



# FINANCIAL DISCLOSURE REPORT

Clerk of the House of Representatives • Legislative Resource Center • 135 Cannon Building • Washington, DC 20515

## FILER INFORMATION

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

## FILING INFORMATION

**Filing Type:** Annual Report  
**Filing Year:** 2016  
**Filing Date:** 05/11/2017

## SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Alabama S OID	JT	\$1,001 - \$15,000	Interest	\$201 - \$1,000	<input checked="" type="checkbox"/>
American New Perspective		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
American New Perspective C	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
American New Perspective F2	SP	\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Apple Inc. (AAPL)	JT	\$1,001 - \$15,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
COMMENTS: Asset was acquired by inheritance in 2016					
AT&T Inc. (T)	JT	\$15,001 - \$50,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
COMMENTS: Asset was partially acquired by inheritance and partially purchased during 2016.					
Ava Maria Rising Dividend		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Avon Products, Inc. Bond	JT	None	Capital Gains, Interest	\$201 - \$1,000	<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
DESCRIPTION: This asset was sold, not called or redeemed.					
Baldwin County AL Board of Ed Bond 2/9/10	JT	\$1,001 - \$15,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Baldwin County AL Genl Oblg Wts	JT	\$1,001 - \$15,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Baxter International Inc. (BAX)	JT	None	Capital Gains, Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
COMMENTS: This asset was acquired by inheritance in 2016.					
Becton, Dickinson and Company (BDX)	JT	\$1,001 - \$15,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
COMMENTS: This asset was acquired by inheritance in 2016.					
Berkshire Hathaway Inc. New (BRK.B)	JT	\$1,001 - \$15,000	Dividends	None	<input checked="" type="checkbox"/>
COMMENTS: This asset was acquired by inheritance in 2016.					
Charles Schwab Corporation (SCHW)	JT	\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Clearbridge Special Inv. Tr 1	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Coca-Cola Company (KO)	JT	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
COMMENTS: Part of this asset was acquired by inheritance and part was acquired by purchase in 2016.					
Columbia Contrarian Core C	JT	\$15,001 - \$50,000	Capital Gains, Dividends	\$201 - \$1,000	<input type="checkbox"/>
Columbia Contrarian Core Z	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Decatur Ala City Brd Ed Spl Tax Sch	JT	\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Decatur Ala Swr Rev Wts	JT	\$1,001 - \$15,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Doubleline Total Return N	JT	\$1,001 - \$15,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
COMMENTS: This asset was acquired by inheritance in 2016.					
Duke Capital Corp Bonds		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>

<b>Asset</b>	<b>Owner</b>	<b>Value of Asset</b>	<b>Income Type(s)</b>	<b>Income</b>	<b>Tx. &gt; \$1,000?</b>
DESCRIPTION: This asset was not called or redeemed.					
Duke Energy Corporation (DUK)	SP	\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Duke Energy Corporation (DUK)		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Etowah Cnty Ala Brd Ed Cap Outlay	JT	\$1,001 - \$15,000	Interest	\$1 - \$200	<input type="checkbox"/>
Exxon Mobil Corporation (XOM)	JT	\$1,001 - \$15,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
COMMENTS: This asset was acquired by inheritance in 2016.					
General Dynamics Corporation (GD)	JT	\$1,001 - \$15,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
COMMENTS: This asset was acquired by inheritance in 2016.					
Homewood Ala City Brd Ed Spl Tax Sch Wts Rev	JT	\$1,001 - \$15,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Huntsville AL Genl Oblig Warrants Ref-A	JT	\$1,001 - \$15,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Huntsville-Redstone Village Bonds	JT	\$1,001 - \$15,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Inteliquent, Inc. (IQNT)		None	Capital Gains	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
Ishares S&P US PFD STK IDX FD		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Issuer Direct Corporation (ISDR)	SP	None	Capital Gains	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
Lee Enterprises, Incorporated (LEE)		None	Capital Gains	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
Legg Mason Opportunity Trust Mutual Fund	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Lord Abbett High Yied C	JT	\$1,001 - \$15,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Managers AMG Yacktman Svc		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Marriott International - Class A (MAR)	JT	\$15,001 - \$50,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Mastercard Incorporated (MA)	JT	\$1,001 - \$15,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
COMMENTS: This asset was acquired by inheritance in 2016.					
Menlo Pk Calif City Sch Dist Ref OY 4.24	JT	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Mobile Cnty Ala Brd Sch Commrs Cap	JT	\$1,001 - \$15,000	Interest	\$1 - \$200	<input type="checkbox"/>
Montevallo Ala Amern Vlg Pub Edl Bldg A OID	JT	\$1,001 - \$15,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Morgan Stanley Bank N. A.		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Morgan Stanley Private Bank	JT	\$1,001 - \$15,000	Interest	\$1 - \$200	<input type="checkbox"/>
Morgan Stanley Private Bank	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
COMMENTS: This asset was named MS Liquid Asset Fund last year.					
North Carolina Cap Facs Fin Agy Duke Univ Pj Rev-Bj	JT	\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input checked="" type="checkbox"/>
North Carolina Med Care Commn Health Car	JT	\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input checked="" type="checkbox"/>
Oakmark I		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Oakmark International I	JT	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
COMMENTS: This asset was acquired by inheritance in 2016.					
Oracle Corporation (ORCL)	JT	\$1,001 - \$15,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
COMMENTS: This asset was acquired by inheritance in 2016.					
Pennsylvania Higher Edu FACS Auth Rev Ref-A	JT	\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input checked="" type="checkbox"/>
Phenix City Al Sch Wts Genl Oblig	JT	\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Pike Road AI OID	JT	\$1,001 - \$15,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Procter & Gamble Company (PG)	JT	\$1,001 - \$15,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
COMMENTS: This asset was acquired by inheritance in 2016.					
Redstone Federal Credit Union	JT	\$100,001 - \$250,000	Interest	\$1 - \$200	<input type="checkbox"/>
Royce Special EQ Multicap Cons	JT	\$15,001 - \$50,000	Capital Gains, Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Royce Total Return Con	JT	\$50,001 - \$100,000	Capital Gains, Dividends	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
Royce Total Return Inv	SP	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
RS Large Cap Alpha Fund Class A	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Seadrill Partners LLC Common Units Representing Limited Liability Company Interests (SDLP)	JT	\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
SPDR S&P Dividend	JT	\$15,001 - \$50,000	Capital Gains, Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Tenn Valley Auth	JT	\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: This asset was not called or redeemed.					
The Southern Company Bonds	JT	\$1,001 - \$15,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: This asset was not called or redeemed.					
Tucows Inc. (TCX)	JT	\$15,001 - \$50,000	Dividends	None	<input checked="" type="checkbox"/>
Tucows Inc. (TCX)		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Twenty-First Century Fox, Inc. - Class A (FOXA)	JT	\$1,001 - \$15,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
COMMENTS: Part of this asset was purchased and part was acquired by inheritance in 2016.					
Union Pacific Corporation (UNP)	JT	\$1,001 - \$15,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
COMMENTS: This asset was acquired by inheritance in 2016.					
Vanguard Wellesley Inc INV	SP	\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Vanguard Wellesley Inc. Inv		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Verizon Communications Inc. (VZ)	JT	\$1,001 - \$15,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
COMMENTS: This asset was acquired by inheritance in 2016.					
Victory Cemp US Eq Income	JT	\$1,001 - \$15,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
W.P. Carey Inc. REIT (WPC)		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Wells Fargo & Company (WFC)	JT	\$1,001 - \$15,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
COMMENTS: Part of this asset was acquired by purchase and part by inheritance in 2016.					

## SCHEDULE B: TRANSACTIONS

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Alabama S OID	JT	02/16/2016	P	\$15,001 - \$50,000	
American New Perspective C	JT	01/4/2016	P	\$1,001 - \$15,000	
American New Perspective C	JT	02/5/2016	P	\$1,001 - \$15,000	
American New Perspective C	JT	08/5/2016	P	\$1,001 - \$15,000	
American New Perspective F2	SP	09/19/2016	P	\$1,001 - \$15,000	
AMG Yacktman Svc	SP	08/29/2016	S	\$1,001 - \$15,000	<input type="checkbox"/>
AT&T Inc. (T)	JT	10/10/2016	P	\$1,001 - \$15,000	
COMMENTS: Part of the total holding of this asset was acquired by purchase and part by inheritance in 2016.					
Avon Products, Inc Bond	JT	08/5/2016	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
DESCRIPTION: This asset was sold, not redeemed or called.					

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Baxter International Inc. (BAX)	JT	08/31/2016	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
COMMENTS: This asset was acquired by inheritance in 2016.					
Coca-Cola Company (KO)	JT	09/19/2016	P	\$1,001 - \$15,000	
COMMENTS: Part of the total holding of this asset was purchased and part was acquired by inheritance in 2016.					
Duke Energy Corporation (DUK)	SP	02/5/2016	P	\$1,001 - \$15,000	
Inteliquent, Inc. (IQNT)		11/4/2016	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Ishares S&P US PFD STK IDX FD		11/4/2016	P	\$1,001 - \$15,000	
Issuer Direct Corporation (ISDR)	SP	08/29/2016	P	\$1,001 - \$15,000	
Issuer Direct Corporation (ISDR)	SP	12/13/2016	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Issuer Direct Corporation (ISDR)	SP	12/14/2016	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Lee Enterprises, Incorporated (LEE)		09/7/2016	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
COMMENTS: The other transaction that completely liquidated this asset was for less than \$1,000 and capital gains were less than \$200.					
Lord Abbett High Yield C	JT	11/10/2016	P	\$1,001 - \$15,000	
Managers AMG Yacktman Svc		04/21/2016	S	\$1,001 - \$15,000	<input type="checkbox"/>
Marriott International - Class A (MAR)	JT	10/31/2016	P	\$15,001 - \$50,000	
Menlo Pk Calif City Sch Dist Ref OY 4.24	JT	02/22/2016	P	\$1,001 - \$15,000	
NC CAP FACS-B DE 4250	JT	08/22/2016	P	\$15,001 - \$50,000	
COMMENTS: This asset was redeemed for face value on 11/3/16.					
NC CAP FACS-B DE 4750	JT	02/5/2016	P	\$1,001 - \$15,000	
COMMENTS: This asset was redeemed at face value on 11/3/16.					
North Carolina Cap Facs Fin agy Duke Univ Pj Rev-B	JT	01/7/2016	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
North Carolina Med Care Commn Health Car	JT	11/1/2016	P	\$15,001 - \$50,000	
Pennsylvania Higher Edu FACS Auth Rev Ref-A	JT	06/30/2016	P	\$15,001 - \$50,000	
Retirement Systems of Alabama	SP	06/30/2016	S	\$1,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: This transaction is a cash-out of Spouse's teacher retirement account. The account was not self-directed and did not earn any income.					
Royce Special EQ Multicap Cons	JT	02/5/2016	S	\$1,001 - \$15,000	<input type="checkbox"/>
Royce Special EQ Multicap Cons	JT	02/23/2016	S	\$1,001 - \$15,000	<input type="checkbox"/>
Royce Special EQ Multicap Cons	JT	02/26/2016	S	\$1,001 - \$15,000	<input type="checkbox"/>
SPDR S&P Dividend	JT	10/31/2016	P	\$15,001 - \$50,000	
Tucows Inc. (TCX)	JT	08/12/2016	P	\$1,001 - \$15,000	
Tucows Inc. (TCX)	JT	09/28/2016	P	\$1,001 - \$15,000	
Tucows Inc. (TCX)		02/16/2016	P	\$1,001 - \$15,000	
Twenty-First Century Fox, Inc. - Class A (FOXA)	JT	08/3/2016	P	\$1,001 - \$15,000	
COMMENTS: Part of the total holding of this asset was purchased and part was acquired by inheritance in 2016.					
Vanguard Wellesley Inc Inv		09/8/2016	P	\$1,001 - \$15,000	
Vanguard Wellesley Inc INV	SP	12/13/2016	P	\$1,001 - \$15,000	
Vanguard Wellesley Inc INV	SP	12/14/2016	P	\$1,001 - \$15,000	
Victory Cemp US Eq Income	JT	09/6/2016	P	\$1,001 - \$15,000	
Wells Fargo & Company (WFC)	JT	08/23/2016	P	\$1,001 - \$15,000	
COMMENTS: Part of the total holding of this asset was purchased and part was acquired by inheritance in 2016.					

## SCHEDULE C: EARNED INCOME

None disclosed.



## SCHEDULE D: LIABILITIES

Owner	Creditor	Date Incurred	Type	Amount of Liability
JT	Capital Hill Tower	January 2011	Underlying mortgage on cooperative unit	\$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 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

Trip Details					Inclusions		
Source	Start Date	End Date	Itinerary	Days at Own Exp.	Lodging?	Food?	Family?
Aspen Institute Congressional Program	03/28/2016	04/4/2016	Huntsville, AL - Beijing, China - Nanjing, China - Huntsville, AL	0	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

## 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 , 05/11/2017