

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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) Miller, Jr., Charles S.	2. Court or Organization District of North Dakota	3. Date of Report 09/27/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge - full time	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2015 to 12/31/2015
7. Chambers or Office Address 220 East Rosser Ave P.O. Box 670 Bismarck, ND 58502		
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Director and President	Missouri Valley YMCA
2.	
3.	
4.	
5.	

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

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

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.)*DATESOURCE AND TYPEINCOME

(yours, not spouse's)

1. _____

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.)*DATESOURCE AND TYPE

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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. _____

2. _____

3. _____

4. _____

5. _____

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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.			
2.			
3.			
4.			
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. Wells Fargo Bank Accounts	A	Interest	K	T					
2.									
3.									
4. Brokerage #1									
5. --RTK--Common Stock		None	J	T					
6. --Fidelity Brokerage Services LLC Cash Account	A	Interest	J	T					
7.									
8.									
9. Brokerage #2									
10. --Schwab Money Market Fund		None	J	T					
11.									
12.									
13. IRA #1	C	Dividend	M	T					
14. --Fidelity Contrafund									
15. --Fidelity Puritan Fund									
16.									
17.									

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 H ~\$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. IRA #2 (spouse)	A	Int./Div.	M	T					
19. --Schwab Money Market Fund									
20. --Schwab Cash Account									
21. --ProFunds Consumer Services UltraSector Fd					Buy	06/24/15	K		
22.					Sold	08/21/15	K		
23. --ProFunds NASDAQ 100 Fd					Buy	06/23/15	K		
24.					Sold	07/01/15	K		
25. --ProFunds Rising US Dollar Fd					Buy	01/08/15	J		
26.					Buy (add'l)	01/16/15	J		
27.					Sold	02/06/15	J	A	
28. --ProFunds Ultra Int'l Equity Fd					Buy	03/16/15	J		
29.					Buy (add'l)	05/04/15	J		
30.					Sold	06/02/15	K	A	
31. --ProFunds Ultra Japan Fund					Buy	02/26/15	J		
32.					Sold	05/01/15	J	A	
33.					Buy	06/26/15	K		
34.					Sold	07/09/15	K		

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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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35. --ProFunds Ultra Small-Cap Fd					Sold	01/16/15	K		
36. --ProFunds UltraSector Health Care Fd					Sold (part)	04/08/15	J	A	
37.					Sold	05/04/15	J	B	
38.					Buy	11/03/15	J		
39.					Buy (add'l)	11/09/15	J		
40. --ProFunds Ultra Utilities Fd					Sold (part)	01/16/15	J	A	
41.					Buy	06/26/15	K		
42.					Sold	05/06/15	K	A	
43. --Rydex Basic Consumer Products Fd					Buy	10/23/15	J		
44.					Sold	10/29/15	J		
45. --Rydex Biotechnology Fd					Buy	10/29/15	J		
46.					Buy (add'l)	12/17/15	J		
47. --Rydex Dynamic Strengthening US Dollar Fd					Buy	11/06/15	K		
48.					Sold	12/09/15	K		
49. --Rydex Dynamic Weakening US Dollar Fd					Buy	06/11/15	K		
50.					Sold	06/26/15	K		
51. --Rydex Energy Fd					Buy	08/12/15	K		

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52.					Sold	08/21/15	K		
53. --Rydex Health Care Fund					Sold (part)	01/15/15	J	A	
54.					Sold	04/29/15	K	C	
55.					Buy	06/26/15	K		
56.					Sold	08/07/15	K		
57. --Rydex Inverse Mid Cap Fd					Buy	09/18/15	J		
58.					Sold	11/03/15	J		
59. --Rydex Inverse NASDAQ 100 Fd					Buy	07/09/15	J		
60.					Sold	10/23/15	J		
61. --Rydex Inverse Russel 2000 Fd					Buy	09/18/15	J		
62.					Buy (add'l)	10/14/15	J		
63.					Sold	11/06/15	K		
64. --Rydex Inverse S&P 500 Fd					Buy	07/09/15	J		
65.					Sold	11/02/15	J		
66. --Rydex Nasdaq 100 Fund					Buy	02/11/15	K		
67.					Buy (add'l)	04/22/15	J		
68.					Sold	08/04/15	K	B	

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69.					Buy	12/29/15	K		
70. --Rydex Nova Fd					Buy	02/06/15	K		
71.					Sold	02/25/15	K	A	
72. --Rydex Precious Metals Fund					Buy	01/20/15	J		
73.					Buy (add'l)	03/27/15	J		
74.					Sold (part)	02/20/15	J		
75.					Buy (add'l)	05/04/15	J		
76.					Sold	05/21/15	K	A	
77.					Buy	08/20/15	J		
78.					Buy (add'l)	08/21/15	J		
79.					Sold	10/27/15	K	A	
80.					Buy	12/08/15	J		
81. --Rydex Real Estate FD					Sold	02/05/15	K	B	
82. --Rydex S&P 500 Index Fd					Sold	02/25/15	K	B	
83. --Rydex S&P Mid Cap 400 Pure Value Fd					Sold	01/08/15	J		
84. --Rydex Transportation Fd					Buy	11/20/15	J		
85.					Sold	12/28/15	J		

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86. --Schwab S&P 500 Fd					Buy (add'l)	12/21/15	J		
87.					Sold (part)	12/29/15	J	A	
88. --Schwab Fundamental Int'l Small Co. Fd.					Buy	03/20/15	J		
89.					Buy (add'l)	05/15/15	J		
90.					Sold	06/23/15	K	A	
91. --Schwab Large-Cap Growth Fd					Buy	02/04/15	J		
92.					Buy (add'l)	02/05/15	J		
93.					Sold	10/13/15	K		
94. --Tocqueville Gold Fund					Buy	09/25/15	J		
95.									
96.									
97. SEP (spouse)					Closed				
98. --(Rollover into IRA#2 spouse)									
99.									
100.									
101. Wells Fargo Rollover C/F - Rollover IRA	E	Int./Div.	O	T					
102. --Wells Fargo Cash Sweep Account									

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103. --Vanguard Energy ETF (VDE)									
104. --Vanguard Intermediate Bond ETF (BIV)									
105. --Vanguard Small Cap Growth Fd (VBK)					Buy	04/16/15	K		
106. --Convertible notes payable by CBIO due 8/19/18					Spinoff (from line 118)	08/20/15	J		
107. --AAPL					Sold (part)	01/26/15	K	D	
108.					Sold (part)	04/16/15	K	D	
109.					Buy (add'l)	09/08/15	J		
110. --ABT									
111. --BKS									
112. --BNED					Spinoff (from line 113)	08/03/15	J		
113. --BNS									
114. --CAG									
115. --CAT					Buy	01/26/15	K		
116. --CBI					Buy	02/03/15	J		
117.					Sold	04/16/15	J	C	
118. --CBIO (merged with TRGT and renamed CBIO)					Open	08/20/15	J		
119. --CSCO									

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120. --EMR									
121. --ETN									
122. --FCX					Buy (add'l)	12/09/15	J		
123. --GIS									
124. --HRL									
125. --INTC									
126. --JNJ									
127. --KMT					Buy	01/15/15	J		
128.					Sold	02/03/15	J	A	
129. --LBRDK					Buy	02/03/15	J		
130.					Sold	04/16/15	J	B	
131. --LEG					Buy (add'l)	10/19/15	J		
132. --MCD									
133. --MMM									
134. --NAQ									
135. --NAT									
136. --NSC									

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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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)
137. --PG									
138. --RMCF					Buy	02/03/15	J		
139.					Buy (add'l)	09/11/15	J		
140.					Buy (add'l)	12/09/15	J		
141. --RY									
142. --SJM									
143. --SORL					Buy	03/05/15	J		
144. --SYU									
145. --TD									
146. --TREX					Buy	10/19/15	J		
147. --TRGT					Merged (with line 118)	08/20/15	J		
148. --TRST									
149. --UNP									
150. --UTX									
151. --XLNX					Sold	02/03/15	J	B	

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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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/ Charles S. Miller, Jr.**

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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