



Filing ID #10053263

# FINANCIAL DISCLOSURE REPORT

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## FILER INFORMATION

**Name:** Hon. David Rouzer  
**Status:** Member  
**State/District:** NC07

## FILING INFORMATION

**Filing Type:** Annual Report  
**Filing Year:** 2022  
**Filing Date:** 05/15/2023

## 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]		\$50,001 - \$100,000	Tax-Deferred		<input type="checkbox"/>
Avantax Investment Services ⇒ BARON EMERGING MARKETS FUND INSTL [MF]  DESCRIPTION: All shares were sold.		None	Tax-Deferred		<input checked="" type="checkbox"/>
Avantax Investment Services ⇒ BARON SMALL CAP FUND INSTL CLASS [MF]  DESCRIPTION: All shares were sold.		None	Tax-Deferred		<input checked="" type="checkbox"/>
Avantax Investment Services ⇒ DODGE & COX STOCK (DODGX) [MF]		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Avantax Investment Services ⇒ Eaton Vance Floating Rate Advantage Fund Class I [MF]		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Avantax Investment Services ⇒ Eaton Vance Short Duration Strategic Income Fund [MF]		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Avantax Investment Services ⇒ Eaton Vance Tax-Managed Global Diversified Equity Income Fund (EXG) [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 ⇒ Fidelity Government Money Market Fund [MF]		\$1,001 - \$15,000	Tax-Deferred	<input checked="" type="checkbox"/>
Avantax Investment Services ⇒ FIDELTIY ADVISOR REAL ESTATE INC I [MF]		\$1,001 - \$15,000	Tax-Deferred	<input type="checkbox"/>
Avantax Investment Services ⇒ FIRST EAGLE GLOBAL CLASS I [MF]		\$15,001 - \$50,000	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 Morningstar Dividend Leaders Index Fund [MF]		\$1,001 - \$15,000	Tax-Deferred	<input checked="" type="checkbox"/>
Avantax Investment Services ⇒ First Trust Value Line Dividend Index Fund (FVD) [MF]		\$15,001 - \$50,000	Tax-Deferred	<input type="checkbox"/>
Avantax Investment Services ⇒ Grant Park Multi Alternative Strategies Fund [MF]		\$1,001 - \$15,000	Tax-Deferred	<input checked="" type="checkbox"/>
Avantax Investment Services ⇒ ISHARES CORE HIGH DIVIDEND [EF]		\$15,001 - \$50,000	Tax-Deferred	<input type="checkbox"/>
Avantax Investment Services ⇒ ISHARES RUSSELL 1000 INDEX FUND [MF]		\$1,001 - \$15,000	Tax-Deferred	<input type="checkbox"/>
Avantax Investment Services ⇒ ISHARES TR U.S. MED DVC ETF [EF]		\$1,001 - \$15,000	Tax-Deferred	<input type="checkbox"/>
Avantax Investment Services ⇒ ISHARES TRUST CORE DIVID GWTH [MF]		\$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 ⇒ Morgan Stanley International Advantage Class I [MF]	None		Tax-Deferred	<input checked="" type="checkbox"/>
DESCRIPTION: All shares were sold.				
Avantax Investment Services ⇒ PGIM TOTAL RETURN BOND CL Z [MF]	None		Tax-Deferred	<input checked="" type="checkbox"/>
DESCRIPTION: All shares were sold.				

Asset	Owner	Value of Asset	Income Type(s)	Income Tx. > \$1,000?
Avantax Investment Services ⇒ PIMCO ETF TR ACTIVE BD ETF [EF]		None	Tax-Deferred	<input checked="" type="checkbox"/>
DESCRIPTION: All shares were sold.				
Avantax Investment Services ⇒ PIMCO INC CL 12 [MF]		\$1,001 - \$15,000	Tax-Deferred	<input type="checkbox"/>
Avantax Investment Services ⇒ PIMCO TOTAL RETURN FUND CL 12 [MF]		\$1,001 - \$15,000	Tax-Deferred	<input type="checkbox"/>
Avantax Investment Services ⇒ PRINCIPAL REAL ESTATE SEC INSTL CL [MF]		None	Tax-Deferred	<input checked="" type="checkbox"/>
DESCRIPTION: All shares were sold.				
Avantax Investment Services ⇒ Select Sector SPDR TR Financial [EF]		\$1,001 - \$15,000	Tax-Deferred	<input type="checkbox"/>
Avantax Investment Services ⇒ T Rowe Price Blue Chip Growth Inc. [MF]		\$100,001 - \$250,000	Tax-Deferred	<input checked="" type="checkbox"/>
Avantax Investment Services ⇒ T ROWE PRICE CAP APPRECIATION [MF]		\$15,001 - \$50,000	Tax-Deferred	<input type="checkbox"/>
Avantax Investment Services ⇒ VANGUARD SMALL CAP STOCK INDEX ADMIRAL [MF]		\$15,001 - \$50,000	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"/>
First Citizens Bank ⇒ Checking Account [BA]		\$1,001 - \$15,000	None	<input type="checkbox"/>
Goldman Sachs Bank ⇒ Marcus Savings Account [BA]		\$15,001 - \$50,000	Interest	\$201 - \$1,000 <input 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 ⇒ Boeing Company (BA) [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 ⇒ 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"/>
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"/>
TD WATERHOUSE CLEARING ⇒ Pinterest, Inc. Class A (PINS) [ST]		None	Tax-Deferred		<input checked="" type="checkbox"/>
DESCRIPTION: All shares were sold.					
TD WATERHOUSE CLEARING ⇒ Raytheon Technologies Corporation (RTX) [ST]		\$1 - \$1,000	Tax-Deferred		<input type="checkbox"/>
TD WATERHOUSE CLEARING ⇒ Select Sector SPDR Trust Technology ETF [EF]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
TD WATERHOUSE CLEARING ⇒ SPDR GOLD TR GOLD SHS ETF [EF]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
TD WATERHOUSE CLEARING ⇒ SPDR Series Trust Portfolio S&P 1500 Comp STK ETF (SPTM) [EF]		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
TD WATERHOUSE CLEARING ⇒ US GLOBAL JETS ETF [EF]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
TD WATERHOUSE CLEARING ⇒ Verizon Communications Inc. (VZ) [ST]		\$1 - \$1,000	Tax-Deferred		<input type="checkbox"/>
TD WATERHOUSE CLEARING ⇒ Visa Inc. (V) [ST]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
TD WATERHOUSE CLEARING ⇒ Wasatch Ultra Growth Fund [MF]		None	Tax-Deferred		<input checked="" type="checkbox"/>
DESCRIPTION: All share were sold.					
Wasatch Global Investors ⇒		\$15,001 - \$50,000	Capital Gains,	\$201 -	<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Wasatch Ultra Growth Fund [MF]			Dividends	\$1,000	

\* 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 B: TRANSACTIONS

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Avantax Investment Services ⇒ Baron Emerging Markets Fund [MF]		04/29/2022	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Avantax Investment Services ⇒ Baron Small Cap Fund [MF]		06/16/2022	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Avantax Investment Services ⇒ Baron Small Cap Fund [MF]		05/2/2022	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Avantax Investment Services ⇒ Eaton Vance Floating Rate Advantage [MF]		05/2/2022	P	\$1,001 - \$15,000	
Avantax Investment Services ⇒ Eaton Vance Short Duration Strategic Income Fund [MF]		03/31/2022	P	\$1,001 - \$15,000	
Avantax Investment Services ⇒ Fidelity Government Money Market Fund [MF]		09/19/2022	P	\$1,001 - \$15,000	
Avantax Investment Services ⇒ First Tr Morningstar Dividend Leaders Index Fund [MF]		05/2/2022	P	\$1,001 - \$15,000	
Avantax Investment Services ⇒ First Trust Morningstar Dividend Leaders Index Fund [MF]		05/2/2022	P	\$1,001 - \$15,000	
Avantax Investment Services ⇒ Grant Park Multi Alternative Strategies Fund [MF]		05/3/2022	P	\$1,001 - \$15,000	
Avantax Investment Services ⇒ Grant Park Multi Alternatives Strategies Fund [MF]		05/2/2022	P	\$1,001 - \$15,000	
Avantax Investment Services ⇒ Morgan Stanley International Advantage Class I [MF]		05/2/2022	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Avantax Investment Services ⇒		03/31/2022	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
PGIM Total Return Bond Class Z [MF]					
Avantax Investment Services ⇒ PIMCO ETF TR Active BD [MF]		05/2/2022	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Avantax Investment Services ⇒ Principal Real Estate Securities Fund [MF]		09/19/2022	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Avantax Investment Services ⇒ T Rowe Price Blue Chip Growth Inc. [MF]		05/2/2022	S (partial)	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
TD WATERHOUSE CLEARING ⇒ Pinterest, Inc. Class A (PINS) [ST]		01/14/2022	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
TD WATERHOUSE CLEARING ⇒ SPDR Portfolio S&P 1500 Composite Stock Market ETF (SPTM) [EF]		01/6/2022	S	\$1,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: All shares were sold.					
TD WATERHOUSE CLEARING ⇒ SPDR Portfolio S&P 1500 Composite Stock Market ETF (SPTM) [EF]		08/8/2022	P	\$1,001 - \$15,000	
TD WATERHOUSE CLEARING ⇒ Wasatch Funds Ultra Growth Investor [MF]		05/20/2022	P	\$1,001 - \$15,000	
TD WATERHOUSE CLEARING ⇒ Wasatch Ultra Growth Fund [MF]		05/20/2022	S	\$1,001 - \$15,000	<input type="checkbox"/>
Wasatch Global Investors ⇒ Wasatch Ultra Growth Fund [MF]		03/11/2022	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Wasatch Global Investors ⇒ Wasatch Ultra Growth Fund [MF]		05/11/2023	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Wasatch Global Investors ⇒ Wasatch Ultra Growth Fund [MF]		08/16/2022	S (partial)	\$1,001 - \$15,000	<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 C: EARNED INCOME

None disclosed.

#### SCHEDULE D: LIABILITIES

Owner Creditor	Date Incurred	Type	Amount of Liability
Mr. Cooper Mortgage	May 2021	Refinance of home mortgage	\$250,001 - \$500,000

COMMENTS: The Money Source mortgage listed on the 2020 Financial Disclosure Report was paid in full and a new mortgage was taken out with Mr. Cooper Mortgage.

#### 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

Source	Trip Details				Inclusions		
	Start Date	End Date	Itinerary	Days at Own Exp.	Lodging?	Food?	Family?
The Aspen Institute, Inc.	08/28/2022	09/2/2022	Wilmington, NC - Reykjavik, Iceland - 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

- 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 Rouzer , 05/15/2023