



Filing ID #10050815

# FINANCIAL DISCLOSURE REPORT

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## FILER INFORMATION

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

## FILING INFORMATION

**Filing Type:** Terminated Filer Report  
**Filing Year:** 2023  
**Filing Date:** 05/2/2023

## SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
American Balanced F2 [MF]	SP	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
American Moderate GW & INC A [MF]		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
American Moderate GW & Inc. A [MF]	JT	None	Capital Gains, Dividends	None	<input checked="" type="checkbox"/>
American Mutual F2 [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
American New Perspective [MF]		\$15,001 - \$50,000	Tax-Deferred		<input 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 type="checkbox"/>
American Tax-Advantages Inc. [MF]	JT	\$15,001 - \$50,000	Capital Gains, Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
Arlington Tex Higher Ed Fin [GS]	JT	\$1,001 - \$15,000	Interest	None	<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Autoscope Technologies Corporation (AATC) [ST]	JT	None	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Ava Maria Rising Dividend [MF]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Baldwin Cnty Ala Pub Bldg Re OID [GS]	JT	\$1,001 - \$15,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Berkshire Hathaway Inc. New (BRK.B) [ST]	JT	\$100,001 - \$250,000	Dividends	None	<input type="checkbox"/>
Charles Schwab Corporation (SCHW) [ST]	JT	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Coca-Cola Company (KO) [ST]	JT	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Columbia Contrarian Core A [MF]	JT	\$15,001 - \$50,000	Capital Gains, Dividends	\$2,501 - \$5,000	<input type="checkbox"/>
Columbia Contrarian Core C [MF]	JT	None	Capital Gains, Dividends	None	<input checked="" type="checkbox"/>
Columbia Contrarian Core Z [MF]	SP	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Dominion Energy, Inc. (D) [ST]	JT	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000	<input type="checkbox"/>
Duke Energy Corp Fxd [CS]	JT	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
DESCRIPTION: Corporate fixed income					
Duke Energy Corporation (DUK) [ST]	JT	\$250,001 - \$500,000	Dividends	\$15,001 - \$50,000	<input 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"/>
Forney TX Indpt Sch Dist Ref [GS]	JT	\$1,001 - \$15,000	Interest	None	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
General Electric Co Fxd to 012021 [CS]	JT	\$1,001 - \$15,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Corporate Bonds					
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]	JT	None	Capital Gains	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
LOCATION: Huntsville, AL, US					
Investment property [RP]	SP	\$100,001 - \$250,000	Capital Gains	None	<input checked="" type="checkbox"/>
LOCATION: Huntsville, AL, US					
JP Morgan Equity Premium Inco [EF]		\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
JP Morgan Equity Premium Inco [EF]	JT	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Lowe's Companies, Inc. (LOW) [ST]	JT	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Mastercard Incorporated (MA) [ST]	JT	\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Microsoft Corporation (MSFT) [ST]	JT	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Miller Opportunity Trust Mutual Fund [MF]	SP	None	Tax-Deferred		<input checked="" type="checkbox"/>
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	None	<input type="checkbox"/>
Morgan Stanley Private Bank [BA]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
MSPBNA Preferred Savings [BA]	JT	\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Nisource Inc. Corp bonds [CS]	JT	\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
DESCRIPTION: Corporate fixed income					
Oakmark I [MF]		None	Tax-Deferred		<input checked="" type="checkbox"/>
Pacer US Cash Cows 100 [EF]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Pacer US Cash Cows 100 [EF]	JT	\$250,001 - \$500,000	Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
Pacer US Cash Cows 100 [EF]		\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Redstone Federal Credit Union [BA]	JT	\$1,001 - \$15,000	Interest	\$1 - \$200	<input type="checkbox"/>
SPDR S&P Dividend [EF]	JT	\$50,001 - \$100,000	Capital Gains, Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
SPDR S&P MIDCAP 400 [EF]		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
SPDR S&P MIDCAP 400 [EF]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
TJX Companies, Inc. (TJX) [ST]	JT	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
United States Treasury notes [GS]	JT	\$50,001 - \$100,000	Interest	None	<input checked="" type="checkbox"/>
Vanguard Index FDS S&P 500 [EF]		\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Vanguard Total Intl Stock ETF [EF]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	<input type="checkbox"/>
Vanguard TTL STK MKT ETF [EF]		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Vanguard TTL WRLD STL INDX [EF]		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Verizon Communications Inc. (VZ) [ST]	JT	None	Dividends	None	<input checked="" type="checkbox"/>
Victory Cemp US Eq Income [MF]	JT	\$100,001 - \$250,000	Capital Gains, Dividends	\$2,501 - \$5,000	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Victoryshares US EQ Income E [EF]	SP	\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
W.P. Carey Inc. REIT (WPC) [RE]		None	Tax-Deferred		<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?
American Moderate GW & Inc A [MF]	JT	10/10/2022	S	\$250,001 - \$500,000	<input type="checkbox"/>
Arlington TX Higher Ed Fin [GS]	JT	12/8/2022	P	\$1,001 - \$15,000	
Autoscope Technologies Corporation (AATC) [ST]	JT	07/22/2022	P	\$1,001 - \$15,000	
Autoscope Technologies Corporation (AATC) [ST]	JT	01/3/2023	S	\$1,001 - \$15,000	<input type="checkbox"/>
Columbia Contrarian Core C [MF]	JT	11/29/2022	S	\$100,001 - \$250,000	<input type="checkbox"/>
Duke Energy Corp Fxd [CS] DESCRIPTION: Corporate Bond	JT	08/30/2022	P	\$1,001 - \$15,000	
Duke Energy Corp Fxd [CS] DESCRIPTION: Corporate bonds	JT	01/3/2023	P	\$1,001 - \$15,000	
Duke Energy Corp Fxd to 09/20/24 [CS] DESCRIPTION: Corporate Bond	JT	06/22/2022	P	\$1,001 - \$15,000	
Duke Energy Corp Fxd to 092024 [CS] DESCRIPTION: Corporate Bond	JT	06/3/2022	P	\$1,001 - \$15,000	
Duke Energy Corp Fxd to 092024VAR thrafr 4.8750% [CS] DESCRIPTION: Corporate fixed income	JT	03/18/2022	P	\$1,001 - \$15,000	
Investment property [RP]  LOCATION: Huntsville, AL, US	SP	10/20/2022	P	\$100,001 - \$250,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Investment property [RP]	JT	02/12/2022	S	\$100,001 - \$250,000	<input checked="" type="checkbox"/>
LOCATION: Huntsville, AL, US					
JP Morgan Equity Premium Inco [EF]		11/10/2022	P	\$15,001 - \$50,000	
JP Morgan Equity Premium Inco [EF]	JT	12/20/2022	P	\$1,001 - \$15,000	
JP Morgan Equity Premium Inco [EF]	JT	09/19/2022	P	\$1,001 - \$15,000	
JP Morgan Equity Premium Inco [EF]	JT	09/15/2022	P	\$1,001 - \$15,000	
Miller Opportunity Trust [MF]	SP	05/5/2022	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Nisource Inc. Fxd to 062023 [CS]	JT	07/13/2022	P	\$1,001 - \$15,000	
DESCRIPTION: Corporate Bond					
Oakmark I [MF]		11/10/2022	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Pacer US Cash Cows 100 [EF]	SP	05/5/2022	P	\$15,001 - \$50,000	
Pacer US Cash Cows 100 [EF]	SP	03/24/2022	P	\$1,001 - \$15,000	
Pacer US Cash Cows 100 [EF]	JT	10/10/2022	P	\$100,001 - \$250,000	
Pacer US Cash Cows 100 [EF]		05/4/2022	P	\$15,001 - \$50,000	
U. S. Treasury Note [GS]	JT	11/29/2022	P	\$50,001 - \$100,000	
Vanguard Index FDS S&P 500 [EF]		01/3/2022	P	\$1,001 - \$15,000	
Verizon Communications Inc. (VZ) [ST]	JT	04/11/2022	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Verizon Communications Inc. (VZ) [ST]	JT	07/22/2022	S	\$1,001 - \$15,000	<input type="checkbox"/>
Victoryshares US EQ Income E [EF]	SP	05/5/2022	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
WP Carey & Co, LLC [RE]		05/4/2022	S	\$15,001 - \$50,000	<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	\$100,001 - \$250,000
	COMMENTS: Sold the property during 2022, so no liability as of 1/3/23.			

## 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

## **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 , 05/2/2023