Filing ID #10047460

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: 2021
Filing Date: 08/12/2022

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]		None	Tax-Deferred		☑
Description: On March 30, 2021 the name of the "Putnam Equity Income Fund-A" was converted to "Putnam Large Cap Value Fund-A".					
Dependent Coverdale college savings ⇒ Putnam Large Cap Value Fund - A [MF]		$1,001 - $15,000	Tax-Deferred		☑
Description: On March 30, 2021 the name of the "Putnam Equity Income Fund-A" was converted to "Putnam Large Cap Value Fund-A".					
Intrust checking and savings [BA]	JT	$1,001 - $15,000	Interest	$1 - $200	☐
Kansas Learning Quest ⇒ Aggressive Track 20% 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		☐

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
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	☐
MyLifeChoices - 401k ⇒ Balanced Index Allocation - Vanguard Group Inc and Blackrock Institutional Trust Company NA [MF]		$100,001 - $250,000	Tax-Deferred		☑
MyLifeChoices - 401k ⇒ GIC Stable Value- Galliard Capital Management Inc [MF] Description: Stable value fund		$100,001 - $250,000	Tax-Deferred		☑
MyLifeChoices - 401k ⇒ Mid-Cap Index - Blackrock Institutional Trust Company NA [MF]		$15,001 - $50,000	Tax-Deferred		☑
MyLifeChoices - 401k ⇒ MSCI EAFE Index Fund - Blackrock [MF]		$15,001 - $50,000	Tax-Deferred		☐
MyLifeChoices - 401k ⇒ S & P 500 Index - Vanguard [MF]		$50,001 - $100,000	Tax-Deferred		☑
MyLifeChoices - 401k ⇒ Target Retirement 2040 - Vanguard Goup Inc [MF]		$50,001 - $100,000	Tax-Deferred		☐
MyLifeChoices - 401k ⇒ Total US Aggregate Bond Market - Blackrock Institutional Trust Company NA [MF]		$100,001 - $250,000	Tax-Deferred		☐
Roth IRA ⇒ American Balanced Fund Cl F3 [MF]		$1,001 - $15,000	Tax-Deferred		☐

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
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		☐
Roth IRA ⇒ Dodge & Cox Income Fund [MF]		$1,001 - $15,000	Tax-Deferred		☑
Roth IRA ⇒ Invesco Global Opportunities Cl R6 [MF]		$1,001 - $15,000	Tax-Deferred		☑
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] DESCRIPTION: Sold and replaced with Dodge & Cox Income Fund		None	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]		$1,001 - $15,000	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] DESCRIPTION: Sold and replaced with Invesco Global Opportunities		None	Tax-Deferred		☑
Spouse 401k - CUNA Mutual Holding Company ⇒ CUNA Mutual Lifestyle Agressive [MF]	SP	$1,001 - $15,000	Tax-Deferred		☐
Spouse 401k - Stand Together Benefits, LLC 401K Plan ⇒ State Street Target Retire 2030 SL Cl IV [MF] DESCRIPTION: Spouse 401k was transferred from Spouse 401k-Transamerica to Spouse 401k - Stand Together Benefits, LLC 401k Plan on 11/08/2021	SP	$100,001 - $250,000	Tax-Deferred		☑

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
Spouse 401k - Transamerica ⇒ State Street Target Retire 2030 NL Class A [MF] DESCRIPTION: Spouse 401k was transferred from Spouse 401k-Transamerica to Spouse 401k - Stand Together Benefits, LLC 401k Plan on 11/08/2021	SP	None	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 ⇒ FederatedHermes Prime Cash Obl AS [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 ⇒ GoldmanSachs Emerging Mkt Eq A [MF]	SP	$1,001 - $15,000	Tax-Deferred		
Spouse 403b - Lincoln Investment ⇒ JPMorgan SmCap Equity A [MF]	SP	$1,001 - $15,000	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 - $1,000	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		
Spouse KPERS [DB]	SP	$1,001 - $15,000	Tax-Deferred		
Spouse Roth IRA - Putnam Investments ⇒ Putnam Equity Income Fund A [MF] DESCRIPTION: On March 30, 2021 the name of the "Putnam Equity Income Fund-A" was converted to "Putnam Large Cap Value Fund-A".	SP	None	Tax-Deferred		✓

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
Spouse Roth IRA - Putnam Investments ⇒ Putnam Growth Opportunities - A [MF] DESCRIPTION: Roth IRA	SP	$15,001 - $50,000	Tax-Deferred		☐
Spouse Roth IRA - Putnam Investments ⇒ Putnam Intl Capital Opps - A [MF] DESCRIPTION: Roth IRA	SP	$1,001 - $15,000	Tax-Deferred		☐
Spouse Roth IRA - Putnam Investments ⇒ Putnam Large Cap Value Fund A [MF] DESCRIPTION: On March 30, 2021 the name of the "Putnam Equity Income Fund-A" was converted to "Putnam Large Cap Value Fund-A".	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?
Dependent Coverdale college savings ⇒ Putnam Equity Income Fund A [MF] DESCRIPTION: On March 30, 2021 the name of the "Putnam Equity Income Fund-A" was converted to "Putnam Large Cap Value Fund-A".		03/30/2021	S	$1,001 - $15,000	☐
Dependent Coverdale college savings ⇒ Putnam Large Cap Value Fund A [MF] DESCRIPTION: On March 30, 2021 the name of the "Putnam Equity Income Fund-A" was converted to "Putnam Large Cap Value Fund-A".		03/30/2021	P	$1,001 - $15,000	
Kansas Learning Quest ⇒ Aggressive Track 30% Equity Portfolio [MF]		08/20/2021	S (partial)	$1,001 - $15,000	☐
Kansas Learning Quest ⇒ Aggressive Track 30% Equity Portfolio [MF]		12/22/2021	P	$1,001 - $15,000	
MyLifeChoices - 401k ⇒ Balanced Index Allocation - Vanguard Group Inc and Blackrock Institutional Trust Company NA [MF] DESCRIPTION: Rebalancing account		03/9/2021	P	$15,001 - $50,000	
MyLifeChoices - 401k ⇒ GIC Stable Value- Galliard Capital Management Inc [MF] DESCRIPTION: Rebalancing account		03/9/2021	P	$50,001 - $100,000	
MyLifeChoices - 401k ⇒		03/9/2021	S	$15,001 - $50,000	☐

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > $200?
Mid-Cap Index - Blackrock Institutional Trust Company NA [MF] DESCRIPTION: Rebalancing account			(partial)		☐
MyLifeChoices - 401k ⇒ S & P 500 Index - Vanguard [MF] DESCRIPTION: Rebalancing account		03/9/2021	S (partial)	$50,001 - $100,000	☐
Roth IRA ⇒ Dodge & Cox Income Fund [MF]		08/31/2021	P	$1,001 - $15,000	
Roth IRA ⇒ Invesco Global Opportunities Cl R6 [MF]		08/31/2021	P	$1,001 - $15,000	
Roth IRA ⇒ JPMorgan Government Bond Fund Ultra Class [MF] DESCRIPTION: Sold and replaced with Dodge and Cox Income Fund		08/31/2021	S	$1,001 - $15,000	☐
Roth IRA ⇒ Vanguard FTSE All World Ex-US Small Cap Index [MF] DESCRIPTION: Sold and replaced with Invesco Global Opportunities		08/31/2021	S	$1,001 - $15,000	☐
Spouse 401k - Stand Together Benefits, LLC 401K Plan ⇒ State Street Target Retire 2030 SL Cl IV [MF] DESCRIPTION: Spouse 401k was transferred from Spouse 401k-Transamerica to Spouse 401k - Stand Together Benefits, LLC 401k Plan on 11/08/2021	SP	11/8/2021	P	$100,001 - $250,000	
Spouse 401k - Transamerica ⇒ State Street Target Retire 2030 NL Class A [MF] DESCRIPTION: Spouse 401k was transferred from Spouse 401k-Transamerica to Spouse 401k - Stand Together Benefits, LLC 401k Plan on 11/08/2021	SP	11/8/2021	S	$100,001 - $250,000	☐
Spouse Roth IRA - Putnam Investments ⇒ Putnam Equity Income Fund A [MF] DESCRIPTION: On March 30, 2021 the name of the "Putnam Equity Income Fund-A" was converted to "Putnam Large Cap Value Fund-A".	SP	03/30/2021	S	$1,001 - $15,000	☐
Spouse Roth IRA - Putnam Investments ⇒ Putnam Large Cap Value Fund A [MF] DESCRIPTION: On March 30, 2021 the name of the "Putnam Equity Income Fund-A" was converted to "Putnam Large Cap Value Fund-A".	SP	03/30/2021	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
State of Kansas	Spouse Salary	N/A

Schedule D: Liabilities

Owner	Creditor	Date Incurred	Type	Amount of Liability
	Member Mortgage Services	April 2020	Home mortgage	$100,001 - $250,000
	Wells Fargo/Shaw Flooring	August 2021	Interest free flooring installation	$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

Trip Details					Inclusions		
Source	**Start Date**	**End Date**	**Itinerary**	**Days at Own Exp.**	**Lodging?**	**Food?**	**Family?**
US-Georgia Friendship Association	09/4/2021	09/8/2021	Wichita KS - Tbilisi, Georgia - Washington DC	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
- Kansas Learning Quest
  Location: KS

- KPERS 457
- MyLifeChoices - 401k
- Roth IRA
- Spouse 401k - CUNA Mutual Holding Company (Owner: SP)
- Spouse 401k - Stand Together Benefits, LLC 401K Plan (Owner: SP)
  DESCRIPTION: Spouse 401k was transferred from Spouse 401k-Transamerica to Spouse 401k - Stand Together Benefits, LLC 401k Plan on 11/08/2021
- 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 , 08/12/2022