

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (last name, first, middle initial) Bataillon, Joseph F.	2. Court or Organization Nebraska	3. Date of Report 05/15/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Art. III District Judge Senior	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address Roman L. Hruska U.S. Courthouse 111 South 18th Plaza, Ste 3259 Omaha, NE 68102-3122		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. House of Delegates Member, Executive Council, President	Nebraska State Bar Association
2. Advisory Committee	Creighton University School of Law
3. Board of Directors	Nebraska State Bar Foundation
4. Board of Directors	Nebraska Lawyers Foundation
5.	

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.	
2.	
3.	

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***A. Filer's Non-Investment Income**☐ NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. Fall 2016	University of Nebraska at Omaha, wages	\$3,000.00
2.		
3.		
4.		

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*☒ NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1.	
2.	
3.	
4.	

IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*☐ NONE *(No reportable reimbursements.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. Nebraska State Bar Association	2/4-6	San Diego, CA	NCBP - ABA Midyear Meeting	Travel, lodging, subsistence
2. Newseum Institute	4/11-12	St. Louis, MO	Justice for Journalism Symposium	Travel, lodging, subsistence
3. Nebraska State Bar Association	3/16-18	Chicago, IL	Bar Leadership Institute	Travel, lodging, subsistence
4. Nebraska State Bar Association	4/19-21	Washington, DC	ABA Day meetings	Travel, lodging, subsistence
5. Nebraska State Bar Association	8/4-9	San Francisco, CA	NCBP - ABA Annual Meeting	Travel, lodging, subsistence

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6.	Nebraska State Bar Association	10/31-11/4	New Orleans, LA	Great Rivers Bar Conference	Travel, lodging, subsistence
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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*NONE *(No reportable liabilities.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.	Nelnet Loan	College Plus Loan	K
2.	American Education Service	College Plus Loan	J
3.	FirstMark	College Loan - cosigner	K
4.	Discover	College Loan - cosigner	K
5.			

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VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

1. USBank Accounts	A	Interest	J	T					
2. Bank of the West Accounts	A	Interest	J	T					
3. Security National Bank Accounts	A	Interest	K	T					
4. RBC Bank Deposit Program	A	Interest	J	T					
5. Berkshire Hathaway Class B		None	K	T	Sold (part)	06/06/16	K	E	
6. Diageo PLC Sponsored ADR New	A	Dividend	J	T					
7. First Energy Corp. stock	A	Dividend	J	T					
8. Newmont Mining Corp. stock	A	Dividend	J	T					
9. Merrill Lynch Trust V 7.28 Cum pref stock	A	Interest	J	T					
10. USAA Ins. Account	A	Distribution	J	T					
11. Intel Corp stock	A	Dividend	J	T					
12. Legg Mason CB Appreciation CL A	A	Dividend	K	T					
13. Amgen	A	Dividend	J	T					
14. Clearbridge Energy MLP FD Inc	A	Dividend	J	T					
15. Vanguard Specialized Div Appreciation ETF	A	Dividend	J	T					
16. Capital World Growth & Income Fund Class C	A	Dividend	K	T					
17. Delaware Emerging Markets Fund C	A	Dividend	K	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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18. Fidelity Advisor New Insights Fund CL C	A	Distribution	J	T					
19. Lord Abbett Alpha Strategy FD CL C	A	Distribution	J	T					
20. Coca Cola Co	A	Dividend	J	T					
21. Eli Lilly & Co.	A	Dividend	J	T					
22. Leg Mason MDA 3	E	Int./Div.	M	T					
23. Apple Inc.	A	Dividend	J	T	Buy	05/12/16	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

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IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: **s/ Joseph F. Bataillon**

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
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