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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: 2020
Filing Date: 08/13/2021

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] | | \$15,001 - \$50,000 | Tax-Deferred | <input type="checkbox"/> |
| 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 ⇒ FIDELTIY 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] | | \$1,001 - \$15,000 | Tax-Deferred | <input type="checkbox"/> |
| Avantax Investment Services ⇒ FIRST TR EXCHANGE TRADED FD II HEALTH [EF] | | \$1,001 - \$15,000 | Tax-Deferred | <input type="checkbox"/> |
| Avantax Investment Services ⇒ FIRST TR EXCHANGE TRADED FD IV LOW [EF] | | \$1,001 - \$15,000 | Tax-Deferred | <input 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 TRUST ISHARES CORE HIGH DIVIDEND [EF] | | \$15,001 - \$50,000 | Tax-Deferred | <input type="checkbox"/> |
| Avantax Investment Services ⇒ Main Street Capital Corporation (MAIN) [ST] | | \$1,001 - \$15,000 | Tax-Deferred | <input type="checkbox"/> |
| Avantax Investment Services ⇒ MFS INTERNATIONAL DIVERSIFICATION CLASS I [MF] | | \$15,001 - \$50,000 | Tax-Deferred | <input type="checkbox"/> |
| Avantax Investment Services ⇒ OPPENHEIMER INTER DIVER FD CLAS A [IH] | | None | Tax-Deferred | <input 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 checked="" type="checkbox"/> |
| Avantax Investment Services ⇒ PIMCO INCOME CL 13 [MF] | | None | Tax-Deferred | <input checked="" type="checkbox"/> |
| Avantax Investment Services ⇒ PIMCO TOTAL RETURN FUND CL 12 [MF] | | \$1,001 - \$15,000 | Tax-Deferred | <input checked="" type="checkbox"/> |
| Avantax Investment Services ⇒ PIMCO TOTAL RETURN FUND CL 13 [MF] | | None | Tax-Deferred | <input checked="" type="checkbox"/> |
| Avantax Investment Services ⇒ PRINCIPAL REAL ESTATE SEC INSTL CL [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 ⇒ 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] | | \$1,001 - \$15,000 | 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"/> |
| Avantax Investment Services ⇒ WISDOMTREE TR US SMALLCAP FUND [EF] | | None | Tax-Deferred | <input checked="" type="checkbox"/> |
| First Citizens Bank ⇒ Personal Checking Account [BA] | | \$1,001 - \$15,000 | None | <input type="checkbox"/> |
| COMMENTS: Not an interest bearing account | | | | |
| Goldman Sachs Bank ⇒ Marcus Savings Account [BA] | | \$15,001 - \$50,000 | Interest | \$201 - \$1,000 <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] | | \$1,001 - \$15,000 | Tax-Deferred | <input checked="" type="checkbox"/> |
| TD WATERHOUSE CLEARING ⇒ Amazon.com, Inc. (AMZN) [ST] | | None | Tax-Deferred | <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 ⇒ CASH [IH] | | \$1,001 - \$15,000 | Tax-Deferred | <input type="checkbox"/> |

| Asset | Owner | Value of Asset | Income Type(s) | Income Tx. > \$1,000? |
|---|-------|---------------------|----------------|---|
| TD WATERHOUSE CLEARING ⇒ GLOBAL X FDS US PFD ETF [EF] | | \$1 - \$1,000 | 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] | | None | Tax-Deferred | <input checked="" type="checkbox"/> |
| TD WATERHOUSE CLEARING ⇒ Pinterest, Inc. Class A (PINS) [ST] | | \$1,001 - \$15,000 | Tax-Deferred | <input checked="" type="checkbox"/> |
| TD WATERHOUSE CLEARING ⇒ Raytheon Technologies Corporation (RTX) [ST] | | \$1 - \$1,000 | Tax-Deferred | <input type="checkbox"/> |
| TD WATERHOUSE CLEARING ⇒ Real Estate Select Sector SPDR Fund (XLRE) [ST] | | None | Tax-Deferred | <input type="checkbox"/> |
| TD WATERHOUSE CLEARING ⇒ SELECT SECTOR SPDR TRUST ENERGY ETF [EF] | | None | Tax-Deferred | <input type="checkbox"/> |
| TD WATERHOUSE CLEARING ⇒ SELECT SECTOR SPDR TRUST FINANCIAL SELECT SECTOR FUND [EF] | | None | Tax-Deferred | <input checked="" 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 ⇒ US GLOBAL JETS ETF [EF] | | \$1,001 - \$15,000 | Tax-Deferred | <input checked="" type="checkbox"/> |
| TD WATERHOUSE CLEARING ⇒ Visa Inc. (V) [ST] | | \$1,001 - \$15,000 | Tax-Deferred | None <input type="checkbox"/> |
| TD WATERHOUSE CLEARING ⇒ Wasatch Ultra Growth Fund [MF] | | \$1,001 - \$15,000 | Tax-Deferred | <input checked="" type="checkbox"/> |
| Wasatch Global Investors ⇒ Wasatch Ultra Growth Fund [MF] | | \$15,001 - \$50,000 | Capital Gains | \$201 - \$1,000 <input checked="" 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 ⇒ OPPENHEIMER INT'L DIVERSIFIED A [IH] | | 03/2/2020 | S | \$1,001 - \$15,000 | <input checked="" type="checkbox"/> |
| Avantax Investment Services ⇒ PIMCO INC CL 12 [MF] | | 07/2/2020 | E | \$1,001 - \$15,000 | |
| DESCRIPTION: LISTED AS AN EXCHANGE ON THE JULY STATEMENT | | | | | |
| Avantax Investment Services ⇒ PIMCO INC CL 13 [MF] | | 03/26/2020 | S | \$1,001 - \$15,000 | <input checked="" type="checkbox"/> |
| Avantax Investment Services ⇒ PIMCO INC CL 13 [MF] | | 07/2/2020 | E | \$1,001 - \$15,000 | |
| DESCRIPTION: LISTED AS AN EXCHANGE ON THE JULY STATEMENT | | | | | |
| Avantax Investment Services ⇒ PIMCO TOTAL RETURN FUND CL 12 [IH] | | 07/2/2020 | E | \$1,001 - \$15,000 | |
| DESCRIPTION: LISTED AS AN EXCHANGE ON THE JULY STATEMENT | | | | | |
| Avantax Investment Services ⇒ PIMCO TOTAL RETURN FUND CL 13 [MF] | | 03/26/2020 | P | \$1,001 - \$15,000 | |
| Avantax Investment Services ⇒ PIMCO TOTAL RETURN FUND CL 13 [MF] | | 07/2/2020 | E | \$1,001 - \$15,000 | |
| DESCRIPTION: LISTED AS AN EXCHANGE ON THE JULY STATEMENT | | | | | |
| Avantax Investment Services ⇒ VANGUARD SMALL CAP INDEX ADMIRAL [MF] | | 03/2/2020 | S | \$1,001 - \$15,000 | <input checked="" type="checkbox"/> |
| Avantax Investment Services ⇒ WISDOMTREE TR US SMALL CAP FUND [IH] | | 03/12/2021 | S | \$1,001 - \$15,000 | <input checked="" type="checkbox"/> |
| Goldman Sachs Bank ⇒ Marcus Savings Account [BA] | | 02/21/2020 | E | \$1,001 - \$15,000 | |
| DESCRIPTION: Money transferred to checking account | | | | | |
| Goldman Sachs Bank ⇒ Marcus Savings Account [BA] | | 03/26/2020 | P | \$1,001 - \$15,000 | |
| DESCRIPTION: Money used to purchase shares of Wasatch Ultra Growth Fund | | | | | |
| Goldman Sachs Bank ⇒ Marcus Savings Account [BA] | | 05/12/2020 | P | \$1,001 - \$15,000 | |
| DESCRIPTION: Money used to purchase shares of Wasatch Ultra Growth Fund | | | | | |
| Goldman Sachs Bank ⇒ | | 06/16/2020 | P | \$1,001 - \$15,000 | |

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > \$200? |
|---|--------------|-------------|-----------------|--------------------|-------------------------------------|
| Marcus Savings Account [BA] | | | | | |
| DESCRIPTION: Money used to purchase shares of Wasatch Ultra Growth Fund | | | | | |
| Goldman Sachs Bank ⇒ Marcus Savings Account [BA] | | 09/9/2020 | P | \$1,001 - \$15,000 | |
| DESCRIPTION: Money used to purchase shares of Wasatch Ultra Growth Fund | | | | | |
| TD WATERHOUSE CLEARING ⇒ Altria Group, Inc. (MO) [ST] | | 08/27/2020 | P | \$1,001 - \$15,000 | |
| TD WATERHOUSE CLEARING ⇒ Amazon.com, Inc. (AMZN) [ST] | | 01/31/2020 | S | \$1,001 - \$15,000 | <input checked="" type="checkbox"/> |
| TD WATERHOUSE CLEARING ⇒ NVIDIA Corporation (NVDA) [ST] | | 02/21/2020 | S (partial) | \$1,001 - \$15,000 | <input checked="" type="checkbox"/> |
| TD WATERHOUSE CLEARING ⇒ Pinterest, Inc. Class A (PINS) [ST] | | 04/22/2020 | P | \$1,001 - \$15,000 | |
| TD WATERHOUSE CLEARING ⇒ SPDR Select Sector Fund - Financial (XLF) [ST] | | 09/2/2020 | S (partial) | \$1,001 - \$15,000 | <input checked="" type="checkbox"/> |
| TD WATERHOUSE CLEARING ⇒ U.S. Global Jets ETF (JETS) [ST] | | 04/14/2020 | P | \$1,001 - \$15,000 | |
| TD WATERHOUSE CLEARING ⇒ Wasatch Ultra Growth Fund [MF] | | 09/10/2020 | P | \$1,001 - \$15,000 | |
| Wasatch Global Investors ⇒ Wasatch Ultra Growth Fund [MF] | | 03/25/2020 | P | \$1,001 - \$15,000 | |
| Wasatch Global Investors ⇒ Wasatch Ultra Growth Fund [MF] | | 05/11/2021 | P | \$1,001 - \$15,000 | |
| Wasatch Global Investors ⇒ Wasatch Ultra Growth Fund [MF] | | 06/15/2020 | P | \$1,001 - \$15,000 | |
| Wasatch Global Investors ⇒ Wasatch Ultra Growth Fund [MF] | | 09/8/2020 | 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

None disclosed.

SCHEDULE D: LIABILITIES

| Owner Creditor | Date Incurred | Type | Amount of Liability |
|------------------------|---------------|----------------------------------|-----------------------|
| The Money Source, Inc. | June 2020 | Refinance of Chase 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

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 Cheston Rouzer , 08/13/2021