



# FINANCIAL DISCLOSURE REPORT

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## FILER INFORMATION

**Name:** Hon. James E Hon Banks  
**Status:** Member  
**State/District:** IN03

## FILING INFORMATION

**Filing Type:** Annual Report  
**Filing Year:** 2021  
**Filing Date:** 05/14/2022

## SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Bluerock Total Income Real Est Shs Ben Int Cl A [MF]	JT	None	Tax-Deferred		<input checked="" type="checkbox"/>
Grace Schools IRA - Money Market [IH]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
INDIANA 529 ⇒ College Choice 529 (Age-based option growth portfolio 100%) [5P] LOCATION: IN DESCRIPTION: Elizabeth Banks		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Indiana Deferred Compensation Account [IH]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
INPRS Legislators' Defined Contribution Fund [MF] DESCRIPTION: 2045 Retirement Fund		\$50,001 - \$100,000	Tax-Deferred		<input type="checkbox"/>
INPRS Legislators' Defined Contribution Plan [MF] DESCRIPTION: 2045 Retirement Fund	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
IRA ⇒ Vaneck Morningstar Wide Moat ETF [MF]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Peloton Interactive, Inc. (PTON) [ST]	JT	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
ReliaStar Life Insurance [WU]	SP	\$100,001 - \$250,000	None		<input type="checkbox"/>
Roblox Corporation Class A (RBLX) [ST]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
Roth IRA ⇒ Money Market Fund [IH]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Roth IRA ⇒ Vaneck Morningstar Wide Moat ETF [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Schwab IRA ⇒ Ford Motor Company (F) [ST]		None	Tax-Deferred		<input checked="" type="checkbox"/>
Schwab IRA ⇒ Kroger Company (KR) [ST]		None	Capital Gains	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
Schwab IRA ⇒ Patient Access Solutions Inc. (PASO) [ST]		\$1 - \$1,000	Tax-Deferred		<input type="checkbox"/>
Schwab IRA ⇒ Peloton Interactive, Inc. (PTON) [ST]		\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Schwab IRA ⇒ Roblox Corporation Class A (RBLX) [ST]		None	Capital Gains	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
Starbucks Corporation (SBUX) [ST]	JT	None	None		<input type="checkbox"/>
State of Indiana Public Employee Deferred Compensation Plan [MF]	SP	\$1 - \$1,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: Indiana 2040 Fund					
Vaneck Vectors Morningstar Wide Moat ETF [MF]		\$15,001 - \$50,000	None		<input type="checkbox"/>

\* 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?
Bluerock Total Income Real Est Shs Ben Int CL A [MF]	JT	01/15/2021	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Bluerock Total Income Real Est Shs Ben Int CL A [MF]	JT	05/6/2021	S	\$1,001 - \$15,000	<input type="checkbox"/>
IRA ⇒ Vaneck Morningstar Wide Moat ETF [MF]	SP	09/21/2021	P	\$15,001 - \$50,000	
Kroger Company (KR) [ST]	JT	04/5/2021	P	\$1,001 - \$15,000	
Kroger Company (KR) [ST]	JT	05/20/2021	P	\$1,001 - \$15,000	
Kroger Company (KR) [ST]	JT	06/22/2021	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Kroger Company (KR) [ST]	JT	09/2/2021	S	\$1,001 - \$15,000	<input type="checkbox"/>
Peloton Interactive, Inc. (PTON) [ST]	JT	11/12/2021	P	\$1,001 - \$15,000	
Roblox Corporation Class A (RBLX) [ST]	JT	06/25/2021	P	\$1,001 - \$15,000	
Roblox Corporation Class A (RBLX) [ST]		08/25/2021	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Roblox Corporation Class A (RBLX) [ST]	JT	09/9/2021	S	\$1,001 - \$15,000	<input type="checkbox"/>
Roblox Corporation Class A (RBLX) [ST]	JT	09/13/2021	P	\$1,001 - \$15,000	
Roblox Corporation Class A (RBLX) [ST]	JT	11/9/2021	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Roblox Corporation Class A (RBLX) [ST]	JT	11/19/2021	P	\$1,001 - \$15,000	
Roth IRA ⇒ Vaneck Morningstar Wide Moat ETF [MF]	SP	09/21/2021	P	\$1,001 - \$15,000	
Schwab IRA ⇒ Ford Motor Company (F) [ST]		08/30/2021	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Schwab IRA ⇒ Ford Motor Company (F) [ST]		09/28/2021	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Schwab IRA ⇒ Kroger Company (KR) [ST]		06/22/2021	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Schwab IRA ⇒ Kroger Company (KR) [ST]		06/22/2021	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Schwab IRA ⇒ Peloton Interactive, Inc. (PTON) [ST]		11/12/2021	P	\$15,001 - \$50,000	
Schwab IRA ⇒ Peloton Interactive, Inc. (PTON) [ST]		11/15/2021	P	\$1,001 - \$15,000	
Schwab IRA ⇒ Roblox Corporation Class A (RBLX) [ST]		06/25/2021	P	\$1,001 - \$15,000	
Schwab IRA ⇒ Roblox Corporation Class A (RBLX) [ST]		06/25/2021	P	\$1,001 - \$15,000	
Schwab IRA ⇒ Roblox Corporation Class A (RBLX) [ST]		08/25/2021	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Schwab IRA ⇒ Roblox Corporation Class A (RBLX) [ST]		08/30/2021	P	\$1,001 - \$15,000	
Schwab IRA ⇒ Roblox Corporation Class A (RBLX) [ST]		09/30/2021	P	\$1,001 - \$15,000	
Schwab IRA ⇒ Roblox Corporation Class A (RBLX) [ST]		10/26/2021	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Schwab IRA ⇒ Roblox Corporation Class A (RBLX) [ST]		11/2/2021	P	\$15,001 - \$50,000	
Schwab IRA ⇒ Roblox Corporation Class A (RBLX) [ST]		11/9/2021	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Starbucks Corporation (SBUX) [ST]	JT	09/2/2021	S	\$1,001 - \$15,000	<input type="checkbox"/>

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<https://fd.house.gov/reference/asset-type-codes.aspx>.

### SCHEDULE C: EARNED INCOME

Source	Type	Amount
Consulting clients	Spouse Consulting	N/A
Family Policy Foundation	Spouse salary	N/A

### SCHEDULE D: LIABILITIES

Owner	Creditor	Date Incurred	Type	Amount of Liability
JT	Dovenmuehle	June 2020	Mortgage on VA residence	\$500,001 - \$1,000,000

### SCHEDULE E: POSITIONS

None disclosed.

### SCHEDULE F: AGREEMENTS

Date	Parties To	Terms of Agreement
November 2017	INPRS - Indiana Public Retirement System	Continued participation in retirement account

### SCHEDULE G: GIFTS

None disclosed.

### SCHEDULE H: TRAVEL PAYMENTS AND REIMBURSEMENTS

Source	Trip Details				Inclusions		
	Start Date	End Date	Itinerary	Days at Own Exp.	Lodging?	Food?	Family?
The Aspen Institute, Inc	10/22/2021	10/24/2021	Washington DC - Gettysburg, PA - Washington DC	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.

### SCHEDULE A AND B ASSET CLASS DETAILS

o INDIANA 529
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LOCATION: IN

- o IRA (Owner: SP)
- o Roth IRA (Owner: SP)
- o Schwab IRA

## **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. James E Hon Banks , 05/14/2022