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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: 2018
Filing Date: 08/3/2019

Schedule A: Assets and "Unearned" Income

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
Dependent Coverdale college savings ⇒ Putnam Equity Income Fund - A [OT] Description: Asset increased in value in 2018		$1,001 - $15,000	Tax-Deferred		☐
Hewitt/Koch 401K ⇒ Balanced Index Allocation - Vanguard Group Inc and Blackrock Institutional Trust Company NA [EF] 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		$15,001 - $50,000	Tax-Deferred		☑
Hewitt/Koch 401K ⇒ Mid-Cap Index - Blackrock Institutional Trust Company NA [EF]		$15,001 - $50,000	Tax-Deferred		☑
Hewitt/Koch 401K ⇒ MSCI EAFE Index Fund - Blackrock [EF] Description: 401k Developed Markets EAFE index Added in 2018 when rebalancing portfolio		$50,001 - $100,000	Tax-Deferred		☑
Hewitt/Koch 401K ⇒ S & P 500 Index - Vanguard [EF]		$100,001 - $250,000	Tax-Deferred		☑

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
DESCRIPTION: 401k S&P 500 index Added in 2018 when rebalancing portfolio					
Hewitt/Koch 401K ⇒ Target Retirement 2040 - Vanguard Goup Inc [OT] DESCRIPTION: Age based retirement account		$15,001 - $50,000	Tax-Deferred		✓
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] DESCRIPTION: Sold out in 2018 while rebalancing portfolio		None	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 set to 0 DC3 account amount added during rebalancing in 2018		$15,001 - $50,000	Tax-Deferred		✓
Kansas Learning Quest ⇒ ACI Aggressive Track 50% Equity Portfolio [OT] DESCRIPTION: DC3 account Account balance set to 0 during rebalancing in 2018		None	Tax-Deferred		✓
Kansas Learning Quest ⇒ Agressive Track 30% Equity Portfolio [OT] DESCRIPTION: DC2 account was rebalanced into asset in 2018		$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		

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
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	☐
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		☐

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
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] DESCRIPTION: CUNA Mutual Group 401k	SP	$1,001 - $15,000	Tax-Deferred		☐
Spouse 401k - CUNA Mutual Holding Company ⇒ CUNA Mutual Lifestyle Conservative [OT] DESCRIPTION: Conservative portfolio	SP	$1 - $1,000	Tax-Deferred		☐
Spouse 401k - Transamerica ⇒ State Street Target Retire 2030 NL Class A [OT] DESCRIPTION: Spouse 401k - Transamerica Account was transferred from Principle to Transamerica in 2018		$50,001 - $100,000	Tax-Deferred		☑
Spouse 401k -Principal Financial Group ⇒ Prin LifeTime Hybrid 2030 CIT [OT] DESCRIPTION: Spouse 401k	SP	None	Tax-Deferred		☑
Spouse 403b - Lincoln Investment ⇒ Oppenheimer Discovery Mid Cap Growth Fund Class Y [OT] DESCRIPTION: Spouse 403b - Lincoln Investment Note: Asset value increased above $1,000 in 2018	SP	$1,001 - $15,000	Tax-Deferred		☐
Spouse 403b - Lincoln Investment ⇒ Oppenheimer Equity Income Fund Class Y [OT] DESCRIPTION: Spouse 403b - Lincoln Investment	SP	$1,001 - $15,000	Tax-Deferred		☐
Spouse 403b - Lincoln Investment ⇒ Oppenheimer International Equity Fund Class Y [OT] DESCRIPTION: Spouse 403b - Lincoln Investment	SP	$1,001 - $15,000	Tax-Deferred		☐
Spouse 403b - Lincoln Investment ⇒ Oppenheimer Intl Bond Class Y [OT] DESCRIPTION: Spouse 403b - Lincoln Investment	SP	$1,001 - $15,000	Tax-Deferred		☐
Spouse 403b - Lincoln Investment ⇒ Oppenheimer Intl Growth Class Y [OT] DESCRIPTION: Spouse 403b - Lincoln Investment	SP	$1 - $1,000	Tax-Deferred		☐
Spouse 403b - Lincoln Investment ⇒	SP	$1,001 - $15,000	Tax-Deferred		☐

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
Oppenheimer Main Street Fund Class Y [OT] DESCRIPTION: Lincoln Investment 403b					
Spouse 403b - Lincoln Investment ⇒ Oppenheimer Senior Floating Rate Fund Class Y [OT] DESCRIPTION: Spouse 403b - Lincoln Investment Note: Asset value increased above $1,000 in 2018	SP	$1,001 - $15,000	Tax-Deferred		☐
Spouse 403b - Lincoln Investment ⇒ Oppenheimer Total Return Bond Fund Class Y [OT] DESCRIPTION: Spouse 403b - Lincoln Investment	SP	$1,001 - $15,000	Tax-Deferred		☐
Spouse Deferred Comp - MA ⇒ SMART Capital Preservation Fund [OT] DESCRIPTION: Deferred Comp	SP	$1,001 - $15,000	Tax-Deferred		☐
Spouse KPERS [DB] DESCRIPTION: Spouse KPERS	SP	$1 - $1,000	Tax-Deferred		☐
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 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		☐
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?
Hewitt/Koch 401K ⇒ Balanced Index Allocation - Vanguard Group Inc and Blackrock Institutional Trust Company NA [EF] DESCRIPTION: Rebalance 401k portfolio in 2018		01/10/2018	P	$15,001 - $50,000	
Hewitt/Koch 401K ⇒ GIC Stable Value- Galliard Capital Management Inc [OT] LOCATION: US DESCRIPTION: Rebalance 401k portfolio in 2018		01/10/2018	S (partial)	$250,001 - $500,000	☐
Hewitt/Koch 401K ⇒ Mid-Cap Index - Blackrock Institutional Trust Company NA [EF] DESCRIPTION: Rebalance 401k portfolio in 2018		01/10/2018	P	$15,001 - $50,000	
Hewitt/Koch 401K ⇒ MSCI EAFE Index Fund - Blackrock [EF] DESCRIPTION: Rebalance 401k portfolio in 2018		01/10/2018	P	$50,001 - $100,000	
Hewitt/Koch 401K ⇒ S & P 500 Index - Vanguard [EF] DESCRIPTION: Rebalance 401k portfolio in 2018		01/10/2018	P	$100,001 - $250,000	
Hewitt/Koch 401K ⇒ Target Retirement 2040 - Vanguard Goup Inc [OT] LOCATION: US DESCRIPTION: Rebalance 401k portfolio in 2018		01/10/2018	P	$15,001 - $50,000	
Hewitt/Koch 401K ⇒ Total US Aggregate Bond Market - Blackrock Institutional Trust Company NA [CS] DESCRIPTION: Rebalance 401k portfolio in 2018		01/10/2018	P	$1,001 - $15,000	
Hewitt/Koch 401K ⇒ US Value Index - Vanguard Group Inc [EF] DESCRIPTION: Rebalance 401k portfolio in 2018		01/10/2018	S	$1,001 - $15,000	☐
Kansas Learning Quest ⇒ Agressive Track 30% Equity Portfolio [OT] LOCATION: US DESCRIPTION: Rebalanced DC2 529 account in 2018		09/5/2018	P	$15,001 - $50,000	
Kansas Learning Quest ⇒ Agressive Track 40% Equity Portfolio [OT] LOCATION: US		09/5/2018	S	$15,001 - $50,000	☐

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > $200?
DESCRIPTION: Rebalanced DC2 529 account in 2018					
Kansas Learning Quest ⇒ Agressive Track 40% Equity Portfolio [OT] LOCATION: US DESCRIPTION: Rebalanced DC3 529 account in 2018		12/6/2018	P	$15,001 - $50,000	
Kansas Learning Quest ⇒ Agressive Track 50% Equity Portfolio [OT] LOCATION: US DESCRIPTION: Rebalanced DC3 529 account in 2018		12/6/2018	S	$15,001 - $50,000	☐
Optum Health Savings Account ⇒ Optum Health Savings Account [OT] LOCATION: US DESCRIPTION: Made an annual contribution to the Health Savings Account in 2018		12/28/2018	P	$1,001 - $15,000	
Optum Health Savings Account ⇒ Optum Health Savings Account [OT] LOCATION: US DESCRIPTION: Payment to KMC Hospital for medical bill from HSA account in 2018		08/21/2018	S	$1,001 - $15,000	☐
Spouse 401k - Transamerica ⇒ State Street Target Retire 2030 NL Class A [OT] LOCATION: US DESCRIPTION: New Administrator for Spouse 401k		11/6/2018	P	$50,001 - $100,000	
Spouse 401k -Principal Financial Group ⇒ Prin LifeTime Hybrid 2030 CIT [OT] LOCATION: US DESCRIPTION: Account was transferred from Principle to Transamerica in 2018	SP	11/6/2018	S	$50,001 - $100,000	☐

* 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

None disclosed.

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

Owner	Creditor	Date Incurred	Type	Amount of Liability
	Intrust Visa	December 2017	Credit card	$10,000 - $15,000
	Member Mortgage Services	January 2013	Home mortgage	$100,001 - $250,000
JT	Intrust Bank	January 2017	Home mortgage, 2nd	$15,001 - $50,000

Schedule E: Positions

None disclosed.

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

- Dependent Coverdale college savings
  Location: US
- 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 - Transamerica
- 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)
- 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 , 08/3/2019