



Filing ID #10041343

# FINANCIAL DISCLOSURE REPORT

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## FILER INFORMATION

**Name:** Hon. Mo Brooks  
**Status:** Member  
**State/District:** AL05

## FILING INFORMATION

**Filing Type:** Annual Report  
**Filing Year:** 2020  
**Filing Date:** 07/26/2021

## SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
ADTRAN, Inc. (ADTN) [ST]	JT	None	Capital Gains	\$1 - \$200	<input checked="" type="checkbox"/>
American Balanced F2 [MF]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
American Moderate GW & INC A [MF]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
American Moderate GW & Inc. A [MF]	JT	\$250,001 - \$500,000	Capital Gains, Dividends	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
American Mutual F2 [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
American New Perspective [MF]		\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
American New Perspective C [MF]	JT	\$250,001 - \$500,000	Capital Gains, Dividends	\$5,001 - \$15,000	<input type="checkbox"/>
American New Perspective F2 [MF]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
American Tax-Advantages Inc. [MF]	JT	\$15,001 - \$50,000	Capital Gains,	\$201 -	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
			Dividends	\$1,000	
Apple Inc. (AAPL) [ST]	JT	None	Capital Gains, Dividends	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
Ares Capital Corporation - Closed End Fund (ARCC) [EF]	JT	None	None		<input checked="" type="checkbox"/>
AT&T Inc. (T) [ST]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
AT&T Inc. (T) [ST]	JT	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
Ava Maria Rising Dividend [MF]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Bank of America Corporation (BAC) [ST]	JT	None	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Berkshire Hathaway Inc. New (BRK.B) [ST]	JT	\$100,001 - \$250,000	Dividends	None	<input checked="" type="checkbox"/>
Boston Scientific Corporation (BSX) [ST]	JT	None	None		<input checked="" type="checkbox"/>
Cadence Design Systems, Inc. (CDNS) [ST]	JT	None	None		<input checked="" type="checkbox"/>
Charles Schwab Corporation (SCHW) [ST]	JT	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Cisco Systems, Inc. (CSCO) [ST]	JT	None	Capital Gains, Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Cisco Systems, Inc. (CSCO) [ST]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Clearbridge Special Inv. Tr 1 [MF]	SP	None	Tax-Deferred		<input checked="" type="checkbox"/>
Coca-Cola Company (KO) [ST]	JT	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Columbia Contrarian Core C [MF]	JT	\$100,001 - \$250,000	Capital Gains, Dividends	\$5,001 - \$15,000	<input type="checkbox"/>
Columbia Contrarian Core Z [MF]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
CVS Health Corporation (CVS) [ST]	JT	None	None		<input checked="" type="checkbox"/>
Deutsche Telekom AG (DTEGY) [ST]	JT	None	None		<input checked="" type="checkbox"/>
Dominion Energy, Inc. (D) [ST]	JT	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
Duke Energy Corporation (DUK) [ST]	JT	\$250,001 - \$500,000	Dividends	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Duke Energy Corporation (DUK) [ST]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Duke Energy Corporation (DUK) [ST]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Enbridge Inc (ENB) [ST]	JT	\$50,001 - \$100,000	Dividends	\$5,001 - \$15,000	<input type="checkbox"/>
First Eagle Global [MF]	JT	None	None		<input checked="" type="checkbox"/>
Forney TX Indpt Sch Dist Ref [GS]	JT	\$1,001 - \$15,000	Interest	None	<input type="checkbox"/>
General Electric Company (GE) [ST]	JT	None	Dividends	None	<input checked="" type="checkbox"/>
Home Depot, Inc. (HD) [ST]	JT	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000	<input type="checkbox"/>
Huntsville AL Genl Oblig Warrants Ref-A [GS]	JT	\$1,001 - \$15,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Huntsville-Redstone Village Bonds [GS]	JT	\$1,001 - \$15,000	Interest	\$1 - \$200	<input type="checkbox"/>
Investment property [RP]	SP	\$100,001 - \$250,000	Capital Gains	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
LOCATION: Huntsville, Madison, AL, US					
Ishares S&P US PFD STK IDX FD [EF]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Lee Enterprises, Incorporated (LEE) [ST]	SP	\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Lee Enterprises, Incorporated (LEE) [ST]	JT	\$1,001 - \$15,000	None		<input type="checkbox"/>
Lowe's Companies, Inc. (LOW) [ST]	JT	\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Managers AMG Yacktman Svc [MF]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Marriott International - Class A (MAR) [ST]	JT	None	Capital Gains, Dividends	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
Mastercard Incorporated (MA) [ST]	JT	\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Microsoft Corporation (MSFT) [ST]	JT	\$1,001 - \$15,000	Dividends	None	<input type="checkbox"/>
DESCRIPTION: Acquired by inheritance 11/29/19.					
Microsoft Corporation (MSFT) [ST]	JT	\$15,001 - \$50,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Miller Opportunity Trust Mutual Fund [MF]	SP	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: This mutual fund was formerly names Legg Mason Opportunity Trust Fund. It changed its name during 2020.					
Morgan Stanley Bank N. A. [BA]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Morgan Stanley Private Bank [BA]	JT	\$1,001 - \$15,000	Interest	\$1 - \$200	<input type="checkbox"/>
Morgan Stanley Private Bank [BA]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
North Carolina Cap Facs Fin Agy Duke Univ Pj Rev-Bj [GS]	JT	None	Capital Gains, Interest	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
Oakmark I [MF]		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Pfizer, Inc. (PFE) [ST]	JT	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Pike Road Al OID [GS]	JT	\$1,001 - \$15,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Putnam Diversified Inc. Tr C [MF]	JT	None	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Redstone Federal Credit Union [BA]	JT	\$100,001 - \$250,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Royce Total Return Inv [MF]	SP	None	Tax-Deferred		<input checked="" type="checkbox"/>
RS Large Cap Alpha Fund Class A [MF]	SP	None	Tax-Deferred		<input checked="" type="checkbox"/>
Sanmina Corporation (SANM) [ST]	JT	None	Capital Gains	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
Seadrill Partners LLC Common Units Representing Limited Liability Company Interests (SDLP) [ST]	JT	\$1 - \$1,000	Dividends	None	<input type="checkbox"/>
SPDR S&P Dividend [EF]	JT	\$15,001 - \$50,000	Capital Gains, Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
Spectra Energy Capital LLC [CS]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: This is a corporate bond.					
TJX Companies, Inc. (TJX) [ST]	JT	\$15,001 - \$50,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Truist Financial Corporation (TFC) [ST]	JT	None	None		<input checked="" type="checkbox"/>
Truist Financial Corporation (TFC) [ST]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Vanguard Total Intl Stock ETF [EF]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	<input type="checkbox"/>
VANGUARD TOTAL INTL STOCK ETF [EF]	SP	None	Tax-Deferred		<input checked="" type="checkbox"/>
Vanguard TTL STK MKT ETF [EF]		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Vanguard TTL WRLD STL INDX [EF]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Vanguard Wellesley Inc. Inv [MF]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Verizon Communications Inc. (VZ) [ST]	JT	\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Victory Cemp US Eq Income [MF]	JT	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
W.P. Carey Inc. REIT (WPC) [ST]		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Wells Fargo & Company (WFC) [ST]	JT	None	None		<input checked="" type="checkbox"/>

\* 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?
ADTRAN, Inc. (ADTN) [ST]	JT	01/2/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
American Balanced F2 [MF]	SP	02/6/2020	P	\$1,001 - \$15,000	
American Balanced F2 [MF]	SP	10/27/2020	P	\$1,001 - \$15,000	
American Moderate GW & Inc. A [MF]	JT	02/5/2020	P	\$15,001 - \$50,000	
American Moderate GW & Inc. A [MF]	JT	02/1/2020	P	\$1,001 - \$15,000	
American Moderate GW & Inc. A [MF]	JT	10/28/2020	P	\$15,001 - \$50,000	
American Moderate GW & Inc. A [MF]	JT	12/1/2020	P	\$15,001 - \$50,000	
American Moderate GW & Inc.A [MF]	JT	01/2/2020	P	\$15,001 - \$50,000	
American Mutual F2 [MF]	SP	02/6/2020	P	\$1,001 - \$15,000	
American New Perspective [MF]	SP	10/20/2020	P	\$1,001 - \$15,000	
Apple Inc. (AAPL) [ST]	JT	04/13/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Ares Capital Corporation - Closed End Fund (ARCC) [EF]	JT	01/15/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Bank of America Corporation (BAC) [ST]	JT	10/28/2020	S	\$15,001 - \$50,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Berkshire Hathaway Inc. New (BRK.B) [ST]	JT	01/15/2020	P	\$15,001 - \$50,000	
Boston Scientific Corporation (BSX) [ST]	JT	02/5/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Cadence Design Systems, Inc. (CDNS) [ST]	JT	01/2/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Cisco Systems, Inc. (CSCO) [ST]	JT	02/11/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Clearbridge Special Inv. Tr 1 [MF]	SP	10/21/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Columbia Contrarian Core A [MF]	SP	10/21/2020	P	\$1,001 - \$15,000	
CVS Health Corporation (CVS) [ST]	JT	01/2/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Deutsche Telekom AG (DTEGY) [ST]	JT	01/2/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Dominion Energy, Inc. (D) [ST]	JT	04/29/2020	P	\$15,001 - \$50,000	
Dominion Energy, Inc. (D) [ST]	JT	06/1/2020	P	\$15,001 - \$50,000	
Dominion Energy, Inc. (D) [ST]	JT	06/8/2020	P	\$15,001 - \$50,000	
Duke Energy Corporation (DUK) [ST]	JT	04/2/2020	P	\$15,001 - \$50,000	
Duke Energy Corporation (DUK) [ST]	JT	04/13/2020	P	\$1,001 - \$15,000	
First Eagle Global C [MF]	JT	04/20/2020	S	\$15,001 - \$50,000	<input type="checkbox"/>
General Electric Company (GE) [ST]	JT	01/2/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Investment property [RP]	SP	04/16/2020	S	\$100,001 - \$250,000	<input checked="" type="checkbox"/>
LOCATION: Huntsville, Madison, AL, US					
Investment property [RP]	SP	06/18/2020	P	\$50,001 - \$100,000	
LOCATION: Huntsville, Madison, AL, US					

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Lee Enterprises, Incorporated (LEE) [ST]	SP	06/23/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Lee Enterprises, Incorporated (LEE) [ST]	SP	11/24/2020	P	\$1,001 - \$15,000	
Marriott International - Class A (MAR) [ST]	JT	04/29/2020	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
North Carolina Cap Facs Fin Agy Duke Univ Pj Rev-B [GS]	JT	06/8/2020	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Pfizer, Inc. (PFE) [ST]	JT	03/17/2020	P	\$1,001 - \$15,000	
Pfizer, Inc. (PFE) [ST]	JT	07/1/2020	P	\$1,001 - \$15,000	
Pfizer, Inc. (PFE) [ST]	JT	09/16/2020	P	\$1,001 - \$15,000	
Putnam Diversified Inc. Tr C [MF]	JT	06/1/2020	S	\$15,001 - \$50,000	<input type="checkbox"/>
Royce Total Return Inv [MF]	SP	02/6/2020	S	\$15,001 - \$50,000	<input type="checkbox"/>
RS Large Cap Alpha Fund Class A [MF]	SP	10/20/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Sanmina Corporation (SANM) [ST]	JT	01/15/2020	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Truist Financial Corporation (TFC) [ST]	JT	02/5/2020	S	\$50,001 - \$100,000	<input type="checkbox"/>
Vanguard Total Intl Stock ETF [EF]	SP	02/5/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Viatis Inc. (VTRS) [ST]	JT	12/1/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: Viatis was acquired from a spin-off from Pfizer on 11/17/20.					
Wells Fargo & Company (WFC) [ST]	JT	01/2/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>

\* 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
JT	Capitol Hill Tower Housing Cooperative, Inc.	January 2011	Underlying mortgage	\$250,001 - \$500,000

## SCHEDULE E: POSITIONS

None disclosed.

## SCHEDULE F: AGREEMENTS

Date	Parties To	Terms of Agreement
April 2014	Morris J. Brooks, Jr. and the Retirement Systems of Alabama	Brooks receives monthly retirement benefit payments as a result of his past employment with the State of Alabama and his contributions into the Retirement Systems of Alabama.

## 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.

## 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

## COMMENTS

## 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. Mo Brooks , 07/26/2021