



Filing ID #10036434

FINANCIAL DISCLOSURE REPORT

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FILER INFORMATION

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

FILING INFORMATION

Filing Type: Annual Report
Filing Year: 2019
Filing Date: 08/13/2020

SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
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 ⇒ AMG Yachtman Focused Fund Service Class [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
IRA ⇒	SP	None	Tax-Deferred		<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Income Fund of America Class A [MF]					
IRA ⇒ T Rowe Price New Horizons [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
IRA ⇒ Washington Mutual Investors Fund Class A [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		<input 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	\$1 - \$1,000	Tax-Deferred		<input type="checkbox"/>
Roth IRA ⇒ Investment Company of America Class A [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Roth IRA ⇒ New World Class A [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Schwab IRA ⇒ Money market [BA]		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Schwab IRA ⇒ Vanguard FTSE Developed Markets EFT [MF]		None	Capital Gains, Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Schwab IRA ⇒ Vanguard Growth ETF [MF]		None	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Schwab IRA ⇒ Vanguard Mid-Cap Growth ETF [MF]		None	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Schwab IRA ⇒ Vanguard Mid-Cap Value ETF [MF]		None	Capital Gains, Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Schwab IRA ⇒ Vanguard Real Estate ETF [MF]		None	Capital Gains	\$1 - \$200	<input checked="" type="checkbox"/>
COMMENTS: Not listed on 2018 FD - value under \$1,000					
Schwab IRA ⇒ Vanguard Small-Cap Value ETF [MF]		None	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Schwab IRA ⇒ Vanguard Total Bond Market ETF [MF]		None	None		<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Schwab IRA ⇒ Vanguard Value ETF [MF]		None	Capital Gains, Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
State of Indiana Public Employee Deferred Compensation Plan [MF]	SP	\$1 - \$1,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: Indiana 2040 Fund					
Traditional IRA - Money Market [IH]		\$15,001 - \$50,000	Tax-Deferred		<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?
Schwab IRA ⇒ Vanguard Growth ETF [MF]		12/10/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Schwab IRA ⇒ Vanguard Mid-Cap Growth ETF [MF]		02/12/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Schwab IRA ⇒ Vanguard Mid-Cap Value ETF [MF]		12/10/2019	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Schwab IRA ⇒ Vanguard Real Estate ETF [MF]		12/10/2019	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Schwab IRA ⇒ Vanguard Small-Cap Value ETF [MF]		12/12/2019	S	\$270.00	<input type="checkbox"/>
Schwab IRA ⇒ Vanguard Total Bond Market ETF [MF]		11/4/2019	P	\$1,001 - \$15,000	
Schwab IRA ⇒ Vanguard Total Bond Market ETF [MF]		12/12/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Schwab IRA ⇒ Vanguard Value ETF [MF]		12/12/2019	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Vanguard FTSE Developed Markets EFT [MF]		02/12/2019	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	Consulting	N/A

SCHEDULE D: LIABILITIES

Owner	Creditor	Date Incurred	Type	Amount of Liability
JT	First Federal Savings Bank, Huntington, IN	12/2016	Mortgage on personal residence - paid off in 2019	\$100,001 - \$250,000
JT	Freedom Mortgage, Dallas, TX	08/2017	Mortgage on personal 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

Trip Details					Inclusions		
Source	Start Date	End Date	Itinerary	Days at Own Exp.	Lodging?	Food?	Family?
The Aspen Institute	05/27/2019	06/2/2019	DC - Prague, Czech Republic - 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

◦ 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. Banks , 08/13/2020