

Financial Disclosures

Annual Report for Calendar 2016 (Amendment 1)

Mrs. Joni K Ernst (Ernst, Joni)

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The following statements were checked before filing:

- I certify that the statements I have made on this form are true, complete and correct to the best of my knowledge and belief.
- I understand that reports cannot be edited once filed. To make corrections, I will submit an *electronic* amendment to this report.
- I omitted assets because they meet the three-part test for exemption.

Part 1. Honoraria Payments or Payments to Charity in Lieu of Honoraria

Did any individual or organization pay you or your spouse more than \$200 or donate any amount to a charity on your behalf, for an article, speech, or appearance? **No**

Part 2. Earned and Non-Investment Income

Did you or your spouse have reportable earned income or non-investment income? **Yes**

#	Who Was Paid	Type	Who Paid	Amount Paid
1	Spouse	Retirement	Iowa Public Employees' Retirement System Des Moines, IA	> \$1,000

Part 3. Assets * Amended

Did you, your spouse, or dependent child own any asset worth more than \$1000, have a deposit account with a balance over \$5,000, or receive income of more than \$200 from an asset? **Yes**

	Asset	Asset Type	Owner	Value	Income	
					Type	Income
1	TransAmerica Investments <i>Filer comment: Roth IRA</i>	Retirement Plans IRA	Self			
1.1	IMOLX - Transamerica Asset Allc Moderate C (NASDAQ)	Mutual Funds Mutual Fund	Self	\$15,001 - \$50,000 https://efdsearch.senate.gov/search/home/	None, Excepted investment Fund,	None (or less than \$201)

efd: Home

URL: <https://efdsearch.senate.gov/search/home/>

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	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
1.2	TransAmerica BlackRock Tactical Allocation	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	None, Excepted Investment Fund,	None (or less than \$201)
1.3	TransAmerica PIMCO Total Return	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	None, Excepted Investment Fund,	None (or less than \$201)
1.4	TransAmerica BlackRock Global Allocation	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	None, Excepted Investment Fund,	None (or less than \$201)
2	ReliaStar Life Ins. Co. <i>Filer comment: 457 Plan</i>	Retirement Plans Defined Contribution Pension Plan	Self			
2.1	VY T. Rowe Price Capital Appreciation Pt. Srv.	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	None, Excepted Investment Fund,	None (or less than \$201)
2.2	Voya Growth and Income Port I	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	None, Excepted Investment Fund,	None (or less than \$201)
2.3	Fidelity VIP Contrafund Port (NASDAQ)	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	None, Excepted Investment Fund,	None (or less than \$201)
2.4	VY Invesco Comstock Port I	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	None, Excepted Investment Fund,	None (or less than \$201)
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	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
2.5	VY Invesco Grw & Inc. Port. Srv	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	None, Excepted Investment Fund,	None (or less than \$201)
2.6	Voya Large Cap Value Port Inst.	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	None, Excepted Investment Fund,	None (or less than \$201)
2.7	IIGZX - Voya Global Value Advantage Port I	Mutual Funds Stable Value Fund/Unit Investment Fund	Self	\$1,001 - \$15,000	None, Excepted Investment Fund,	None (or less than \$201)
3	Voya GoldenSelect ESII <i>Filer comment: Roth IRA</i>	Retirement Plans IRA	Joint			
3.1	Voya Retirement Growth Portfolio (A)	Mutual Funds Mutual Fund	Joint	\$50,001 - \$100,000	None, Excepted Investment Fund,	None (or less than \$201)
3.2	Voya Clarion Real Estate Portfolio (S)	Mutual Funds Mutual Fund	Joint	\$1,001 - \$15,000	None, Excepted Investment Fund,	None (or less than \$201)
3.3	IIAX - Voya International Index Port A (NASDAQ)	Mutual Funds Mutual Fund	Joint	\$1,001 - \$15,000	None, Excepted Investment Fund,	None (or less than \$201)
4	American Funds <i>Filer comment: Education IRA</i>	Retirement Plans IRA	Child			

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	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
4.1	ANWPX - American Funds New Perspective A (NASDAQ)	Mutual Funds Mutual Fund	Child	\$15,001 - \$50,000	Dividends, Capital Gains, Excepted Investment Fund,	\$1,001 - \$2,500
5	US Bank (Red Oak, IA) Type: Checking, Money Market Account, Savings,	Bank Deposit	Joint	\$1,001 - \$15,000	Interest,	None (or less than \$201)
6	Invesco AIM	UGMA/UTMA Account	Child	\$50,001 - \$100,000	Dividends, Capital Gains, Excepted Investment Fund,	
6.1	VAFAX - Invesco American Franchise A	Mutual Funds Mutual Fund	Child	\$15,001 - \$50,000	Capital Gains, Excepted Investment Fund,	\$1,001 - \$2,500
6.2	ACGIX - Invesco Growth and Income A	Mutual Funds Mutual Fund	Child	\$15,001 - \$50,000	Dividends, Capital Gains, Excepted Investment Fund,	\$1,001 - \$2,500
7	Prudential <i>Filer comment: Roth IRA</i>	Retirement Plans IRA	Spouse			
7.1	AST Advanced Strategies Portfolio	Mutual Funds Mutual Fund	Spouse	\$15,001 - \$50,000	None, Excepted investment Fund,	None (or less than \$201)

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<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
7.2 AST RCM World Trends	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	None, Excepted Investment Fund,	None (or less than \$201)
7.3 AST FI Pyramis Quantitative Portfolio	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	None, Excepted Investment Fund,	None (or less than \$201)
7.4 AST T.Rowe Price Asset Allocation	Mutual Funds Mutual Fund	Spouse	\$15,001 - \$50,000	None, Excepted Investment Fund,	None (or less than \$201)
8 State of Iowa Retirement	Retirement Plans Deferred Compensation	Self	\$1,001 - \$15,000	None, Excepted Investment Fund,	None (or less than \$201)
9 Unoccupied property with garage <i>Description: Lot with garage (Red Oak, Iowa)</i>	Real Estate Unimproved Land	Joint	\$15,001 - \$50,000	None,	None (or less than \$201)
10 State of Iowa Retirement	Retirement Plans Defined Benefit Pension Plan	Spouse	Unascertainable	None,	None (or less than \$201)

Part 4a. Periodic Transaction Report Summary

In this section, electronically filed periodic transaction report (PTR) transactions are displayed for you. Have you filed any paper-based PTRs in this period? **No**

Part 4b. Transactions

Did you, your spouse, or dependent child buy, sell, or exchange an asset that exceeded \$1,000? **No**

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Part 5. Gifts

Did you, your spouse, or dependent child receive any reportable gift during the reporting period? **No**

Part 6. Travel

Did you, your spouse, or dependent child receive any reportable travel or reimbursements for travel? **No**

Part 7. Liabilities

Did you, your spouse, or dependent child have a liability worth more than \$10,000 at any time? **Yes**

#	Incurred	Debtor	Type	Points	Rate (Term)	Amount	Creditor	Comments
1	2015	Joint	Mortgage	0	3.875% (30 years)	\$250,001 - \$500,000	BB&T Mortgage Greenville, SC	-
2	2013	Joint	Mortgage	0	2.99% (15 years)	\$250,001 - \$500,000	US Bank Home Mortgage Owensboro, KY	-

Part 8. Positions

Did you hold any outside positions during the reporting period? **No**

Part 9. Agreements

Did you have any reportable agreement or arrangement with an outside entity? **No**

Part 10. Compensation

If this is your first report, or you are a candidate did you receive compensation of more than \$5,000 from a single source in the **two** prior years? **This is not my first report.**

Attachments & Comments

No attachments added.

No comments added.

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