



Filing ID #10041789

FINANCIAL DISCLOSURE REPORT

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FILER INFORMATION

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

FILING INFORMATION

Filing Type: Amendment Report
Filing Year: 2019
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] DESCRIPTION: Acquired by inheritance 11/29/19.	JT	\$1,001 - \$15,000	Dividends	None	<input type="checkbox"/>
Alabama S OID [GS]	JT	None	Capital Gains, Interest	\$201 - \$1,000	<input checked="" type="checkbox"/>
Alpha Pro Tech, Ltd. (APT) [ST]	JT	None	Capital Gains	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
American Moderate GW & INC A [MF] DESCRIPTION: This asset is part of an IRA inherited 11/29/19.		\$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 checked="" 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,	\$1,001 -	<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
			Dividends	\$2,500	
Ammerican Moderate GW & Inc. A [MF]	JT	\$50,001 - \$100,000	None		<input type="checkbox"/>
DESCRIPTION: Acquired by inheritance 11/29/19					
Apple Inc. (AAPL) [ST]	JT	\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Ares Capital Corporation - Closed End Fund (ARCC) [EF]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	None	<input type="checkbox"/>
DESCRIPTION: Acquired by inheritance 11/29/19.					
AT&T Inc. (T) [ST]		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
DESCRIPTION: This asset is part of an IRA inherited 11/29/19.					
AT&T Inc. (T) [ST]	JT	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Inherited part of this 11/29/19					
Ava Maria Rising Dividend [MF]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Baldwin County AL Genl Oblg Wts [GS]	JT	None	Capital Gains, Interest	\$201 - \$1,000	<input checked="" type="checkbox"/>
Bank of America Corporation (BAC) [ST]	JT	\$15,001 - \$50,000	Dividends	None	<input type="checkbox"/>
DESCRIPTION: Acquired by inheritance 11/29/19.					
Berkshire Hathaway Inc. New (BRK.B) [ST]	JT	\$50,001 - \$100,000	Dividends	None	<input type="checkbox"/>
Boston Scientific Corporation (BSX) [ST]	JT	\$1,001 - \$15,000	Dividends	None	<input type="checkbox"/>
DESCRIPTION: Acquired by inheritance 11/29/19.					
Cadence Design Systems, Inc. (CDNS) [ST]	JT	\$1,001 - \$15,000	Dividends	None	<input type="checkbox"/>
DESCRIPTION: Acquired by inheritance 11/29/19.					
Charles Schwab Corporation (SCHW) [ST]	JT	\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Cisco Systems, Inc. (CSCO) [ST]	JT	\$1,001 - \$15,000	Dividends	None	<input type="checkbox"/>
DESCRIPTION: Acquired by inheritance 11/29/19.					

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Cisco Systems, Inc. (CSCO) [ST]		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
DESCRIPTION: This asset is part of an IRA inherited 11/29/19.					
Clearbridge Special Inv. Tr 1 [MF]	SP	\$15,001 - \$50,000	Tax-Deferred		<input 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 checked="" type="checkbox"/>
Columbia Contrarian Core Z [MF]	SP	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
CVS Health Corporation (CVS) [ST]	JT	\$1,001 - \$15,000	Dividends	None	<input type="checkbox"/>
DESCRIPTION: Acquired by inheritance 11/29/19.					
Decatur Ala Swr Rev Wts [GS]	JT	None	Capital Gains, Interest	\$201 - \$1,000	<input checked="" type="checkbox"/>
Deutsche Telekom AG (DTEGY) [ST]	JT	\$1,001 - \$15,000	Dividends	None	<input type="checkbox"/>
DESCRIPTION: Acquired by inheritance 11/29/19.					
Dominion Energy, Inc. (D) [ST]	JT	\$15,001 - \$50,000	Dividends	None	<input type="checkbox"/>
DESCRIPTION: Acquired by inheritance 11/29/19.					
Duke Energy Corporation (DUK) [ST]	JT	\$250,001 - \$500,000	Dividends	\$2,501 - \$5,000	<input type="checkbox"/>
DESCRIPTION: Inherited part of this 11/29/19.					
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	None	<input type="checkbox"/>
DESCRIPTION: Acquired by inheritance 11/29/19.					
First Eagle Global [MF]	JT	\$15,001 - \$50,000	Capital Gains, Dividends	\$1,001 - \$2,500	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Forney TX Indpt Sch Dist Ref [GS]	JT	\$1,001 - \$15,000	Interest	None	<input type="checkbox"/>
General Dynamics Corporation (GD) [ST]	JT	None	Capital Gains, Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
General Electric Company (GE) [ST]	JT	\$1,001 - \$15,000	Dividends	None	<input type="checkbox"/>
DESCRIPTION: Acquired by inheritance 11/29/19.					
Home Depot, Inc. (HD) [ST]	JT	\$250,001 - \$500,000	Dividends	None	<input type="checkbox"/>
DESCRIPTION: Acquired by inheritance 11/29/19.					
Homewood Ala City Brd Ed Spl Tax Sch Wts Rev [GS]	JT	None	Interest	\$1 - \$200	<input checked="" 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	\$201 - \$1,000	<input type="checkbox"/>
Investment property [RP]	SP	\$100,001 - \$250,000	Capital Gains	None	<input checked="" type="checkbox"/>
LOCATION: Huntsville, AL, US COMMENTS: This asset was left off the original filing.					
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"/>
Lee Enterprises, Incorporated (LEE) [ST]	JT	\$1,001 - \$15,000	Capital Gains	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
Legg Mason Opportunity Trust Mutual Fund [MF]	SP	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Lowe's Companies, Inc. (LOW) [ST]	JT	\$1,001 - \$15,000	Dividends	None	<input type="checkbox"/>
DESCRIPTION: Acquired by inheritance 11/29/19.					
Managers AMG Yacktman Svc [MF]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Marriott International - Class A (MAR) [ST]	JT	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Mastercard Incorporated (MA) [ST]	JT	\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Menlo Pk Calif City Sch Dist Ref OY 4.24 [GS]	JT	None	Capital Gains	\$201 - \$1,000	<input checked="" type="checkbox"/>
Microsoft Corporation (MSFT) [ST]	JT	\$1,001 - \$15,000	Dividends	None	<input type="checkbox"/>
DESCRIPTION: Acquired by inheritance 11/29/19.					
Montevallo Ala Amern Vlg Pub Edl Bldg A OID [GS]	JT	None	Interest	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Redeemed 9/10/19					
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	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	<input type="checkbox"/>
North Carolina Med Care Commn Health Car [GS]	JT	None	Capital Gains, Interest	\$201 - \$1,000	<input checked="" type="checkbox"/>
Oakmark I [MF]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Pennsylvania Higher Edu FACS Auth Rev Ref-A [GS]	JT	None	Interest	\$201 - \$1,000	<input checked="" type="checkbox"/>
Pfizer, Inc. (PFE) [ST]	JT	\$1,001 - \$15,000	Dividends	None	<input checked="" type="checkbox"/>
DESCRIPTION: Acquired by inheritance 11/29/19.					
Pike Road Al OID [GS]	JT	\$1,001 - \$15,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Putnam Diversified Inc. Tr C [MF]	JT	\$15,001 - \$50,000	Capital Gains, Dividends	\$201 - \$1,000	<input type="checkbox"/>
Redstone Federal Credit Union [BA]	JT	\$100,001 - \$250,000	Interest	\$201 - \$1,000	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Royce Total Return Con [MF]	JT	None	Capital Gains, Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
Royce Total Return Inv [MF]	SP	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
RS Large Cap Alpha Fund Class A [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Sanmina Corporation (SANM) [ST]	JT	\$15,001 - \$50,000	Dividends	None	<input type="checkbox"/>
DESCRIPTION: Acquired by inheritance 11/29/19.					
Seadrill Partners LLC Common Units Representing Limited Liability Company Interests (SDLP) [ST]	JT	\$1 - \$1,000	Dividends	\$1 - \$200	<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 entity was listed as Duke Capital Corp Bonds in last year's report, but changed its name to Spectra Energy Capital LLC in July 2018.					
The Southern Company Bonds [CS]	JT	None	Capital Gains, Interest	\$201 - \$1,000	<input checked="" type="checkbox"/>
DESCRIPTION: Corporate bonds					
TJX Companies, Inc. (TJX) [ST]	JT	\$15,001 - \$50,000	Dividends	None	<input type="checkbox"/>
DESCRIPTION: Acquired by inheritance 11/29/19.					
Truist Financial Corporation (TFC) [ST]	JT	\$50,001 - \$100,000	Dividends	None	<input type="checkbox"/>
DESCRIPTION: Acquired by inheritance 11/29/19.					
Truist Financial Corporation (TFC) [ST]		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
DESCRIPTION: This asset is part of an IRA inherited 11/29/19.					
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	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Vanguard TTL STK MKT ETF [EF]		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
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	\$15,001 - \$50,000	Dividends	None	<input type="checkbox"/>
DESCRIPTION: Acquired by inheritance 11/29/19.					
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	\$1,001 - \$15,000	Dividends	None	<input checked="" type="checkbox"/>
DESCRIPTION: Acquired by inheritance 11/29/19.					

* 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?
Alabama S OID [GS]	JT	10/8/2019	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Alpha Pro Tech, Ltd. (APT) [ST]	JT	02/6/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Alpha Pro Tech, Ltd. (APT) [ST]	JT	02/7/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Alpha Pro Tech, Ltd. (APT) [ST]	SP	02/14/2019	P	\$1,001 - \$15,000	
Alpha Pro Tech, Ltd. (APT) [ST]	SP	08/5/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
American New Perspective [MF]		01/22/2019	P	\$1,001 - \$15,000	
American New Perspective C [MF]	JT	01/15/2019	P	\$1,001 - \$15,000	
American New Perspective C [MF]	JT	02/6/2019	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
American New Perspective C [MF]	JT	02/7/2019	P	\$1,001 - \$15,000	
American New Perspective C [MF]	JT	03/13/2019	P	\$15,001 - \$50,000	
American New Perspective C [MF]	JT	03/28/2019	P	\$15,001 - \$50,000	
American New Perspective C [MF]	JT	03/29/2019	P	\$1,001 - \$15,000	
American New Perspective C [MF]	JT	04/2/2019	P	\$1,001 - \$15,000	
American New Perspective C [MF]	JT	05/2/2019	P	\$1,001 - \$15,000	
American New Perspective C [MF]	JT	07/1/2019	P	\$1,001 - \$15,000	
American New Perspective C [MF]	JT	07/26/2019	P	\$15,001 - \$50,000	
American New Perspective F2 [MF]	SP	08/5/2019	P	\$1,001 - \$15,000	
American Tax-Advantaged Inc. C [MF]	JT	12/18/2019	P	\$1,001 - \$15,000	
Baldwin County Al Genl Oblg Wts [GS]	JT	03/28/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Columbia Contrarian Core C [MF]	JT	08/22/2019	P	\$1,001 - \$15,000	
Columbia Contrarian Core C [MF]	JT	09/9/2019	P	\$1,001 - \$15,000	
Columbia Contrarian Core C [MF]	JT	10/8/2019	P	\$15,001 - \$50,000	
Columbia Contrarian Core C [MF]	JT	10/25/2019	P	\$15,001 - \$50,000	
Columbia Contrarian Core C [MF]	JT	11/12/2019	P	\$15,001 - \$50,000	
Decatur Ala Swr Rev Wts [GS]	JT	03/28/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
General Dynamics Corporation (GD) [ST]	JT	05/2/2019	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Homewood Ala City Brd Ed Spl Tax Sch Wts Rev [GS]	JT	04/2/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Investment property [RP] LOCATION: Huntsville, AL, US COMMENTS: This transaction was left off the original filing.	SP	06/20/2019	P	\$50,001 - \$100,000	
Lee Enterprises, Incorporated (LEE) [ST]	JT	03/13/2019	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Lee Enterprises, Incorporated (LEE) [ST]	JT	04/11/2019	P	\$15,001 - \$50,000	
Menlo Pk Calif City Sch Dist Ref OY 4.24 [GS]	JT	11/12/2019	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
North Carolina Med Care Commn Health Car [GS]	JT	07/26/2019	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Pennsylvania Higher Edu FACS Auth Rev Ref-A [GS]	JT	10/25/2019	S	\$15,001 - \$50,000	<input type="checkbox"/>
Royce Total Return Con [MF]	JT	04/11/2019	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
The Southern Company Bonds [CS] DESCRIPTION: Corporate Bonds	JT	08/22/2019	S	\$1,001 - \$15,000	<input checked="" 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

This annual report was amended to delete Microsoft stock that was mistakenly listed twice in the original filing. Also, real estate investment property owned by spouse was not include in the original filing. The ending value of that investment as well as the purchase transaction is included in this amendment.

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