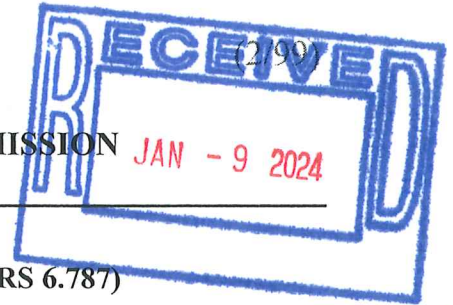


KENTUCKY LEGISLATIVE ETHICS COMMISSION



STATEMENT OF FINANCIAL DISCLOSURE (KRS 6.787)

To be filed by: All members of the General Assembly, all candidates and nominees for election to the General Assembly, and major management personnel in the legislative branch of state government.

Please Include The Following Information For The Preceding Calendar Year:

Name: Kim Banta

Business address: 101 Capital Ave Frankfort Kentucky 40601

Business telephone: 859-444-8114

Home address: 2140 Obrien Place Fort Mitchell Kentucky 41017

Title of public position, or office sought: State Representative of the 63rd district

Other occupations of filer: none

Occupation of spouse: Developer - Corporex Companies

NOTE: The Following Sections Do Not Require Disclosure Of Specific Dollar Amounts.

Positions held by filer in any business, partnership, corporation for profit, or corporation not for profit from which the filer receives compensation, and the name of the business, partnership, or corporation:

Retired educator - pension from Kenton County Schools. 1055 Eaton Drive Ft. Wright, ky 41017

Positions held by filer's spouse in any business, partnership, corporation for profit, or corporation not for profit from which the filer's spouse receives compensation, and the name of the business, partnership, or corporation:

Managing Director - Corporex Companies, LLC and Affiliates. 100 E Rivercenter Blvd. Suite 1100 Covington, KY. 41011 (see schedule One)

Names and addresses of all businesses, investments, or securities in which the filer, filer's spouse, or filer's minor children had at any time during the reporting year an interest of \$10,000 at fair market value, or 5% ownership interest or more:

Corporex Companies, LLC and various Affiliates (see address above)(see schedule one), Bexion Pharmaceuticals, INC - 632 Russell St. Covington KY 41011, Xcelearted Learning Dynamics, LLC 100 E Rivercenter BLVD Covington KY 41011 Suite 100, and certain securities (see schedule 2)

Sources and form of gross income of the filer (list sources by name):

Kenton County Schools, pension.
General Assembly State Representative Salary

Sources and form of gross income of the filer's spouse (list sources by name):

Corporex Companies, LLC and AFFiliates (see schedule one)

Positions of a fiduciary nature in a business:

none

A designation as commercial, residential, or rural, and the location of all real property other than the filer's primary residence, in which there is an interest of \$10,000 or more held by the filer, filer's spouse, or filer's minor children:

Filers spouse owns a small minority interest in various real property commercial investments throughout the US. primarily consisting of hotels and office buildings owned by Corporex companies, LLC or its subsidiaries and affiliates. (see schedule one)

Sources of gifts of money or property with a retail value of more than \$200 to the filer or the filer's immediate family, except those from a member of the filer's family. (Family means spouse, parent, sibling, child, mother-in-law, father-in-law, son-in-law, daughter-in-law, grandparent, or grandchild. Immediate family means unemancipated child residing in an individual's household, spouse, or a person claimed by the filer's spouse as a dependent for tax purposes.):

none

The name of any creditor owed more than \$10,000 **except** debts arising from the purchase of consumer goods. (Goods used or bought for use primarily for personal, family, or household purposes):

none

The name of any legislative agent who is:

1. A member of the filer's immediate family;
2. A partner of the filer, or a partner of a member of the filer's immediate family;
3. An officer or director of the filer's employer;
4. An employer of the filer or an employer of a member of the filer's immediate family;
5. A business associate of the filer or a business associate of a member of the filer's immediate family

none

The names of the filer's clients who are legislative agents or employers:

none

If you have held a professional license during the filing period, has a properly licensed partner of yours engaged in the practice of cases or other matters which you are prohibited from practicing under KRS 6.744? : Yes No X Not Applicable

If yes, list the names of the clients represented and list the agencies before which the partner made an appearance. The filer need not identify which client was represented before a specific agency:

Clients

n/a

State Agency

n/a

NOTICES

1. Upon receipt by the Commission, a statement of financial disclosure shall be a public record available for copying.
2. Any person who fails to file a statement of financial disclosure or who fails to remedy a deficiency identified by the Commission in a timely manner may be fined an amount not to exceed \$100 per day up to a maximum total fine of \$1000.
3. Any person who files a statement of financial interests which they know to contain false information, or to omit required information, shall be guilty of a class A misdemeanor.

01/9/24

Date

Kim Banta

Filer

Send completed statements to: The Kentucky Legislative Ethics Commission
22 Mill Creek Park
Frankfort, Kentucky 40601
FAX (502) 573-2929

If you have questions please call us at (502) 573-2863.

SCHEDULE #1

**LIST OF CORPOREX COMPANIES, LLC AFFILIATES FROM WHICH THOMAS BANTA IS AN OFFICER AND
MAY RECEIVE COMPENSATION AS OF 12/31/23**

| <u>Entity Name</u> | <u>Entity Address</u> | <u>Property Address</u> | <u>Property Type</u> |
|---|--|--|----------------------|
| Corporex Companies, LLC | 100 E. RiverCenter Blvd Suite 1100 Covington Ky. 41011 | N/A | Holding Company |
| Corporex Development & Construction Management, LLC | 100 E. RiverCenter Blvd Suite 1100 Covington Ky. 41011 | N/A | Development Co. |
| CPX Atlantic, LLC | 100 E. RiverCenter Blvd Suite 1100 Covington Ky. 41011 | 25 Atlantic Ave Erlanger, Ky 41018 | Office Building |
| CPX Baldwin 600, LLC | 100 E. RiverCenter Blvd Suite 1100 Covington Ky. 41011 | Cincinnati, OH | Office Building |
| Technology Towers, LLC | 100 E. RiverCenter Blvd Suite 1100 Covington Ky. 41011 | 50 & 100 E. RiverCenter Covington, Ky 41011 | Office Buildings |
| Eden 500, LLC | 100 E. RiverCenter Blvd Suite 1100 Covington Ky. 41011 | Cincinnati, OH | Office Building |

| | | | |
|---|--|---|------------------|
| CirclePort Reflections Building II, LLC | 100 E. RiverCenter Blvd Suite 1100 Covington Ky. 41011 | 4241 Olympic BLVD Erlanger, Ky 41018 | Office Buildings |
| CirclePort Conference Center Landlord, LLC | 100 E. RiverCenter Blvd Suite 1100 Covington Ky. 41011 | 3861 Olympic Blvd Erlanger, Ky 41018 | Office Building |
| CPX Olympic Building II, LLC | 100 E. RiverCenter Blvd Suite 1100 Covington Ky. 41011 | 3900 Olympic Blvd Erlanger, Ky 41018 | Office Building |
| CPX Aurora Hotel, LLC | 100 E. RiverCenter Blvd Suite 1100 Covington Ky. 41011 | Aurora, CO | Hotel |
| CPX Aurora FS Hotel, LLC | 100 E. RiverCenter Blvd Suite 1100 Covington Ky. 41011 | Aurora, CO | Hotel |
| CPX O'Fallon Gateway OPAG, LLC | 100 E. RiverCenter Blvd Suite 1100 Covington Ky. 41011 | O'Fallon, MO | Hotel |
| CPX Baldwin OPAG, LLC | 100 E. RiverCenter Blvd Suite 1100 Covington Ky. 41011 | Cincinnati, OH | Hotel |

| | | | |
|--|--|---|--------|
| CPX Warrenville ES OPAG, LLC | 100 E. RiverCenter Blvd Suite 1100 Covington Ky. 41011 | Warrenville, IL | Hotel |
| CPX Warrenville OPAG, LLC | 100 E. RiverCenter Blvd Suite 1100 Covington Ky. 41011 | Warrenville, IL | Hotel |
| CirclePort CY, LLC | 100 E. RiverCenter Blvd Suite 1100 Covington Ky. 41011 | 3990 Olympic BLVD Erlanger, Ky 41018 | Hotel |
| Gulfport-Biloxi Airport Hotels, LLC | 100 E. RiverCenter Blvd Suite 1100 Covington Ky. 41011 | Gulfport, MS | Hotels |
| The Art, LLC | 100 E. RiverCenter Blvd Suite 1100 Covington Ky. 41011 | Denver, CO | Hotel |
| CPX Gateway Hotel, LLC | 100 E. RiverCenter Blvd Suite 1100 Covington Ky. 41011 | 600 W. 3 rd St. Covington, Ky 41011 | Hotel |
| CirclePort ES, LLC | 100 E. RiverCenter Blvd Suite 1100 Covington Ky. 41011 | 2811 CirclePort Dr Erlanger, Ky 41018 | Hotel |

SCHEDULE #2

INVESTMENT HOLDINGS WITH A VALUE GREATER THAN \$10,000 AS OF 12/31/23

▼ Equities

▼ U.S. Equities

| | | |
|--------|-----------------------|--------------------------------------|
| 8.95% | FXAIX | Fidelity 500 Index Instl Premium |
| 0.70% | IJH | iShares Core S&P Mid-Cap ETF |
| 0.44% | IJR | iShares Core S&P Small-Cap ETF |
| 2.45% | IWP | iShares Russell Mid-Cap Growth ETF |
| 0.39% | IJT | iShares S&P Small-Cap 600 Growth ETF |
| 1.23% | SCHM | Schwab US Mid-Cap |
| 0.81% | SCHA | Schwab US Small-Cap ETF |
| 0.57% | XHB | SPDR® S&P Homebuilders ETF |
| 17.79% | VUG | Vanguard Growth ETF |
| 1.21% | VIMAX | Vanguard Mid Cap Index Admiral |
| 10.84% | VOO | Vanguard S&P 500 ETF |
| 0.97% | VSMAX | Vanguard Small Cap Index Adm |
| 2.36% | VTI | Vanguard Total Stock Market ETF |
| 4.95% | VTV | Vanguard Value |

▼ International Equities

| | | |
|-------|-----------------------|---|
| 1.45% | FPADX | Fidelity Emerging Markets Index Institutional Premium |
| 4.35% | FSPSX | Fidelity International Index Institutional Premium |
| 0.07% | IEMG | iShares Core MSCI Emerging Markets ETF |
| 1.71% | EFA | iShares MSCI EAFE ETF |
| 3.91% | EEM | iShares MSCI Emerging Markets ETF |
| 2.36% | OAYIX | Oakmark International Advisor |
| 0.39% | OAKIX | Oakmark International Investor |
| 9.54% | SPDW | SPDR® S&P World ex-US ETF |
| 0.71% | VWO | Vanguard FTSE Emerging Markets ETF |

0.86% [BCI](#) Aberdeen Bloomberg Commodity Index ETF

0.48% [DCMSX](#) DFA Commodity Strategy Institutional

1.34% **Real Assets Total**

▼ **Non-Core Bonds**

0.97% [FIHLX](#) Federated High Yield Bond Institutional R6

4.85% [PHYZX](#) PGIM High Yield Z

0.13% [PONAX](#) PIMCO Income A

3.98% [PIMIX](#) PIMCO Income Instl

0.97% [VTABX](#) Vanguard Total Intl Bd Idx Admiral™

▼ **U.S. Investment Grade Bonds**

▼ **Core Bonds**

3.63% [FXNAX](#) Fidelity® US Bond Index Instl Prem

3.63% **Core Bonds Total**

3.63% **U.S. Investment Grade Bonds Total**

0.70% [SWEGX](#) Schwab MarketTrack All Equity

0.70% **Target Allocation Total**

0.70% **Target Allocation - Aggressive Growth Total**

2.63% [SWHGX](#) Schwab MarketTrack Growth

1.21% [GWAQ15](#) EI Fixed Account - Series Class V