Filing ID #10022922

Financial Disclosure Report

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Filer Information

Name: Hon. Ron Estes
Status: Member
State/District: KS04

Filing Information

Filing Type: Annual Report
Filing Year: 2017
Filing Date: 08/13/2018

Schedule A: Assets and "Unearned" Income

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
Hewitt/Koch 401K ⇒ Balanced Index Allocation - Vanguard Group Inc and Blackrock Institutional Trust Company NA [CS] Description: Balanced index fune		$50,001 - $100,000	Tax-Deferred		
Hewitt/Koch 401K ⇒ GIC Stable Value- Galliard Capital Management Inc [OT] Description: Stable value fund		$250,001 - $500,000	Tax-Deferred		
Hewitt/Koch 401K ⇒ Mid-Cap Index - Blackrock Institutional Trust Company NA [EF]		$1,001 - $15,000	Tax-Deferred		
Hewitt/Koch 401K ⇒ MSCI EAFE Index Fund - Blackrock [EF] Description: Developing Market Index		None	Tax-Deferred		
Hewitt/Koch 401K ⇒ S & P 500 Index - Vanguard [EF] Description: S & P 500 Index		None	Tax-Deferred		
Hewitt/Koch 401K ⇒ Target Retirement 2040 - Vanguard Goup Inc [OT]		$15,001 - $50,000	Tax-Deferred		

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
DESCRIPTION: Age based retirement account					
Hewitt/Koch 401K ⇒ Total US Aggregate Bond Market - Blackrock Institutional Trust Company NA [CS] DESCRIPTION: Bond market fund		$50,001 - $100,000	Tax-Deferred		☐
Hewitt/Koch 401K ⇒ US Value Index - Vanguard Group Inc [EF]		$1,001 - $15,000	Tax-Deferred		☐
Intrust checking and savings [BA]	JT	$1,001 - $15,000	Interest	$1 - $200	☐
Kansas Learning Quest ⇒ ACI - Aggressive Track 40% Equity Portfolio [OT] DESCRIPTION: DC2 account		$15,001 - $50,000	Tax-Deferred		☑
Kansas Learning Quest ⇒ ACI Aggressive Track 50% Equity Portfolio [OT] DESCRIPTION: DC3 account		$15,001 - $50,000	Tax-Deferred		☑
KPERS [DB] DESCRIPTION: Pension value is paid out over lifetime during retirement		Undetermined	Pension	$5,001 - $15,000	☐
KPERS 457 ⇒ DFA US Large Cap Value 1 [EF]		$1,001 - $15,000	Tax-Deferred		☐
KPERS 457 ⇒ Stable Value Fund - Great-West Life & Annuity Insurance Company [OT] DESCRIPTION: Stable value fund		$100,001 - $250,000	Tax-Deferred		☐
KPERS 457 ⇒ T Rowe Price Capital Appreciation [OT] DESCRIPTION: Balanced fund		$15,001 - $50,000	Tax-Deferred		☐
KPERS 457 ⇒ Vanguard Total Bond Market Index Inst [OT] DESCRIPTION: Bond fund		$1,001 - $15,000	Tax-Deferred		☐
Mid American Credit Union [BA]		$1,001 - $15,000	Dividends	$1 - $200	☐
Mid American Credit Union [BA]	DC	$1,001 - $15,000	Dividends	$1 - $200	☐

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
Optum Health Savings Account ⇒ Optum Health Savings Account [OT] DESCRIPTION: Health Savings Account		$1,001 - $15,000	Tax-Deferred		☑
Roth IRA ⇒ American Balanced Fund Cl F3 [MF] DESCRIPTION: Growth and income		$1,001 - $15,000	Tax-Deferred		☐
Roth IRA ⇒ American Mutual Fund Cl F3 [MF] DESCRIPTION: Growth and income		$1,001 - $15,000	Tax-Deferred		☐
Roth IRA ⇒ Capital World Growth and Income fund Cl F3 - American Funds [MF] DESCRIPTION: Growth and income		$1,001 - $15,000	Tax-Deferred		☐
Roth IRA ⇒ Investment Company of America - American Funds [MF] DESCRIPTION: Growth and Income		$1,001 - $15,000	Tax-Deferred		☐
Roth IRA ⇒ JP Morgan Mid Cap Value Cl L [MF] DESCRIPTION: Growth		$1,001 - $15,000	Tax-Deferred		☐
Roth IRA ⇒ JPMorgan Government Bond Fund Ultra Class [MF] DESCRIPTION: Income		$1,001 - $15,000	Tax-Deferred		☐
Roth IRA ⇒ MFS Corporate Bond Fund R6 [MF] DESCRIPTION: Income		$1,001 - $15,000	Tax-Deferred		☐
Roth IRA ⇒ MFS New Discovery Fund Cl R6 [MF] DESCRIPTION: Growth		$1 - $1,000	Tax-Deferred		☐
Roth IRA ⇒ New Perspective Fund Cl F3 - American Funds [MF] DESCRIPTION: Growth and Income		$1,001 - $15,000	Tax-Deferred		☐
Roth IRA ⇒ Vanguard FTSE All World Ex-US Small Cap Index [EF]		$1,001 - $15,000	Tax-Deferred		☐
Spouse 401k - CUNA Mutual Holding Company ⇒ CUNA Mutual Lifestyle Agressive [OT]	SP	$1,001 - $15,000	Tax-Deferred		☐

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
DESCRIPTION: CUNA Mutual Group 401k					
Spouse 401k - CUNA Mutual Holding Company ⇒ CUNA Mutual Lifestyle Conservative [OT]	SP	$1 - $1,000	Tax-Deferred		☐
DESCRIPTION: Conservative portfolio					
Spouse 401k -Principal Financial Group ⇒ Prin LifeTime Hybrid 2030 CIT [OT]	SP	$50,001 - $100,000	Tax-Deferred		☐
DESCRIPTION: Nationwide 401k					
Spouse 403b - Lincoln Investment ⇒ Oppenheimer Equity Income Fund Class A [OT]	SP	$1,001 - $15,000	Tax-Deferred		☐
DESCRIPTION: Spouse 403b - Lincoln Investment					
Spouse 403b - Lincoln Investment ⇒ Oppenheimer International Equity Fund Class A [OT]	SP	$1,001 - $15,000	Tax-Deferred		☐
DESCRIPTION: Spouse 403b - Lincoln Investment					
Spouse 403b - Lincoln Investment ⇒ Oppenheimer Intl Bond Class A [OT]	SP	$1,001 - $15,000	Tax-Deferred		☐
DESCRIPTION: Spouse 403b - Lincoln Investment					
Spouse 403b - Lincoln Investment ⇒ Oppenheimer Intl Growth Class A [OT]	SP	$1,001 - $15,000	Tax-Deferred		☐
DESCRIPTION: Spouse 403b - Lincoln Investment					
Spouse 403b - Lincoln Investment ⇒ Oppenheimer Main Street Fund Class A [OT]	SP	$1,001 - $15,000	Tax-Deferred		☐
DESCRIPTION: Lincoln Investment 403b					
Spouse 403b - Lincoln Investment ⇒ Oppenheimer Total Return Bond Fund Class A [OT]	SP	$1,001 - $15,000	Tax-Deferred		☐
DESCRIPTION: Spouse 403b - Lincoln Investment					
Spouse Deferred Comp - MA ⇒ SMART Capital Preservation Fund [OT]	SP	$1,001 - $15,000	Tax-Deferred		☑
DESCRIPTION: Deferred Comp					
Spouse Deferred Comp - MA ⇒ The Income Fund [OT]	SP	None	Tax-Deferred		☑
DESCRIPTION: MA Deferred Comp - ING					
Spouse KPERS [DB]	SP	$1 - $1,000	Tax-Deferred		☐
DESCRIPTION: Spouse KPERS					

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
Spouse Roth IRA - Putnam Investments ⇒ George Putnam Balanced Fund A [EF]	SP	$1 - $1,000	Tax-Deferred		☐
Spouse Roth IRA - Putnam Investments ⇒ Putnam Equity Income Fund A [EF]	SP	$1,001 - $15,000	Tax-Deferred		☑
Spouse Roth IRA - Putnam Investments ⇒ Putnam Growth & Income - A [OT] Description: Spouse Roth IRA	SP	None	Tax-Deferred		☑
Spouse Roth IRA - Putnam Investments ⇒ Putnam Growth Opportunities - A [OT] Description: Spouse Roth IRA	SP	$1,001 - $15,000	Tax-Deferred		☐
Spouse Roth IRA - Putnam Investments ⇒ Putnam Income Fund A [EF]	SP	$1 - $1,000	Tax-Deferred		☐
Spouse Roth IRA - Putnam Investments ⇒ Putnam Intl Capital Opps - A [OT] Description: Spouse Roth IRA	SP	$1,001 - $15,000	Tax-Deferred		☐
Thrift Savings Plan ⇒ Thrift Savings Plan [OT] Description: Thrift Savings Plan		$1,001 - $15,000	Tax-Deferred		☑
UMB Health Savings Account ⇒ UMB Health Savings Account [OT] Description: Spouse Health Savings Account	SP	$1,001 - $15,000	Tax-Deferred		☐

* 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?
Kansas Learning Quest ⇒ Agressive Track 40% Equity Portfolio [OT] Location: US Description: Converting Learning Quest balance to a different portfolio		07/14/2017	E	$15,001 - $50,000	
Kansas Learning Quest ⇒ Agressive Track 50% Equity Portfolio [OT] Location: US		07/14/2017	E	$15,001 - $50,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > $200?
DESCRIPTION: Rebalance Kansas Learning Account					
Optum Health Savings Account ⇒ Optum Health Savings Account [OT] LOCATION: US DESCRIPTION: Contribute cash into Health Savings Account		12/29/2017	P	$1,001 - $15,000	
Spouse 403b - Lincoln Investment ⇒ Oppenheimer Discovery Mid Cap Growth Fund Class A [OT] LOCATION: US DESCRIPTION: Rebalance investments in Spouse 403b	SP	01/1/2017	E	$1,001 - $15,000	
Spouse Deferred Comp - MA ⇒ SMART Capital Preservation Fund [OT] LOCATION: US DESCRIPTION: Transfer Administrator from ING to Great West	SP	01/1/2017	E	$1,001 - $15,000	
Spouse Roth IRA - Putnam Investments ⇒ Putnam Equity Income Fund - A [EF] DESCRIPTION: Conversion from Putnam Growth & Income-A to Putnam Equity Income Fund-A	SP	05/12/2017	E	$1,001 - $15,000	
Thrift Savings Plan ⇒ Thrift Savings Plan [OT] LOCATION: US DESCRIPTION: Payroll withholding		Monthly	P	$1,001 - $15,000	

* 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 C: Earned Income

Source	Type	Amount
Kansas State Treasurer's Office	Salary as Kansas State Treasurer before becoming Congressman	$27,552.70

Schedule D: Liabilities

Owner	Creditor	Date Incurred	Type	Amount of Liability
DC	Department of Education	August 2013; August 2016	Student loans	$10,000 - $15,000
	Intrust Visa	December 2017	Credit card	$10,000 - $15,000
	Member Mortgage Services	January 2013	Home mortgage	$100,001 -

Owner	Creditor	Date Incurred	Type	Amount of Liability
				$250,000

Schedule E: Positions

Position	Name of Organization
Board of Trustees	Kansas Public Employee Retirement System
Board Member	Pooled Money Investment Board
Kansas State Treasurer	State of Kansas

Schedule F: Agreements

Date	Parties To	Terms of Agreement
April 2017	State of Kansas and myself	Participation in the pension system and the 457 plan

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.

Schedule A and B Asset Class Details

- Hewitt/Koch 401K
- Kansas Learning Quest
Location: KS
- KPERS 457
- Optum Health Savings Account
Location: US
- Roth IRA
- Spouse 401k - CUNA Mutual Holding Company (Owner: SP)
- Spouse 401k -Principal Financial Group (Owner: SP)
- Spouse 403b - Lincoln Investment (Owner: SP)
- Spouse Deferred Comp - MA (Owner: SP)
- Spouse Roth IRA - Putnam Investments (Owner: SP)

- Thrift Savings Plan
  Location: US
  Description: TSP
- UMB Health Savings Account (Owner: SP)

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. Ron Estes , 08/13/2018