



Filing ID #10037289

# FINANCIAL DISCLOSURE REPORT

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## FILER INFORMATION

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

## FILING INFORMATION

**Filing Type:** Annual Report  
**Filing Year:** 2019  
**Filing Date:** 08/13/2020

## 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 [WU]		\$15,001 - \$50,000	None		<input type="checkbox"/>
IRA ⇒ AMERICAN EUROPACIFIC GROWTH FU CL F2 (AEPFX) [MF]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
IRA ⇒ American Funds Washington Mutual Investors Fund Class F2 (WMFFX) [MF]		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
IRA ⇒ BAIRD FDS INC AGGREGATE BD FD INSL SHS CLASS I (BAGIX) [MF]		\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
IRA ⇒ Baron Small Cap Fund Institutional Class (BSFIX) [MF]		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
IRA ⇒ DODGE & COX FDS INTL STK FD (DODFX) [MF]		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
IRA ⇒ Eaton Vance Income Fund of Boston Class I (EIBIX) [MF]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
IRA ⇒ Edgewood Growth Fund Class Institutional (EGFIX) [MF]		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
IRA ⇒ GOLDMAN SACHS TR FINL SQUARE TREAS INSTRS FD (FTIXX) [MF]		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
IRA ⇒ HARBOR FD CAP APPRECIATION FD INSTL CL (HACAX) [MF]		\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
IRA ⇒ Lazard Emerging Markets Equity Portfolio Institutional Shares (LZEMX) [MF]		\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
IRA ⇒ MFS SER TR I VALUE FD CL I (MEIIX) [MF]		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
IRA ⇒ MFS SER TR X EMERGING MKTS DEBT FD CLASS I (MEDIX) [MF]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
IRA ⇒ T. Rowe Price Mid-Cap Growth Fund (RPMGX) [MF]		\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
IRA ⇒ T. Rowe Price Overseas Stock Fund (TROSX) [MF]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
IRA ⇒ Victory Sycamore Small Company Opportunity Fund Class I (VSOIX) [MF]		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
IRA ⇒ Virtus Ceredex Mid-Cap Value Equity Fund Class I (SMVTX) [MF]		\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
IRA ⇒ Virtus Vontobel Emerging Markets Opportunities Fund Class I (HIEMX) [MF]		\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Other Assets ⇒ ARLINGTON WAREHOUSE INVESTORS II, LTD	SP	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
[OL]					
LOCATION: ARLINGTON, TX, US DESCRIPTION: INVESTMENT					
Other Assets ⇒ BROOKS KOCH & SORG [OL]	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) [OL]	SP	\$250,001 - \$500,000	Rent	\$15,001 - \$50,000	<input type="checkbox"/>
LOCATION: INDIANAPOLIS, IN, US DESCRIPTION: INVESTMENT					
Other Assets ⇒ FLAGSTAR BANK [BA]	SP	\$1,001 - \$15,000	Interest	\$1 - \$200	<input type="checkbox"/>
Other Assets ⇒ NexEos Diagnostics, Inc [PS]	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
DESCRIPTION: Medical Diagnostics Company					
Other Assets ⇒ O'DAY FARMBROOK, INC - JUSTICE LANE, LLC - VACANT LOT [OL]	SP	\$250,001 - \$500,000	None		<input type="checkbox"/>
LOCATION: Mansfield, TX, US DESCRIPTION: VACANT LOT					
Other Assets ⇒ O'DAY FARMBROOK, INC - PSW OPPORTUNITY FUND - VACANT LOT [OL]	SP	\$100,001 - \$250,000	None		<input type="checkbox"/>
LOCATION: MANSFIELD, TX, US DESCRIPTION: PREVIOUSLY LISTED AS O'DAY FARMBROOK, INC - RTI EQUITY, LLC (VACANT LOT), WHICH WAS ASSIGNED TO PSW OPPORTUNITY FUND IN EXCHANGE FOR THE INTEREST IN PSW FUND					
Other Assets ⇒ O'DAY FARMBROOK, INC - WAREHOUSING FACILITY [OL]	SP	Spouse/DC Over \$1,000,000	Interest, Rent	\$100,001 - \$1,000,000	<input type="checkbox"/>
LOCATION: ARLINGTON, TX, US DESCRIPTION: INVESTMENT					
Other Assets ⇒ O'DAY FARMBROOK, INC - WAREHOUSING FACILITY II [OL]	SP	\$500,001 - \$1,000,000	None		<input type="checkbox"/>
LOCATION: MANSFIELD, TX, US DESCRIPTION: WAREHOUSE					

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Other Assets ⇒ O'DAY LANDMAN LLC - MINERAL RIGHTS [OL]	SP	\$15,001 - \$50,000	Interest, Royalties	\$5,001 - \$15,000	<input type="checkbox"/>
LOCATION: ARLINGTON, TX, US DESCRIPTION: INVESTMENT					
Other Assets ⇒ Onspira Therapeutics, Inc. [PS]	SP	\$15,001 - \$50,000	Interest	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
DESCRIPTION: PHARMACEUTICAL COMPANY INVESTMENT MALVERN, PA					
Other Assets ⇒ RALEXAR THERAPEUTICS, INC. [PS]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: PHARMACEUTICAL COMPANY INVESTMENT MALVERN, PA					
Other Assets ⇒ T.O. HARRIS INVESTORS, LLC [OT]	SP	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	<input type="checkbox"/>
DESCRIPTION: INVESTMENT COMMENTS: PLEASE NOTE: THERE ARE NO HARD ASSETS FOR THIS ENTITY AT THIS TIME.					
Other Assets ⇒ Velicept Therapeutics, Inc. [PS]	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
DESCRIPTION: PHARMACEUTICAL COMPANY INVESTMENT MALVERN, PA					
Other Assets ⇒ ZOOMI, INC. [PS]	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
DESCRIPTION: TECHNOLOGY SOLUTIONS INVESTMENT MALVERN, PA					
OTHER ASSETS ⇒ Myota, Inc. [PS]		\$15,001 - \$50,000	None		<input type="checkbox"/>
DESCRIPTION: INVESTMENT					
Retirement ⇒ TIAA-CREF Lifecycle 2025 Fund Institutional Class (TCYIX) [MF]		\$250,001 - \$500,000	Tax-Deferred		<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?
IRA ⇒ BAIRD FDS INC AGGREGATE BD FD INSL SHS CLASS I (BAGIX) [MF]		03/19/2019	P	\$15,001 - \$50,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
IRA ⇒ BAIRD FDS INC AGGREGATE BD FD INSL SHS CLASS I (BAGIX) [MF]		08/6/2019	P	\$1,001 - \$15,000	
IRA ⇒ Baron Small Cap Fund Institutional Class (BSFIX) [MF]  DESCRIPTION: REINVESTED GAINS		11/27/2019	P	\$1,001 - \$15,000	
IRA ⇒ DEUTSCHE SECS TR ENHANCED COMMODITY STRAT FD INSTL CLASS (SKIRX) [MF]		08/6/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
IRA ⇒ DODGE & COX FDS INTL STK FD (DODFX) [MF]		08/6/2019	P	\$1,001 - \$15,000	
IRA ⇒ GOLDMAN SACHS TR FINL SQUARE TREAS INSTRS FD (FTIXX) [MF]		08/7/2019	P	\$1,001 - \$15,000	
IRA ⇒ GOLDMAN SACHS TR FINL SQUARE TREAS INSTRS FD (FTIXX) [MF]		03/20/2019	P	\$1,001 - \$15,000	
IRA ⇒ HARBOR FD CAP APPRECIATION FD INSTL CL (HACAX) [MF]  DESCRIPTION: REINVENSTED GAINS		12/17/2019	P	\$1,001 - \$15,000	
IRA ⇒ Janus Henderson Flexible Bond Fund Class I (JFLEX) [MF]		03/19/2019	S	\$15,001 - \$50,000	<input type="checkbox"/>
IRA ⇒ Lazard Emerging Markets Equity Portfolio Institutional Shares (LZEMX) [MF]		08/6/2019	P	\$1,001 - \$15,000	
IRA ⇒ Oppenheimer International Growth Fund Class Y (OIGYX) [MF]		08/6/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
IRA ⇒ PRINCIPAL FUNDS INC GLOBAL REAL ESTATE SECS FUND INSTL CLASS (POSIX) [MF]		08/6/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
IRA ⇒ T. Rowe Price Mid-Cap Growth Fund (RPMGX) [MF]		08/6/2019	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
IRA ⇒ T. Rowe Price Mid-Cap Growth Fund (RPMGX) [MF]  DESCRIPTION: REINVESTED GAINS		12/16/2019	P	\$1,001 - \$15,000	
IRA ⇒ T. Rowe Price Real Estate Fund (TRREX) [MF]		08/6/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
IRA ⇒ Virtus Ceredex Mid-Cap Value Equity Fund Class I (SMVTX) [MF]		08/6/2019	P	\$1,001 - \$15,000	
IRA ⇒ Virtus Vontobel Emerging Markets Opportunities Fund Class I (HIEMX) [MF]		08/6/2019	P	\$1,001 - \$15,000	
Other Assets ⇒ NexEos Diagnostics, Inc [PS]  LOCATION: US DESCRIPTION: Initial investment in privately held medical diagnostics company.	SP	09/25/2019	P	\$15,001 - \$50,000	
Other Assets ⇒ Onspira Therapeutics, Inc [PS]  LOCATION: US DESCRIPTION: Additional aggregate investment with no change in ownership share.	SP	06/3/2019	P	\$1,001 - \$15,000	

\* 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

Source	Type	Amount
BEAM, LONGEST & NEFF LLC	SPOUSE SALARY	N/A
BROOKS, KOCH & SORG	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	APRIL 2017	PRIMARY RESIDENCE - LINE OF CREDIT	\$50,001 - \$100,000

Owner	Creditor	Date Incurred	Type	Amount of Liability
	CABELA'S MASTERCARD	12/31/2019	REVOLVING CHARGE ACCOUNT	\$15,001 - \$50,000

### 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

### SCHEDULE F: AGREEMENTS

None disclosed.

### 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?
Cooperative for Assistance and Relief Everywhere (CARE)	04/24/2019	04/28/2019	Atlanta, GA - Guatemala City - Washington, DC	0	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Hudson Institute and the Association of Marshall Scholars	12/12/2019	12/16/2019	Washington, DC - Oxford, England - London, England - 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.

### SCHEDULE A AND B ASSET CLASS DETAILS

<ul style="list-style-type: none"> <li>Insurance</li> <li>IRA</li> <li>Other Assets (Owner: SP) LOCATION: US</li> <li>OTHER ASSETS</li> </ul>
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LOCATION: US

- o 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

## 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. Susan W. Brooks , 08/13/2020