



Filing ID #10043431

FINANCIAL DISCLOSURE REPORT

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FILER INFORMATION

Name: Hon. Garret Graves
Status: Member
State/District: LA06

FILING INFORMATION

Filing Type: Annual Report
Filing Year: 2020
Filing Date: 08/13/2021

SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income Tx. > \$1,000?
3D Systems Corporation (DDD) [ST]		\$1 - \$1,000	None	<input type="checkbox"/>
Alphabet Inc. - Class C Capital Stock (GOOG) [ST]		\$1,001 - \$15,000	None	<input type="checkbox"/>
ARK Fintech Innovation ETF (ARKF) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200 <input checked="" type="checkbox"/>
ARK Genomic Revolution ETF (ARKG) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200 <input type="checkbox"/>
ARK Innovation ETF (ARKK) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200 <input checked="" type="checkbox"/>
Barrick Gold Corporation Common Stock (GOLD) [ST]		\$1,001 - \$15,000	None	<input checked="" type="checkbox"/>
Cerence Inc. - Common Stock When Issued (CRNCV) [ST]		\$1 - \$1,000	Capital Gains	\$201 - \$1,000 <input type="checkbox"/>
checking/savings account [BA]		\$15,001 - \$50,000	Dividends	\$1 - \$200 <input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income Tx. > \$1,000?
Child 1 [5P] LOCATION: LA DESCRIPTION: Established and maintained by grandparents for the benefit of their nine grandchildren. We have no role in management.	DC	\$50,001 - \$100,000	None	<input type="checkbox"/>
Child 2 [5P] LOCATION: LA DESCRIPTION: Established and maintained by grandparents for the benefit of their nine grandchildren. We have no role in management.	DC	\$15,001 - \$50,000	None	<input type="checkbox"/>
Child 3 [5P] LOCATION: LA DESCRIPTION: Established and Maintained by grandparents for the benefit of their nine grandchildren. We have no role in management.	DC	\$15,001 - \$50,000	None	<input type="checkbox"/>
Citigroup, Inc. (C) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200 <input type="checkbox"/>
Equillum, Inc. (EQ) [ST]		\$1 - \$1,000	None	<input type="checkbox"/>
JAG-Greenscape [OL] LOCATION: baton rouge, LA, US DESCRIPTION: Small ownership interest for member and each dependent child in company with real estate holding.		\$1 - \$1,000	None	<input type="checkbox"/>
Janus Henderson Small Cap Growth Alpha ETF (JSML) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200 <input type="checkbox"/>
Janus retirement => Global Tech and Innovation Fund [MF] DESCRIPTION: Exchanged two holdings (less than \$1k/ea to acquire this in July 2020).		\$1,001 - \$15,000	None	<input type="checkbox"/>
Janus retirement => Janus-Flexible Bond Fund [MF] DESCRIPTION: Exchanged several funds to consolidate to Flex Bond Fund.		\$100,001 - \$250,000	None	<input checked="" type="checkbox"/>
Janus-Flexible Bond Fund [MF] DESCRIPTION: Sold Triton Fund (\$3900) and Research D Fund (\$5000) to acquire this on 07/07/20.		\$1,001 - \$15,000	None	<input checked="" type="checkbox"/>
Janus-Global Research Fund [MF]		\$1,001 - \$15,000	None	<input type="checkbox"/>
Jumia Technologies AG American Depositary Shares, each representing two Ordinary Shares (JMIA) [ST]		\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000 <input checked="" type="checkbox"/>
Matinas Biopharma Holdings, Inc. (MTNB) [ST]		\$1 - \$1,000	None	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income Tx. > \$1,000?
Nuance Communications, Inc. (NUAN) [ST]		\$1,001 - \$15,000	Capital Gains	\$1,001 - \$2,500 <input checked="" type="checkbox"/>
Parents' Life Insurance Trust#1 [OT]		\$1 - \$1,000	None	<input type="checkbox"/>
DESCRIPTION: Life Insurance Trust				
Parents' Life Insurance Trust#2 [OT]		\$1 - \$1,000	None	<input type="checkbox"/>
DESCRIPTION: Life Insurance Trust				
Pershing Square Holdings Ltd Fund [MF]		\$1,001 - \$15,000	None	<input checked="" type="checkbox"/>
savings/money market [BA]		\$1,001 - \$15,000	Dividends	\$1 - \$200 <input type="checkbox"/>
Schrodinger, Inc. (SDGR) [ST]		\$1 - \$1,000	None	<input type="checkbox"/>
TIAA-CREF [OT]	SP	\$15,001 - \$50,000	None	<input type="checkbox"/>
DESCRIPTION: Spouse's 401k program from previous teacher employment.				
Uber Technologies, Inc. (UBER) [ST]		\$1 - \$1,000	None	<input type="checkbox"/>
Undeveloped Property [RP]		\$1,001 - \$15,000	None	<input type="checkbox"/>
LOCATION: Gulf Shores, AL, US				
DESCRIPTION: Less than 1% interest in undeveloped property on Hwy 59 in Gulf Shores, AL.				
Verizon Communications Inc. (VZ) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200 <input type="checkbox"/>
Vodafone Group Plc - American Depositary Shares each representing ten Ordinary Shares (VOD) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200 <input type="checkbox"/>
VOYA [OT]	SP	\$15,001 - \$50,000	None	<input type="checkbox"/>
DESCRIPTION: Spouse's retirement/401k program from employer.				

* 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?
ARK Fintech Innovation ETF (ARKF) [ST]	01/2/2020	P	\$1,001 - \$15,000	
ARK Innovation ETF (ARKK) [ST]	04/29/2020	P	\$1,001 - \$15,000	
Barrick Gold Corporation Common Stock (GOLD) [ST]	12/28/2020	P	\$1,001 - \$15,000	
Cerence Inc. - Common Stock When Issued (CRNCV) [ST]	06/29/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Janus ⇒ Research D [MF] DESCRIPTION: Exchanged Research D for Flexible Bond Fund	07/7/2020	E	\$1,001 - \$15,000	
Janus ⇒ Triton D [MF] DESCRIPTION: Exchanged Triton for Flexible Bond Fund	07/7/2020	E	\$1,001 - \$15,000	
Janus retirement ⇒ Emerging Markets Fund [MF] DESCRIPTION: exchanged for Flexible Bond Fund	07/7/2020	E	\$1,001 - \$15,000	
Janus retirement ⇒ Global Research Fund [MF] DESCRIPTION: Exchanged for Flexible Bond Fund	07/7/2020	E	\$1,001 - \$15,000	
Janus retirement ⇒ Research Fund [MF] DESCRIPTION: exchanged for Flexible Bond Fund	07/7/2020	E	\$1,001 - \$15,000	
Janus retirement ⇒ Triton Fund [MF] DESCRIPTION: exchanged for Flexible Bond Fund	07/7/2020	E	\$50,001 - \$100,000	
Janus retirement ⇒ U.S. Managed Volatility Fund [MF] DESCRIPTION: exchanged for Flexible Bond Fund	07/2/2020	E	\$1,001 - \$15,000	
Jumia Technologies AG American Depositary Shares, each representing two Ordinary Shares (JMIA) [ST]	07/8/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Nuance Communications, Inc. (NUAN) [ST]	06/29/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>

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SCHEDULE C: EARNED INCOME

Source	Type	Amount
Cristo Rey-Baton Rouge	spouse salary	N/A

SCHEDULE D: LIABILITIES

Owner	Creditor	Date Incurred	Type	Amount of Liability
JT	North American Savings Bank	November 2020	home mortgage	\$500,001 - \$1,000,000

SCHEDULE E: POSITIONS

None disclosed.

SCHEDULE F: AGREEMENTS

Date	Parties To	Terms of Agreement
January 2008	garret and Louisiana State Employee's Retirement System (LASERS)	Same terms for state employees. Retirement benefit based upon years of service and salary.

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

- o Janus
LOCATION: US
- o Janus retirement

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. Garret Graves , 08/13/2021