



Filing ID #10040942

# 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:** 2020  
**Filing Date:** 07/27/2021

## 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	\$1,001 - \$15,000	None		<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]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
LOCATION: IN					
DESCRIPTION: Elizabeth Banks					
Indiana Deferred Compensation Account [IH]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
INPRS Legislators' Defined Contribution Fund [MF]		\$50,001 - \$100,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: 2045 Retirement Fund					
INPRS Legislators' Defined Contribution Plan [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: 2045 Retirement Fund					
IRA ⇒ AMG Yachtman Focused Fund Service Class [MF]	SP	None	None		<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
IRA ⇒ Income Fund of America Class A [MF]	SP	None	Capital Gains	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
IRA ⇒ T Rowe Price New Horizons [MF]	SP	None	Capital Gains	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
IRA ⇒ Washington Mutual Investors Fund Class A [MF]	SP	None	Capital Gains	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
ReliaStar Life Insurance [WU]	SP	\$100,001 - \$250,000	None		<input type="checkbox"/>
Roth IRA ⇒ Capital World Growth & Income Fund Class A [MF]	SP	None	Capital Gains	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
Roth IRA ⇒ Investment Company of America Class A [MF]	SP	None	Capital Gains	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
Roth IRA ⇒ New World Class A [MF]	SP	None	Capital Gains	\$201 - \$1,000	<input checked="" type="checkbox"/>
Roth IRA ⇒ Schwab Money Market [IH]	SP	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Schwab Bank [BA]	JT	\$1,001 - \$15,000	Interest	\$1 - \$200	<input type="checkbox"/>
Schwab IRA ⇒ Ford Motor Company (F) [ST]		\$1 - \$1,000	Tax-Deferred		<input checked="" type="checkbox"/>
Schwab IRA ⇒ Kroger Company (KR) [ST]		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Schwab IRA ⇒ Money market [BA]		\$1,001 - \$15,000	None		<input type="checkbox"/>
Schwab IRA ⇒ Patient Access Solutions Inc. (PASO) [ST]		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Schwab IRA ⇒ Starbucks Corporation (SBUX) [ST]		None	None		<input checked="" type="checkbox"/>
Starbucks Corporation (SBUX) [ST]	JT	\$1 - \$1,000	None		<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
State of Indiana Public Employee Deferred Compensation Plan [MF]  DESCRIPTION: Indiana 2040 Fund	SP	\$1 - \$1,000	Tax-Deferred		<input type="checkbox"/>
Vaneck Vectors Morningstar Wide Moat ETF [MF]		\$15,001 - \$50,000	None		<input checked="" 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	11/12/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Bluerock Total Income Real Est Shs Ben Int Cl A [MF]	JT	08/6/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Bluerock Total Income Real Est Shs Ben Int Cl A [MF]	JT	04/28/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Bluerock Total Income Real Est Shs Ben Int Cl A [MF]	JT	01/7/2020	P	\$15,001 - \$50,000	
IRA ⇒ AMG Yachtman Focused Fund Service Class [MF]	SP	02/19/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
IRA ⇒ Income Fund of America Class A [MF]	SP	02/18/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
IRA ⇒ T Rowe Price New Horizons [MF]	SP	02/18/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
IRA ⇒ Washington Mutual Investors Fund Class A [MF]	SP	02/18/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Roth IRA ⇒ Capital World Growth & Income Fund [MF]	SP	01/31/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Roth IRA ⇒ Investment Company of America Class A [MF]	SP	01/31/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Roth IRA ⇒	SP	01/31/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
New World Class A [MF]					
Schwab IRA ⇒ Ford Motor Company (F) [ST]		08/28/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Schwab IRA ⇒ Ford Motor Company (F) [ST]		08/26/2020	P	\$1,001 - \$15,000	
Schwab IRA ⇒ Ford Motor Company (F) [ST]		09/1/2020	P	\$1,001 - \$15,000	
Schwab IRA ⇒ Ford Motor Company (F) [ST]		09/3/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Schwab IRA ⇒ Kroger Company (KR) [ST]		08/28/2020	P	\$1,001 - \$15,000	
Schwab IRA ⇒ Kroger Company (KR) [ST]		09/1/2020	P	\$1,001 - \$15,000	
Schwab IRA ⇒ Kroger Company (KR) [ST]		09/1/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Schwab IRA ⇒ Kroger Company (KR) [ST]		09/2/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Schwab IRA ⇒ Kroger Company (KR) [ST]		09/3/2020	P	\$1,001 - \$15,000	
Schwab IRA ⇒ Kroger Company (KR) [ST]		12/18/2020	P	\$1,001 - \$15,000	
Schwab IRA ⇒ Patient Access Solutions Inc. (PASO) [ST]		09/1/2020	P	\$1,001 - \$15,000	
Schwab IRA ⇒ Patient Access Solutions Inc. (PASO) [ST]		09/1/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Schwab IRA ⇒ Patient Access Solutions Inc. (PASO) [ST]		09/2/2020	P	\$1,001 - \$15,000	
Schwab IRA ⇒ Patient Access Solutions Inc. (PASO) [ST]		09/2/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>

<b>Asset</b>	<b>Owner</b>	<b>Date</b>	<b>Tx. Type</b>	<b>Amount</b>	<b>Cap. Gains &gt; \$200?</b>
Schwab IRA ⇒ Patient Access Solutions Inc. (PASO) [ST]		09/3/2020	P	\$1,001 - \$15,000	
Schwab IRA ⇒ Patient Access Solutions Inc. (PASO) [ST]		09/9/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Schwab IRA ⇒ Patient Access Solutions Inc. (PASO) [ST]		09/11/2020	P	\$1,001 - \$15,000	
Schwab IRA ⇒ Patient Access Solutions Inc. (PASO) [ST]		11/24/2020	P	\$1,001 - \$15,000	
Schwab IRA ⇒ Starbucks Corporation (SBUX) [ST]		07/29/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Schwab IRA ⇒ Starbucks Corporation (SBUX) [ST]		08/25/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Schwab IRA ⇒ Starbucks Corporation (SBUX) [ST]		08/19/2020	P	\$1,001 - \$15,000	
Schwab IRA ⇒ Starbucks Corporation (SBUX) [ST]		06/16/2020	P	\$1,001 - \$15,000	
Starbucks Corporation (SBUX) [ST]	JT	03/27/2020	P	\$1,001 - \$15,000	
Starbucks Corporation (SBUX) [ST]	JT	04/17/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Starbucks Corporation (SBUX) [ST]	JT	04/24/2020	P	\$1,001 - \$15,000	
Starbucks Corporation (SBUX) [ST]	JT	05/18/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Vaneck Vectors Morningstar Wide Moat ETF [MF]		01/7/2020	P	\$15,001 - \$50,000	
Vaneck Vectors Morningstar Wide Moat ETF [MF]		05/15/2020	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>

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## SCHEDULE C: EARNED INCOME

Source	Type	Amount
Consulting clients	Spouse Consulting	N/A

#### SCHEDULE D: LIABILITIES

Owner	Creditor	Date Incurred	Type	Amount of Liability
JT	Freedom Mortgage, Dallas, TX	08/2017	Mortgage on personal residence	\$500,001 - \$1,000,000
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

None disclosed.

#### SCHEDULE I: PAYMENTS MADE TO CHARITY IN LIEU OF HONORARIA

None disclosed.

#### SCHEDULE A AND B ASSET CLASS DETAILS

- INDIANA 529  
LOCATION: IN
- IRA (Owner: SP)
- Roth IRA (Owner: SP)
- 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 , 07/27/2021