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FINANCIAL DISCLOSURE REPORT

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FILER INFORMATION

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

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?
Avantax Investment Services ⇒ Bank Deposit Sweep Program [BA]		\$1,001 - \$15,000	Tax-Deferred	<input type="checkbox"/>
Avantax Investment Services ⇒ BARON EMERGING MARKETS FUND INSTL [MF]		\$15,001 - \$50,000	Tax-Deferred	<input checked="" type="checkbox"/>
Avantax Investment Services ⇒ Berkshire Hathaway Inc. New (BRK.B) [ST]		\$15,001 - \$50,000	Tax-Deferred	<input checked="" type="checkbox"/>
Avantax Investment Services ⇒ DODGE & COX STOCK [MF]		\$15,001 - \$50,000	Tax-Deferred	<input checked="" 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 checked="" type="checkbox"/>
Avantax Investment Services ⇒ FIDELITY ADVISOR REAL ESTATE INC I [MF]		\$1,001 - \$15,000	Tax-Deferred	<input checked="" type="checkbox"/>
Avantax Investment Services ⇒ FIRST EAGLE GLOBAL CLASS I [MF]		\$1,001 - \$15,000	Tax-Deferred	<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income Tx. > \$1,000?
Avantax Investment Services ⇒ FIRST TR EXCHANGE TRADED FD II HEALTH [EF]		\$1,001 - \$15,000	Tax-Deferred	<input checked="" type="checkbox"/>
Avantax Investment Services ⇒ FIRST TR EXCHANGE TRADED FD IV LOW [EF]		\$1,001 - \$15,000	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 checked="" type="checkbox"/>
Avantax Investment Services ⇒ First TR Value Line Divid Index Fund [MF]		\$15,001 - \$50,000	Tax-Deferred	<input type="checkbox"/>
Avantax Investment Services ⇒ ISHARES TRUST ISHARES CORE HIGH DIVIDEND [EF]		\$15,001 - \$50,000	Tax-Deferred	<input checked="" type="checkbox"/>
Avantax Investment Services ⇒ Main Street Capital Corporation (MAIN) [ST]		\$15,001 - \$50,000	Tax-Deferred	<input checked="" type="checkbox"/>
Avantax Investment Services ⇒ MSF INTERNATIONAL DIVERSIFICATION CLASS I [MF]		\$15,001 - \$50,000	Tax-Deferred	<input checked="" type="checkbox"/>
Avantax Investment Services ⇒ OPPENHEIMER INTER DIVER FD CLAS A [IH]		\$1,001 - \$15,000	Tax-Deferred	<input type="checkbox"/>
Avantax Investment Services ⇒ PGIM TOTAL RETURN BOND CL Z [MF]		\$1,001 - \$15,000	Tax-Deferred	<input checked="" type="checkbox"/>
Avantax Investment Services ⇒ PIMCO ETF TR ACTIVE BD ETF [EF]		\$1,001 - \$15,000	Tax-Deferred	<input checked="" type="checkbox"/>
Avantax Investment Services ⇒ PIMCO INCOME CL 13 [MF]		\$15,001 - \$50,000	Tax-Deferred	<input checked="" type="checkbox"/>
Avantax Investment Services ⇒ PRINCIPAL REAL ESTATE SEC INSTL CL [MF]		\$1,001 - \$15,000	Tax-Deferred	<input checked="" type="checkbox"/>
Avantax Investment Services ⇒ T Rowe Price Blue Chip Growth Inc. [IH]		\$50,001 - \$100,000	Tax-Deferred	<input type="checkbox"/>
Avantax Investment Services ⇒ T ROWE PRICE CAP APPRECIATION [IH]		\$1,001 - \$15,000	Tax-Deferred	<input type="checkbox"/>
Avantax Investment Services ⇒ VANGUARD SMALL CAP STOCK IND TRUST INV [IH]		\$15,001 - \$50,000	Tax-Deferred	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Avantax Investment Services ⇒ Virtus-Mid Cap Core Fund Cl 1 [IH]		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Avantax Investment Services ⇒ WISDOMTREE TR US SMALLCAP FUND [EF]		\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
First Citizens Bank ⇒ Personal Checking Account [BA]		\$1,001 - \$15,000	None		<input type="checkbox"/>
Goldman Sachs Bank ⇒ Marcus Savings Account [BA]		\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	<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 ⇒ Amazon.com, Inc. (AMZN) [ST]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
TD WATERHOUSE CLEARING ⇒ Annaly Capital Management Inc (NLY) [ST]		None	Capital Gains	\$1 - \$200	<input type="checkbox"/>
TD WATERHOUSE CLEARING ⇒ AT&T Inc. (T) [ST]		None	Capital Gains	\$201 - \$1,000	<input 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"/>
TD WATERHOUSE CLEARING ⇒ Cascadian Therapeutics, Inc. (CASC) [ST]		None	Tax-Deferred		<input type="checkbox"/>
TD WATERHOUSE CLEARING ⇒ CASH [IH]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
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 type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income Tx. > \$1,000?
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	<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 ⇒ Visa Inc. (V) [ST]		\$1,001 - \$15,000	Tax-Deferred	None <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 ⇒ BARON EMERGING MARKETS FUND INSTL [MF]		02/27/2019	P	\$1,001 - \$15,000	
Avantax Investment Services ⇒ BARON EMERGING MARKETS FUND INSTL [MF]		04/2/2019	P	\$1,001 - \$15,000	
Avantax Investment Services ⇒ BARON SMALL CAP FUND INSTL CLASS [MF]		01/11/2019	P	\$1,001 - \$15,000	
Avantax Investment Services ⇒ BARON SMALL CAP FUND INSTL CLASS [MF]		02/5/2019	P	\$1,001 - \$15,000	
Avantax Investment Services ⇒ BARON SMALL CAP FUND INSTL CLASS [MF]		07/9/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Avantax Investment Services ⇒ Berkshire Hathaway Inc. New (BRK.B) [ST] DESCRIPTION: American Funds portfolio sold (Rollover IRA)		01/4/2019	P	\$1,001 - \$15,000	
Avantax Investment Services ⇒ DODGE & COX STOCK [MF]		01/3/2019	P	\$1,001 - \$15,000	
Avantax Investment Services ⇒ DODGE & COX STOCK [MF]		02/5/2019	P	\$1,001 - \$15,000	
Avantax Investment Services ⇒ Eaton Vance Tax-Managed Global Diversified Equity Income Fund Eaton Vance Tax-Managed Global Diversified Equity Income Fund Common Shares of Beneficia (EXG) [ST] DESCRIPTION: American Funds portfolio sold (Rollover IRA)		01/14/2019	P	\$1,001 - \$15,000	
Avantax Investment Services ⇒ Eaton Vance Tax-Managed Global Diversified Equity Income Fund Eaton Vance Tax-Managed Global Diversified Equity Income Fund Common Shares of Beneficial Interest (EXG) [ST] DESCRIPTION: American Funds portfolio sold (Rollover IRA)		02/28/2019	P	\$1,001 - \$15,000	
Avantax Investment Services ⇒ FIDELITY ADVISOR REAL ESTATE INC I [MF]		01/3/2019	P	\$1,001 - \$15,000	
Avantax Investment Services ⇒ FIRST EAGLE GLOBAL CLASS I [MF]		01/9/2019	P	\$1,001 - \$15,000	
Avantax Investment Services ⇒ FIRST EAGLE GLOBAL CLASS I [MF]		02/5/2019	P	\$1,001 - \$15,000	
Avantax Investment Services ⇒ FIRST TR EXCHANGE TRADED FD II HEALTH [EF]		01/14/2019	P	\$1,001 - \$15,000	
Avantax Investment Services ⇒ FIRST TR EXCHANGE TRADED FD II HEALTH [EF]		04/3/2019	P	\$1,001 - \$15,000	
Avantax Investment Services ⇒ FIRST TR EXCHANGE TRADED FD IV LOW [EF]		01/4/2019	P	\$15,001 - \$50,000	
Avantax Investment Services ⇒ FIRST TR EXCHANGE TRADED FD IV LOW [EF]		02/4/2019	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Avantax Investment Services ⇒ FIRST TR EXCHANGE TRADED FD IV LOW [EF]		10/17/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Avantax Investment Services ⇒ FIRST TR VALUE LINE DIVID INDEX FD SHS [EF]		01/4/2019	P	\$1,001 - \$15,000	
Avantax Investment Services ⇒ FIRST TR VALUE LINE DIVID INDEX FD SHS [EF]		02/6/2019	P	\$1,001 - \$15,000	
Avantax Investment Services ⇒ FIRST TR VALUE LINE DIVID INDEX FD SHS [EF]		07/10/2019	P	\$1,001 - \$15,000	
Avantax Investment Services ⇒ ISHARES CORE HIGH DIVIDEND ETF [EF]		01/4/2019	P	\$1,001 - \$15,000	
Avantax Investment Services ⇒ ISHARES TRUST ISHARES CORE HIGH DIVIDEND [EF]		02/6/2019	P	\$1,001 - \$15,000	
Avantax Investment Services ⇒ Main Street Capital Corporation (MAIN) [ST] DESCRIPTION: American Funds portfolio sold (Rollover IRA)		02/28/2019	P	\$1,001 - \$15,000	
Avantax Investment Services ⇒ MARCUS SAVINGS ACCOUNT [BA]		01/2/2019	P	\$1,001 - \$15,000	
Avantax Investment Services ⇒ MARCUS SAVINGS ACCOUNT [BA]		01/30/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Avantax Investment Services ⇒ MARCUS SAVINGS ACCOUNT [BA]		04/1/2019	P	\$1,001 - \$15,000	
Avantax Investment Services ⇒ MARCUS SAVINGS ACCOUNT [BA]		05/20/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Avantax Investment Services ⇒ MARCUS SAVINGS ACCOUNT [BA]		06/4/2019	P	\$1,001 - \$15,000	
Avantax Investment Services ⇒ MARCUS SAVINGS ACCOUNT [BA]		06/12/2019	S (partial)	\$100,001 - \$250,000	<input type="checkbox"/>
Avantax Investment Services ⇒ MARCUS SAVINGS ACCOUNT [BA]		06/14/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Avantax Investment Services ⇒		06/18/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
MARCUS SAVINGS ACCOUNT [BA]			(partial)		
Avantax Investment Services ⇒ MFS INTERNATIONAL DIVERSIFICATION CLASS I [MF]		01/10/2019	P	\$1,001 - \$15,000	
Avantax Investment Services ⇒ MFS INTERNATIONAL DIVERSIFICATION CLASS I [MF]		02/6/2019	P	\$1,001 - \$15,000	
Avantax Investment Services ⇒ PGIM TOTAL RETURN BOND CL Z [MF]		10/16/2019	P	\$1,001 - \$15,000	
Avantax Investment Services ⇒ PIMCO ETF TR ACTIVE BD ETF [EF]		01/14/2019	P	\$1,001 - \$15,000	
Avantax Investment Services ⇒ PIMCO INCOME CL 13 [MF]		01/3/2019	P	\$15,001 - \$50,000	
Avantax Investment Services ⇒ PIMCO INCOME CL 13 [MF]		02/5/2019	P	\$1,001 - \$15,000	
Avantax Investment Services ⇒ PRINCIPAL REAL ESTATE SEC INSTL CL [MF]		02/5/2019	P	\$1,001 - \$15,000	
Avantax Investment Services ⇒ T ROWE PRICE BLUE CHIP GROWTH INC [MF]		02/27/2019	P	\$15,001 - \$50,000	
Avantax Investment Services ⇒ T ROWE PRICE BLUE CHIP GROWTH INC [MF]		02/5/2019	P	\$15,001 - \$50,000	
Avantax Investment Services ⇒ VIRTUS KAR MID CAP CORE FUND CLASS I [MF]		01/9/2019	P	\$1,001 - \$15,000	
Avantax Investment Services ⇒ VIRTUS KAR MID CAP CORE FUND CLASS I [MF]		02/5/2019	P	\$1,001 - \$15,000	
Avantax Investment Services ⇒ WISDOMTREE TR US SMALL CAP FUND [MF]		01/4/2019	P	\$1,001 - \$15,000	
Avantax Investment Services ⇒ WISDOMTREE TR US SMALL CAP FUND [MF]		02/28/2019	P	\$15,001 - \$50,000	
Avantax Investment Services ⇒ WISDOMTREE TR US SMALL CAP FUND [MF]		07/10/2019	S (partial)	\$1,001 - \$15,000	<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 C: EARNED INCOME

None disclosed.

SCHEDULE D: LIABILITIES

Owner	Creditor	Date Incurred	Type	Amount of Liability
	Chase Mortgage	June 2019	Home mortgage	\$250,001 - \$500,000

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?
UK Government (MECEA)	07/27/2019	08/2/2019	Washington, DC - London - Gibraltar - Raleigh, NC	0	<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

o Avantax Investment Services

- First Citizens Bank
LOCATION: US
- Goldman Sachs Bank
LOCATION: US
- State of NC Defined Benefit Retirement Plan
- TD WATERHOUSE CLEARING

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 , 08/13/2020