UNITED STATES SENATE FINANCIAL DISCLOSURE REPORT FOR NEW EMPLOYEE AND CANDIDATE FILERS Amendment Last Name First Name and Middle Initial **New Employee Report** Date of Employment (mm/dd/yy) Senate Office / Agency in Which Employed **Ernst** Joni K. Senate / Candidate Office Address (Number, Street, City, State, and ZIP) Senate / Candidate Office Telephone No. Candidate Report Commencement of Candidacy State in which you are a candidate Candidate Reporting Period (mm/dd/yy) 07/10/13 1/1/12-7/10/13 Iowa AFTER READING THE INSTRUCTIONS - ANSWER EACH OF THESE QUESTIONS AND ATTACH THE RELEVANT PART YES NO YES NO Did you or your spouse have earned income (e.g., salaries or fees) or noninvestment income of more than \$200 from any reportable source in the Did you hold any reportable positions during the reporting period? reporting period? If Yes, complete and attach PART VIII. If Yes, complete and attach PART II. Did you, your spouse, or dependent child hold any reportable Did you have any reportable agreement or arrangement with an outside asset worth more than \$1,000 at the end of the period or receive unearned entity on the filing date? or investment income of more than \$200 in the reporting period? If Yes, complete and attach PART IX. If Yes, complete and attach PART IIIA and/or IIIB. Did you, your spouse, or dependent child have any reportable liability Did you receive compensation of more than \$5,000 from a single source in (more than \$10,000) during the reporting period? the two prior years? If Yes, complete and attach PART VII. If Yes, complete and attach PART X. Each question must be answered and the appropriate PART attached for each "YES" response. 777 FOR OFFICIALUSE ONLY Do Not Write Below this Line ः। 🗀 गुन् ्र-स•६ SHIP OFFI D

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Reporting Individual's Name	☐ Amendment		Page Number
Joni K. Ernst		PART II. EARNED AND NON-INVESTMENT INCOME	1

Report the source (name and address), type, and amount of earned income to you from any source aggregating \$200 or more during the reporting period. For your spouse, report the source (name and address) and type of earned income which aggregate \$1,000 or more during the reporting period. No amount needs to be specified for your spouse. (See p.3, CONTENTS OF REPORTS, Part B of Instructions.) Do not report income from employment by the U.S. Government for you or your spouse.

Individuals not covered by the Honoraria Ban:

For you and /or your spouse, report honoraria income received which aggregates \$200 or more by exact amount, give the date of, and describe the activity (speech, appearance or article) generating such honoraria payment. Do not include payments in lieu of honoraria reported on Part I.

	Name of Income Source	Address (City, State)	Type of Income	Amount
Example:	JP Computers	Wash., DC EXAMPLE	Salary	\$15,000
Example:	MCI (Spouse)	Artington, VA EXAMPLE	Salary	Over \$1,000
1 State	of Iowa	Des Moines, Iowa	Salary	\$39,676
2 lowa A	rmy National Guard	Johnston, Iowa	Salary	\$34,042
3 City of	Red Oak (spouse)	Red Oak, Iowa	Salary	Over \$1,000
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	porting Individual's Name	PA	۱R٦	ΓII	IA.	F	PU	BL	ICI	-Y	TR	RA I	DΕ	D .	AS	SE	ETS	S A	NE) U	NE	ARNE	D	IN	CO	ME	E S	OL	JR	CE	S		 -	1
Retra	BLOCK A Identity of Publicly Traded Assets And Unearned Income Sources eport the complete name of each publicly aded asset held by you, your spouse, or our dependent child, (See p.3,			At	the of	B uati close ne, or eck t	on of r	epor s tha	Ass ting (in \$1	perio	d.						Тур	e o	f In	con		ype and			K C				nt of	f In	con	ne		
Cininininininininininininininininininin	ONTENTS OF REPORTS, Part B of structions) for production of income or vestment which: (1) had a value exceeding \$1,000 at the close of the reporting period; and/or (2) generated over \$200 in "unearned" income during the reporting period. clude on PART IIIA a complete entification of each public bond, mutual nd, publicly traded partnership interest, ecepted investment fund, bank account, ecepted and qualified blind trust, and ublicly traded asset of a retirement plan.	None (or less than \$1,001)	8	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	None	Dividends	Rent	Interest	Capital Gains	ΙЖ	Excepted Trust	Qualified Blind Trust	Other (Specify Type)	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000,***	\$1,000,001 - \$5,000,000	000	Actual Amount Required if "Other" Specified
-	S, IBM Corp. (stock)				X				:						x							Example		X										Example
	or J (S) Keystone Fund					Х													X			Example	X											Example
1_	US Bank Savings			Х									<u> </u>	X								<u>. </u>	Х			· · · - ·								
2	Franklin Templeton Investments (Roth)			x										×									х			:								
3	ING USA Annuity & Life Ins. (Roth)			х										Х									Х								i	,		•
4	Prudential (IRA)				х			-						Х				-					Х											
5	Invesco Aim (Roth)	T	X											х									×	-										
6	ReliaStar Life Ins. Co. (457 Plan)			х								-		х									х											
7	TransAmerica Investments (Roth)			X										Х							:		Х											
8	State of Iowa Retirement (457 State Plan)		х							:	:			×									х											
	American Funds (Education IRA)			x										X									х											
- 10	Invesco Aim (UTMA)	T			х									X									х											

EXEMPTION TEST (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.

*** This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

Reporting Individual's Name ☐ Amendment Page Number PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES Joni K. Ernst **BLOCK A BLOCK B BLOCK C Identity of Publicly Traded Assets** Type and Amount of Income Valuation of Assets **And Unearned Income Sources** At the close of reporting period. If None, or less than \$1,001, Report the complete name of each publicly check the first column. traded asset held by you, your spouse, or Type of Income **Amount of Income** your dependent child, (See p.3, CONTENTS OF REPORTS, Part B of Instructions) for production of income or investment which: (1) had a value exceeding \$1,000 at the Actual \$50,000,000 Excepted Investment Fund \$25,000,000 close of the reporting period; and/or Other Amount \$5,000,000 \$5,000,000 \$1,000,000 \$1,000,000 (2) generated over \$200 in "unearned" \$500,000 Qualified Blind Trust \$100,000 Required income during the reporting period. \$100,000 Over \$1,000,000*** Over \$1,000,000*** \$50,000 \$50,000 Over \$50,000,000 (Specify Type) \$15,000 \$15,000 \$5,000,000 Include on PART IIIA a complete \$5,000 \$2,500 "Other" \$1,000 Capital Gains (or less identification of each public bond, mutual Specified \$25,000,001 \$1,000,001 \$5,000,001 \$1,000,001 Dividends fund, publicly traded partnership interest, Excepted \$250,001 \$100,001 \$50,001 \$15,001 excepted investment fund, bank account, \$1,001 \$5,001 \$1,001 \$2,501 None excepted and qualified blind trust, and publicly traded asset of a retirement plan. IBM Corp. (stock) Example Example Example: DC, (S) Keystone Fund Example Example ING USA Annuity and Life Ins. (Joint lacct.) EXEMPTION TEST (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right. *** This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

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Reporting Individual's Name	PART IIIB. NON-PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES	Number
BLOCK A Identity of Non-Publicly Traded Assets and Unearned Income Sources Report the name, address (city, state and description) of each interest held by you,	BLOCK B Valuation of Assets At the close of reporting period. If None, or less than \$1,001, check the first column. Type of Income BLOCK C Type and Amount of Income Type of Income	
your spouse, or your dependent child (See p.3, CONTENTS OF REPORTS, Part B of Instructions) for the production of income or investment in a non-public trade or business which: (1) had a value exceeding \$1,000 at the close of the reporting period; and/or (2) generated over \$200 in "unearned" income during the reporting period. Include the above report for each underlying asset, which is not incidental to the trade or business. Publicly traded assets held by non-public entity may be listed on Part IIIA.	5,000 5,000 50,000 100,000 \$250,000 \$1,000,000 \$1,000,000 1 - \$50,000,000 1 - \$50,000,000 1 - \$50,000,000 1 - \$50,000,000 1 - \$50,000,000 1 - \$50,000 1 - \$50,000	Actual Amount Required if "Other" Specified
S, JP Computer, Software Design, Example: DC, Wash DC	X Example X	Example
or J Undeveloped land, Dubuque, Iowa	X X Example X	Example
1 None		
2		,
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EXEMPTION TEST (see instructions before marking box): If *** This category applies only if the asset is/was held independent	f you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right. Endently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.	

Re	eporting Individual's	Name	ent													age Nu	ımber							
Jo	oni K. Ernst			PART V	II. L1/	\BILI1	ΓIES																	
		Category of Amount of														of Value (x)								
p. tir re re fu	.3, CONTENT me during the eporting period ented (except erniture or app	FS OF REPORTS, reporting period. d. Exclude: (1) model (1) for Senators); (2) poliances; and (3) liables.	Part B of Instructions) Check the highest am rtgages on your perso loans secured by aut bilities owed to certain	by you, your spouse, or dependent child (See art B of Instructions), to any one creditor at any heck the highest amount owed during the gages on your personal residences unless cans secured by automobiles, household lities owed to certain relatives listed in eporting revolving charge accounts.			scount Points Paid for tgage (Senators Only)	Term if Applicable	- \$15,000	- \$50,000	- \$100,000	1 - \$250,000	001 - \$500,000	001 - \$1,000,000	\$1,000,000,**	0,001 - \$5,000,000	1 - \$25,000,000	01 - \$50,000,000	000,000					
	Name o	of Creditor	Address	Type of Liability			Dis		\$10,0	\$15,001	\$50,0	\$100,	\$250,	\$500	Over	\$1,00	\$5,00	\$25,000,0	Over					
	S, Example: DC,	First District Bank	Wash., DC	Mortgage on undeveloped land	1992	13%	1 pt	25 yrs			Х		E	X	Α	М	P	L	E					
L	or J	(J) John Jones	Wash., DC	Promissory Note	2000	10%	n/a	On dmd				X	E	X	Α	М	P	上	Ε					
1	US Bank		Red Oak, IA	Loan - camper	2012	5%	<u>.</u>	10 years		Х				·										
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EX	EMPTION TEST This category app	(see instructions before π ies only if the asset is/was t	arking box): If you omitted any	y asset because it meets the three-part se or dependent child. If the asset is/was o	test for ex	emption d	escribed in or jointly hel	the instructio	ns, pi	lease	ched	ck box	x to th	ne rig	ht. riate.				ᅦ					

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Reporting Individual's Name	☐ Amendment		Page Number
Joni K. Ernst		PART VIII. POSITIONS HELD OUTSIDE U.S. GOVERNMENT	1

Report any positions held by you during the applicable reporting period whether compensated or not. Positions include, but are not limited to those of an officer, director, trustee, general partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise or any non-profit organization or educational institution. Both the year and month must be reported for the period of time that the position was held.

Exclude: Positions with federal government, religious, social, fraternal, or political entities, and those solely of an honorary nature.

	N	ame of Organization	Address	(City, State)	Type of Organization	Position Held	From (Mo/Yr)	To (Mo/Yr)
Ex	ample:	National Assn. of Rock Collectors	NY,NY E	XAMPLE	Non-profit education	President	6/91	Present
		Jones & Smith	Hometown, USA	EXAMPLE	Law Firm	Partner	7/96	11 / 1X
1	Iowa S	state Senator	Des Moines, IA		State Legislature	Senator	1/11	Present
2	Iowa A	rmy National Guard	Johnston, IA		Military	Officer	7/01	Present
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Compensation in excess of \$200 from any position must be reported in Part II.

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l		ividual's Name	PART X. C	OMPENSATION IN EXCES	S OF \$5,000 PAID BY ONE SOURCE	Page Number
	oni K. E	ernst		- LITOATION IN EXOLO	O OI WO,000 I AID DI ONE SOUNCE	1
F	IRST T	ME FILERS ONLY: (Except	Candidate Repo	rts - All Candidate Reports Must I	nclude Part X If Applicable)	
tr p	ne name rovided	es of clients and customers of	any corporation,	firm, partnership, or other business of	vided directly by you during the reporting period. The enterprise, or any non-profit organization when you dement of more than \$5,000. You need not report the U	lirectly
		Name of Source		Address of Source	Brief Description of Duties	
E	kample:	Jones & Smith	Hometown, TX	X	Legal Services EXA	MPLE
		Metro University (client of Jones & Smi	th) Moneytown, L	JSA	Legal Services in connection with university construction	EXAMPLE
1	State o	of lowa	Des Moines	s, IA	Iowa State Senator	
2	Iowa A	rmy National Guard	Johnston, L	Α	Army National Guard Officer	
3						
4	. ,					•
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