasatch Global Investors ⇒ Wasatch Ultra Growth Fund [MF]		\$50,001 - \$100,000	Capital Gains, Dividends	\$2,501 - \$5,000	<input type="checkbox"/>

\* 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

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Avantax Investment Services ⇒ Berkshire Hathaway Inc. New (BRK.B) [ST]		11/15/2021	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Avantax Investment Services ⇒ Berkshire Hathaway Inc. New (BRK.B) [ST]		11/15/2021	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Avantax Investment Services ⇒ First Trust Exchange Traded FD IV Low Duration Opportunities ETF [EF]		11/15/2021	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Avantax Investment Services ⇒ ISHARES RUSSELL 1000 INDEX FUND [EF]		11/15/2021	P	\$1,001 - \$15,000	
Avantax Investment Services ⇒ ISHARES TR CORE DIVID GWTH [EF]		11/15/2021	P	\$1,001 - \$15,000	
Avantax Investment Services ⇒ ISHARES TR U.S. MED DVC ETF [EF]		11/10/2021	P	\$1,001 - \$15,000	
Avantax Investment Services ⇒ Main Street Capital Corporation (MAIN) [ST]		11/15/2021	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Avantax Investment Services ⇒ Morgan Stanley International Advantage Class I [MF]		10/27/2021	P	\$1,001 - \$15,000	
Avantax Investment Services ⇒ Select Sector SPDR TR Financial [EF]		11/10/2021	P	\$1,001 - \$15,000	
Avantax Investment Services ⇒ Vanguard Small-Cap Index Admiral [MF]		11/12/2021	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
TD WATERHOUSE CLEARING ⇒ Altria Group, Inc. (MO) [ST]		08/19/2021	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
TD WATERHOUSE CLEARING ⇒ Louisiana-Pacific Corporation (LPX) [ST]		04/15/2021	P	\$130.46	
TD WATERHOUSE CLEARING ⇒ Louisiana-Pacific Corporation (LPX) [ST]		07/19/2021	P	\$101.28	
TD WATERHOUSE CLEARING ⇒ NVIDIA Corporation (NVDA) [ST]		07/20/2021	P	\$1,001 - \$15,000	
TD WATERHOUSE CLEARING ⇒ Select Sector SPDR Trust Technology ETF [EF]		10/7/2021	P	\$1,001 - \$15,000	
TD WATERHOUSE CLEARING ⇒ SPDR Series Trust Portfolio S&P 1500 Comp STK ETF [EF]		03/10/2021	P	\$485.60	
TD WATERHOUSE CLEARING ⇒ SPDR Series Trust Portfolio S&P 1500 Comp STK ETF [EF]		07/6/2021	P	\$532.00	
TD WATERHOUSE CLEARING ⇒ SPDR Series Trust Portfolio S&P 1500 Comp STK ETF [EF]		10/7/2021	P	\$1,001 - \$15,000	
TD WATERHOUSE CLEARING ⇒ SPDR Series Trust S&P Homebuilders ETF [EF]		07/19/2021	S	\$1,001 - \$15,000	<input type="checkbox"/>
TD WATERHOUSE CLEARING ⇒ SPDR Series Trust SPDR S&P Homebuilders ETF [EF]		03/11/2021	P	\$1,001 - \$15,000	
TD WATERHOUSE CLEARING ⇒ Verizon Communications Inc. (VZ) [ST]		10/13/2021	P	\$254.92	
TD WATERHOUSE CLEARING ⇒ Wasatch Funds Micro Cap Investor [MF]		02/12/2021	P	\$1,000.00	
TD WATERHOUSE CLEARING ⇒ Wasatch Funds Micro Cap Investor [MF]		07/30/2021	S	\$904.14	<input type="checkbox"/>
Wasatch Global Investors ⇒ Wasatch Ultra Growth Fund [MF]		03/9/2021	P	\$1,001 - \$15,000	
DESCRIPTION: Transferal of funds from Marcus Savings Account for purchase of shares					

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Wasatch Global Investors ⇒ Wasatch Ultra Growth Fund [MF]		03/16/2021	P	\$1,001 - \$15,000	
DESCRIPTION: Transferal of funds from Marcus Savings Account for purchase of shares					

\* 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 C: EARNED INCOME

None disclosed.

## SCHEDULE D: LIABILITIES

Owner	Creditor	Date Incurred	Type	Amount of Liability
	Mr. Cooper Mortgage	May 2021	Refinance of home mortgage	\$250,001 - \$500,000
COMMENTS: The Money Source mortgage listed on the 2020 Financial Disclosure Report was paid in full and a new mortgage was taken out with Mr. Cooper Mortgage.				

## 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

None disclosed.

## SCHEDULE I: PAYMENTS MADE TO CHARITY IN LIEU OF HONORARIA

None disclosed.

## SCHEDULE A AND B ASSET CLASS DETAILS

- Avantax Investment Services
- First Citizens Bank  
LOCATION: US
- Goldman Sachs Bank  
LOCATION: US
- State of NC Defined Benefit Retirement Plan
- TD WATERHOUSE CLEARING
- Wasatch Global Investors  
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 Rouzer , 05/15/2023