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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: 2019
Filing Date: 08/12/2020

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 [MF]		$1,001 - $15,000	Tax-Deferred		☐
Hewitt/Koch 401K ⇒ Balanced Index Allocation - Vanguard Group Inc and Blackrock Institutional Trust Company NA [MF]		$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 [MF]		$50,001 - $100,000	Tax-Deferred		☐
Hewitt/Koch 401K ⇒ MSCI EAFE Index Fund - Blackrock [MF]		$50,001 - $100,000	Tax-Deferred		☐
Hewitt/Koch 401K ⇒ S & P 500 Index - Vanguard [MF]		$100,001 - $250,000	Tax-Deferred		☐
Hewitt/Koch 401K ⇒ Target Retirement 2040 - Vanguard Goup Inc [MF]		$50,001 - $100,000	Tax-Deferred		☐

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
Hewitt/Koch 401K ⇒ Total US Aggregate Bond Market - Blackrock Institutional Trust Company NA [MF]		$50,001 - $100,000	Tax-Deferred		☐
Intrust checking and savings [BA]	JT	$1,001 - $15,000	Interest	$1 - $200	☐
Kansas Learning Quest ⇒ ACI - Aggressive Track 40% Equity Portfolio [MF]		$15,001 - $50,000	Tax-Deferred		☑
Kansas Learning Quest ⇒ Agressive Track 30% Equity Portfolio [MF]		$15,001 - $50,000	Tax-Deferred		☐
KPERS [DB]		Undetermined	Pension	$5,001 - $15,000	☐
KPERS 457 ⇒ DFA US Large Cap Value 1 [MF]		$50,001 - $100,000	Tax-Deferred		☑
KPERS 457 ⇒ Stable Value Fund - Great-West Life & Annuity Insurance Company [MF] DESCRIPTION: Stable value fund		$15,001 - $50,000	Tax-Deferred		☑
KPERS 457 ⇒ T Rowe Price Capital Appreciation [MF]		$50,001 - $100,000	Tax-Deferred		☑
KPERS 457 ⇒ Vanguard Total Bond Market Index Inst [MF] DESCRIPTION: Bond fund		$15,001 - $50,000	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	☐
Roth IRA ⇒ American Balanced Fund Cl F3 [MF]		$1,001 - $15,000	Tax-Deferred		☐
Roth IRA ⇒ American Mutual Fund Cl F3 [MF]		$1,001 - $15,000	Tax-Deferred		☐
Roth IRA ⇒ Capital World Growth and Income fund Cl F3 - American Funds [MF]		$1,001 - $15,000	Tax-Deferred		☐

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
Roth IRA ⇒ Investment Company of America - American Funds [MF]		$1,001 - $15,000	Tax-Deferred		
Roth IRA ⇒ JP Morgan Mid Cap Value Cl L [MF]		$1,001 - $15,000	Tax-Deferred		
Roth IRA ⇒ JPMorgan Government Bond Fund Ultra Class [MF]		$1,001 - $15,000	Tax-Deferred		
Roth IRA ⇒ MFS Corporate Bond Fund R6 [MF]		$1,001 - $15,000	Tax-Deferred		
Roth IRA ⇒ MFS New Discovery Fund Cl R6 [MF]		$1 - $1,000	Tax-Deferred		
Roth IRA ⇒ New Perspective Fund Cl F3 - American Funds [MF]		$1,001 - $15,000	Tax-Deferred		
Roth IRA ⇒ Vanguard FTSE All World Ex-US Small Cap Index [MF]		$1,001 - $15,000	Tax-Deferred		
Spouse 401k - CUNA Mutual Holding Company ⇒ CUNA Mutual Lifestyle Agressive [MF]	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 [MF]	SP	$100,001 - $250,000	Tax-Deferred		
Spouse 403b - Lincoln Investment ⇒ American Funds Washington Mutual Invstrs Fd - F1 [MF]	SP	$1,001 - $15,000	Tax-Deferred		✓
Spouse 403b - Lincoln Investment ⇒ Goldman Sachs Intl Equity Insights Fund - A [MF]	SP	$1,001 - $15,000	Tax-Deferred		✓
Spouse 403b - Lincoln Investment ⇒ Oppenheimer Discovery Mid Cap Growth Fund Class Y [MF] Description: Switched portfolio managers in 2019	SP	None	Tax-Deferred		✓
Spouse 403b - Lincoln Investment ⇒ Oppenheimer Equity Income Fund Class Y [MF]	SP	None	Tax-Deferred		✓

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
DESCRIPTION: Switched portfolio managers in 2019					
Spouse 403b - Lincoln Investment ⇒ Oppenheimer International Equity Fund Class Y [MF] DESCRIPTION: Switched portfolio managers in 2019	SP	None	Tax-Deferred		✓
Spouse 403b - Lincoln Investment ⇒ Oppenheimer Intl Bond Class Y [MF] DESCRIPTION: Switched portfolio managers in 2019	SP	None	Tax-Deferred		✓
Spouse 403b - Lincoln Investment ⇒ Oppenheimer Intl Growth Class Y [MF] DESCRIPTION: Switched portfolio managers in 2019	SP	None	Tax-Deferred		☐
Spouse 403b - Lincoln Investment ⇒ Oppenheimer Main Street Fund Class Y [MF] DESCRIPTION: Switched portfolio managers in 2019	SP	None	Tax-Deferred		✓
Spouse 403b - Lincoln Investment ⇒ Oppenheimer Senior Floating Rate Fund Class Y [MF] DESCRIPTION: Switched portfolio managers in 2019	SP	None	Tax-Deferred		✓
Spouse 403b - Lincoln Investment ⇒ Oppenheimer Total Return Bond Fund Class Y [MF] DESCRIPTION: Switched portfolio managers in 2019	SP	None	Tax-Deferred		✓
Spouse 403b - Lincoln Investment ⇒ Parnassus Mid Cap Fund - Inv [MF]	SP	$1,001 - $15,000	Tax-Deferred		✓
Spouse 403b - Lincoln Investment ⇒ PGIM High Yield Fund - A [MF]	SP	$1,001 - $15,000	Tax-Deferred		✓
Spouse 403b - Lincoln Investment ⇒ PIMCO International Bond Fund - A (USD HGD) [MF]	SP	$1,001 - $15,000	Tax-Deferred		✓
Spouse 403b - Lincoln Investment ⇒ PRIMECAP Odyssey Growth Fund [MF]	SP	$1,001 - $15,000	Tax-Deferred		✓
Spouse 403b - Lincoln Investment ⇒ PRIMECAP Odyssey Stock Fund [MF]	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		☐

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
Spouse KPERS [DB]	SP	$1 - $1,000	Tax-Deferred		☐
Spouse Roth IRA - Putnam Investments ⇒ George Putnam Balanced Fund A [OT] DESCRIPTION: Roth	SP	$1 - $1,000	Tax-Deferred		☐
Spouse Roth IRA - Putnam Investments ⇒ Putnam Equity Income Fund A [OT] DESCRIPTION: Roth	SP	$1,001 - $15,000	Tax-Deferred		☐
Spouse Roth IRA - Putnam Investments ⇒ Putnam Growth Opportunities - A [OT] DESCRIPTION: Roth IRA	SP	$1,001 - $15,000	Tax-Deferred		☐
Spouse Roth IRA - Putnam Investments ⇒ Putnam Income Fund A [OT] DESCRIPTION: Roth	SP	$1 - $1,000	Tax-Deferred		☐
Spouse Roth IRA - Putnam Investments ⇒ Putnam Intl Capital Opps - A [OT] DESCRIPTION: Roth IRA	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 ⇒ Aggressive Track 40% Equity Portfolio [MF]		12/24/2019	P	$1,001 - $15,000	
KPERS 457 ⇒ DFA US Large Cap Value 1 [MF]		08/2/2019	P	$50,001 - $100,000	
KPERS 457 ⇒ Stable Value Fund - Great-West Life & Annuity Insurance Company [MF]		08/2/2019	S (partial)	$50,001 - $100,000	☐
KPERS 457 ⇒ T Rowe Price Capital Appreciation [MF]		08/2/2019	P	$15,001 - $50,000	
KPERS 457 ⇒ Vanguard Total Bond Market Index Inst [MF]		08/2/2019	P	$1,001 - $15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > $200?
Spouse 403b - Lincoln Investment ⇒ American Funds Washington Mutual Invstrs Fd - F1 [MF]	SP	07/15/2019	P	$1,001 - $15,000	
Spouse 403b - Lincoln Investment ⇒ Goldman Sachs Intl Equity Insights Fund - A [MF]	SP	07/15/2019	P	$1,001 - $15,000	
Spouse 403b - Lincoln Investment ⇒ Oppenheimer Discovery Mid Cap Growth Fund Class Y [MF]	SP	07/15/2019	S	$1,001 - $15,000	☐
Spouse 403b - Lincoln Investment ⇒ Oppenheimer Equity Income Fund Class Y [MF]	SP	07/15/2019	S	$1,001 - $15,000	☐
Spouse 403b - Lincoln Investment ⇒ Oppenheimer International Equity Fund Class Y [MF]	SP	07/15/2019	S	$1,001 - $15,000	☐
Spouse 403b - Lincoln Investment ⇒ Oppenheimer Intl Bond Class Y [MF]	SP	07/15/2019	S	$1,001 - $15,000	☐
Spouse 403b - Lincoln Investment ⇒ Oppenheimer Main Street Fund Class Y [MF]	SP	07/15/2019	S	$1,001 - $15,000	☐
Spouse 403b - Lincoln Investment ⇒ Oppenheimer Senior Floating Rate Fund Class Y [MF]	SP	07/15/2019	S	$1,001 - $15,000	☐
Spouse 403b - Lincoln Investment ⇒ Oppenheimer Total Return Bond Fund Class Y [MF]	SP	07/15/2019	S	$1,001 - $15,000	☐
Spouse 403b - Lincoln Investment ⇒ Parnassus Mid Cap Fund - Inv [MF]	SP	07/15/2019	P	$1,001 - $15,000	
Spouse 403b - Lincoln Investment ⇒ PGIM High Yield Fund - A [MF]	SP	07/15/2019	P	$1,001 - $15,000	
Spouse 403b - Lincoln Investment ⇒ PIMCO International Bond Fund - A (USD HGD) [MF]	SP	07/15/2019	P	$1,001 - $15,000	
Spouse 403b - Lincoln Investment ⇒ PRIMECAP Odyssey Growth Fund [MF]	SP	07/15/2019	P	$1,001 - $15,000	
Spouse 403b - Lincoln Investment ⇒ PRIMECAP Odyssey Stock Fund [MF]	SP	07/15/2019	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

None disclosed.

Schedule D: Liabilities

Owner	Creditor	Date Incurred	Type	Amount of Liability
	Citi Mastercard	December 2019	Credit card	$10,000 - $15,000
	Member Mortgage Services	January 2013	Home mortgage	$100,001 - $250,000
	Intrust Bank	January 2017	Home mortgage, 2nd	$10,000 - $15,000

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

Trip Details					Inclusions		
Source	Start Date	End Date	Itinerary	Days at Own Exp.	Lodging?	Food?	Family?
Ripon Society	08/4/2019	08/9/2019	Wichita - Copenhagen - Jerasulam, Israel	0	☑	☑	☑
American Israel Education Foundation	08/9/2019	08/16/2019	Copenhagen, Denmark - Jerusalem, Israel - Tiberias, Israel - Tel Aviv, Israel - Wichita, Kansas	0	☑	☑	☑

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
- Roth IRA
- Spouse 401k - CUNA Mutual Holding Company (Owner: SP)
- Spouse 401k - Transamerica (Owner: SP)
- Spouse 403b - Lincoln Investment (Owner: SP)
- Spouse Deferred Comp - MA (Owner: SP)
- Spouse Roth IRA - Putnam Investments (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 , 08/12/2020