

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) Lange, Roberto A.	2. Court or Organization District of South Dakota	3. Date of Report 05/11/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) active District Judge	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 Suite 413 225 S. Pierre Street Pierre, SD 57501		
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.	Member	Eastman Lange LLC
2.		
3.		
4.		
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.)*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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

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. Eastman Lange LLC		None	L	W					
2. New York Life universal policy from 1992	A	Dividend	K	T					
3. New York Life universal policy from 1995	A	Dividend	K	T					
4. First Bank & Trust account	A	Interest	K	T					
5. Merrill Lynch IRA brokerage account									
6. --American Funds EuroPacific Gwth (AEPFX)		None			Buy (add'l)	03/28/16	J		
7. ----(AEPFX continued)					Sold	10/27/16	J	A	
8. --BlackRock Eq Div (MADVX)	A	Dividend			Sold (part)	06/07/16	J	A	
9. ----(MADVX continued)					Sold (part)	07/21/16	J	A	
10. ----(MADVX continued)					Buy (add'l)	10/27/16	J		
11. ----(MADVX continued)					Sold	11/09/16	L	C	
12. --Clearbridge Small Cap (SBPYX)		None			Buy (add'l)	03/28/16	J		
13. ----(SBPYX continued)					Sold (part)	06/07/16	J	A	
14. ----(SBPYX continued)					Sold	11/09/16	J	A	
15. --Goldman Sachs 6/15/20 bond (GS20B)	A	Interest	K	T	Buy	11/21/16	K		
16. --HSBC 3/08/21 bond		None	K	T	Buy	11/21/16	K		
17. --iShares Core US Treasury (GOVT)	A	Dividend			Sold (part)	03/28/16	J	A	

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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☐ 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 I (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)

18. ----(GOVT continued)					Buy (add'l)	06/07/16	J		
19. ----(GOVT continued)					Sold (part)	07/19/16	J	B	
20. ----(GOVT continued)					Buy (add'l)	10/27/16	J		
21. ----(GOVT continued)					Sold	11/09/16	K	A	
22. --iShares Emerging Markets (IMEG)	A	Dividend			Buy	06/07/16	J		
23. ----(IMEG continued)					Sold (part)	07/19/16	J	B	
24. ----(IMEG continued)					Sold (part)	10/27/16	J	A	
25. ----(IMEG continued)					Sold	11/09/16	J	A	
26. --iShares Russell 1000 Grwth (IWF)	A	Dividend			Buy (add'l)	06/07/16	J		
27. ----(IWF continued)					Sold (part)	07/19/16	J	A	
28. ----(IWF continued)					Buy (add'l)	10/27/16	J		
29. ----(IWF continued)					Sold	11/09/16	L	A	
30. --iShares Russell 1000 Value (IWD)	A	Dividend			Buy (add'l)	06/07/16	J		
31. ----(IWD continued)					Sold (part)	07/19/16	J	A	
32. ----(IWD continued)					Buy (add'l)	10/27/16	J		
33. ----(IWD continued)					Sold	11/09/16	L	A	
34. --John Hancock Disciplined Value (JVLIX)		None			Buy (add'l)	03/28/16	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
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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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				
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35. ----(JLIX continued)					Sold	11/09/16	K	A	
36. --Mainstay Lg Cap Growth (MLAIX)		None			Buy (add'l)	03/28/16	J		
37. ----(MLAIX continued)					Sold (part)	06/07/16	J	A	
38. ----(MLAIX continued)					Buy (add'l)	07/21/16	J		
39. ----(MLAIX continued)					Buy (add'l)	10/27/16	K		
40. ----(MLAIX continued)					Sold	11/09/16	L	D	
41. --Nuveen Real Estate Securities (FARCX)	A	Dividend	K	T	Buy	11/21/16	K		
42. --Oakmark Internat'l Fund (OAKIX)		None			Buy (add'l)	03/28/16	J		
43. ----(OAKIX continued)					Sold (part)	06/07/16	J	A	
44. ----(OAKIX continued)					Buy (add'l)	07/21/16	J		
45. ----(OAKIX continued)					Sold (part)	10/27/16	K		
46. ----(OAKIX continued)					Sold	11/09/16	K		
47. --Oppenheimer Rising Div (OYRDX)	A	Dividend			Sold	06/07/16	K	B	
48. --Oppenheimer Int'l Growth (OIGYX)					Buy	10/27/16	K		
49. ----(OIGYX continued)					Sold	11/09/16	K	A	
50. --Pioneer Fundamental Growth (FUNYX)		None			Buy	06/07/16	K		
51. ----(FUNYX continued)					Sold	11/09/16	K	A	

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52. --TCW Total Return Bond CLI (TGLMX)	A	Dividend			Sold (part)	03/28/16	J	A	
53. --- (TGLMX continued)					Buy (add'l)	06/07/16	J		
54. ---- (TGLMX continued)					Buy (add'l)	07/21/16	J		
55. ---- (TGLMX continued)					Sold	11/09/16	K	A	
56. --Trans Am Emer Mkt Debt (EMTIX)	A	Dividend			Sold (part)	03/28/16	J	A	
57. ---- (EMTIX continued)					Sold (part)	07/21/16	J	A	
58. ---- (EMTIX continued)					Sold	11/09/16	K	A	
59. --USD Aspen Ins. 11/15/23 bond (AHL23)		None			Buy	11/21/16	K		
60. --Vanguard Intermed. Corp Bond (VCIT)	A	Dividend			Sold (part)	03/28/16	J	A	
61. ---- (VCIT continued)					Buy (add'l)	06/07/16	J		
62. ---- (VCIT continued)					Buy (add'l)	07/19/16	J		
63. ---- (VCIT continued)					Buy (add'l)	10/27/16	J		
64. ---- (VCIT continued)					Sold	11/09/16	K	A	
65. --Vanguard Total Stock Market (VTI)	B	Dividend	N	T	Buy	11/21/16	N		
66. --Victory Small Co Opp Fund (VSOYX)		None			Sold (part)	06/07/16	J	A	
67. ---- (VSOYX)					Sold	11/09/16	J	A	
68. --Wellpoint 5/15/22 bond (ANTM22)		None	K	T	Buy	11/21/16	K		

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69. --Wells Fargo 2/13/23 bond (WFC23)		None	K	T	Buy	11/21/16	K		
70. Merrill Lynch tax free bond acct (reconstituted in 2013; see notes)									
71. --Oppenheimer Senior Class C (OOSCX)	B	Dividend	K	T					
72. --Loomis Sayles Strategic (NECZX)	A	Dividend	K	T					
73. Children's Current 529 Plans (Y) (absolutely no control; see notes)									
74. --Scholar's Choice 529 Plan--child 1	A	Dividend	K	T					
75. ---Scholar's Choice 529 Plan--child 2	A	Dividend	K	T					
76. --Scholar's Choice 529 Plan--child 3	A	Dividend	K	T					
77. Loan to sister and brother-in-law [REDACTED] [REDACTED]		None	K	V	Open	09/05/16	K		

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.)*

Line items 5 through 69 of Part VII are part of one Merrill Lynch account that is an Individual Retirement Account ("IRA"). That IRA account was opened in late 2009 and funded at the inception of 2010 with monies from liquidation of Judge Lange's 401(k) account from his previous employment with Davenport, Evans, Hurwitz & Smith LLP. An effort has been made to simplify investments in this account so as to simplify this annual disclosure.

The code "A" for Income/Gain of \$1,000 or less is used in Part VII in some instances where there was no gain or a loss upon a sale or partial sale of an investment disclosed.

Line items 70 through 72 of Part VII were part of a Merrill Lynch tax free bond portfolio that Judge Lange opened on July 25, 2011, with proceeds from sale of his interest in a residence in Lincoln County, South Dakota.

Line items 73 through 76 of Part VII disclose 529 college savings plans in existence since 2004 for the benefit of Judge Lange's children. Judge Lange originally opened these at Merrill Lynch, but they later were moved to Scholar's Choice without Judge Lange's involvement. The custodian on the account and the account owner is not Judge Lange, but the mother of the children. Disclosure of the 529 Plans were overlooked prior to the disclosure of 2011. The original 529 Plans were replaced through transactions on April 9 and 13, 2012, establishing new 529 Plans with the same funds. Judge Lange has no investment control over his children's 529 Plans, and is neither custodian nor account owner. The effort in disclosing those plans is both for the sake of utter completeness in this disclosure and continuity in the annual disclosures.

Line item 77 references a loan made by Judge Lange in September of 2016 to his sister, [REDACTED] to assist them and their children. Value method code "V" is used as the value is considered to be the amount owed under a promissory note.

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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/ **Roberto A. Lange**

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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544