

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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) NOEL, FRANKLIN L.	2. Court or Organization U. S. DISTRICT COURT	3. Date of Report 04/27/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U. S. MAGISTRATE JUDGE (FULL)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2017 to 12/31/2017
7. Chambers or Office Address 9W UNITED STATES COURTHOUSE 300 SOUTH 4TH STREET MINNEAPOLIS, MINNESOTA 55415		
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. Adjunct Professor	University of Minnesota Law School
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 1-5/17	University of Minnesota Law School; 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. 1-12/2017	Marketing Minds, salary; supplemental distribution
2. 1-12/2017	General Mills, Inc. Pension Benefits
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.				
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.)*

SOURCE	DESCRIPTION	VALUE
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.)*

CREDITOR	DESCRIPTION	VALUE 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. Wells Fargo Brokerage Account #1									
2. -- Apple, Inc (AAPL)	C	Dividend	K	T					
3. --CNA Financial Group (CNA)	A	Dividend	J	T					
4. --Chemours Co (CC)	A	Dividend	J	T					
5. --Chicago Bridge (CBI)		None	J	T					
6. --DowDupont (DWD) formerly E.I. duPont de Nemours (DD)	A	Dividend	K	T					
7. --Fresh DelMonte Produce (FDP)	A	Dividend	J	T					
8. --Flextronics International, Ltd. (FLEX)		None	J	T					
9. --Gannett Co., Inc. (GCI)	A	Dividend	J	T					
10. --General Electric Co. (GE)	A	Dividend	J	T					
11. --Goldcorp Inc. (GG)	A	Dividend	J	T					
12. --Home Depot, Inc. (HD)	A	Dividend	K	T					
13. --Humana, Inc. (HUM)	A	Dividend	K	T					
14. --Glassbridge (GLN) (formerly Imation Corp. (IMN)) * See Section VIII		None	J	T					
15. --ION Geophysical Corp. (IO)		None	J	T					
16. --Japan Smaller Cap Fund (JOF)	A	Dividend	J	T					
17. --Southwest Airlines (LUV)	A	Dividend	K	T					

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

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18. --Newmont Mining Corp. (NEM)	A	Dividend	J	T					
19. --Newell Rubbermaid, Inc. (NWL)	A	Dividend	J	T					
20. --Regis Corporation (RGS)		None	J	T					
21. --Sony Corporation (ADR) (SNE)	A	Dividend	J	T					
22. --Steris Corporation (STE)	A	Dividend	J	T					
23. --Superior Industries Int'l, Inc. (SUP)	A	Dividend	J	T					
24. --Tegna (TGNA) See Line 27	A	Dividend	J	T					
25. --U.S. Bancorp (USB)	A	Dividend	J	T					
26. --Wells Fargo Money Market FD	A	Interest	L	T					
27. -- Cars.com (CARS)		None	J		Spinoff (from line 24)	06/01/17	J		
28. Wells Fargo Brokerage Account #2									
29. --Amerisource Bergen Corp. (ABC)	A	Dividend	L	T					
30. --CHUBB, Ltd (CB)	A	Dividend	K	T					
31. --Aviat Networks, Inc. (AVNW)		None	J	T					
32. --Baxter International, Inc. (BAX)	A	Dividend	J	T					
33. --Shire, PLC, (SHPG)	A	Dividend	J	T					
34. --ConAgra Foods, Inc. (CAG),	A	Dividend	J	T					

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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. --Center Point Energy, Inc. (CNP)	B	Dividend	K	T					
36. --CNX Resources/ CONSOL Energy, Inc. (CNX) *See Section VIII	A	Dividend	J	T					
37. --CONOCOPhillips (COP)	A	Dividend	K	T					
38. --Phillips 66 (PSX)	A	Dividend	K	T					
39. --Dean Foods Company (DF)		None	J	T					
40. --Devon Energy Corporation (DVN)	A	Dividend	J	T					
41. --Embraer, SA (ADR) (ERJ)	A	Dividend	J	T					
42. --Harris Corporation (HRS)	A	Dividend	L	T					
43. --Mueller Industries, Inc. (MLI)	A	Dividend	K	T					
44. --Nokia Corporation (ADR) (NOK)	A	Dividend	J	T					
45. --British American Tobacco (BTI) fka Reynolds American, Inc. (RAI)	B	Dividend	K	T					
46. --Stanley Black & Decker, Inc. (SWK)	A	Dividend	K	T					
47. --Whitewave Foods (WWAV)					Sold	04/12/17	J	A	
48. --Wells Fargo accounts WF money market FD	A	Interest	N	T					
49. --Console Mining (CEIX)		None	J		Spinoff (from line 36)	11/29/17	J		
50. --Lamb Weston Holdings (LW)	A	Dividend	J	T	Spinoff (from line 34)	11/09/17	J		
51. --Mueller Industries Inc - Subordinated Debenture * See Section VIII	A	Int./Div.	J	T	Spinoff (from line 43)	03/16/17	J		

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52. Wells Fargo IRA Account #1									
53. --Citigroup, Inc. (C)	A	Dividend	J	T					
54. --Cisco Systems, Inc. (CSCO)	A	Dividend	K	T					
55. --Diageo, plc (ADR) (DEO)	A	Dividend	K	T					
56. --Dodge & Cox Int'l Stock Fund (DODFX)	B	Dividend	L	T					
57. --Wells Fargo Adv. Int'l Eq Fund (WFEAX)	A	Dividend	K	T					
58. --International Business Machine Corp. (IBM)	B	Dividend	K	T					
59. --Intel Corporation (INTC)	A	Dividend	K	T					
60. --Nu Skin Enterprises, Inc. (NUS)	B	Dividend	L	T					
61. --New York Community Bancorp, Inc. (NYCB)	B	Dividend	K	T					
62. --Mutual Quest Fund Class A (TEQIX)	B	Dividend	K	T					
63. --Charter Communications (CHTR)		None	J	T					
64. --Time Warner, Inc. (TWX)		Dividend	J	T					
65. --Time, Inc. (TIME)	A	Dividend	J	T					
66. --Pimco All Asset Fund (PAUCX)	B	Dividend	L	T					
67. --cash	A	Interest	M	T					
68. Wells Fargo IRA Account #2									

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69. --Becton, Dickinson and Co. (BDX)	B	Dividend	L	T					
70. --ConocoPhillips (COP)	A	Dividend	K	T					
71. --Phillips 66 (PSX)	A	Dividend	K	T					
72. --Mutual Quest Fund Z (MQIFX)	C	Dividend	M	T					
73. --Novartis, AG (ADR) (NVS)	B	Dividend	L	T					
74. --Proctor & Gamble Company (PG)	A	Dividend	K	T					
75. --The Travelers Companies, Inc. (TRV)	B	Dividend	L	T					
76. --Pimco Inc. Fund (PONCX)	C	Dividend	L	T					
77. --cash	A	Interest	M	T					
78. Wells Fargo IRA Account #3									
79. --SPDR ETF (DIA)	B	Dividend	L	T					
80. -- S&P 500 Dep. Recp't Unit Ser I (SPY)	A	Dividend	K	T					
81. --Charter Communications (CHTR)		None	J	T					
82. --Time Warner (TWX)	A	Dividend	J	T					
83. --Time, Inc (TIME)	A	Dividend	J	T					
84. --cash	A	Interest	K	T					
85. Wells Fargo IRA Account #4--WF Adv Large Cap Fund (STRFX)		None	K	T					

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86. Wells Fargo Bank Cash Accounts	C	Interest	O	T					
87. Schwab Brokerage Account #1									
88. --Alphabet, Inc (GOOGL)		None	M	T					
89. --BP Pic (ADR) (BP)	B	Dividend	K	T					
90. --DaimlerChrysler (DDAIF)	A	Dividend	J	T					
91. --Darden Restaurants, Inc. (DRI)	A	Dividend	K	T					
92. --DowDupont (DWDP) (fka Dow Chemical Company (DOW))	A	Int./Div.	K	T					
93. --Energen Corporation (EGN)	A	Dividend	J	T					
94. --Exxon Mobil Corporation (XOM)	B	Dividend	K	T					
95. --Four Corners Property (FCPT)	A	Dividend	J	T					
96. --Frontier Communications Corp. (FTR)	A	Dividend	J	T					
97. --General Electric Company (GE)	B	Dividend	K	T					
98. --General Mills, Inc. (GIS)	B	Dividend	L	T					
99. --Honeywell International, Inc. (HON)	C	Dividend	M	T					
100. --Iberdrola SA (IBDRY)	A	Dividend	J	T					
101. --JM Smucker Company (SJM)	A	Dividend	J	T					
102. --Johnson & Johnson (JNJ)	B	Dividend	L	T					

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103. --Kellogg Company (K)	B	Dividend	K	T					
104. --KeyCorp. (KEY)	A	Dividend	J	T					
105. --MBIA, Inc. (MBI)		None	J	T					
106. --Norfolk Southern Corporation (NSC)	A	Dividend	K	T					
107. --Nu Skin (NUS)	A	Dividend	K	T					
108. --Piper Jaffray Companies (PJC)		None	J	T					
109. --Power Shares QQQ trust, Ser. 1 (QQQ)	A	Dividend	K	T					
110. --Proctor & Gamble Company (PG)	A	Dividend	K	T					
111. --SPDR S&P 500 (ETF) (SPY)	A	Dividend	L	T					
112. --SPDR ETF fka Diamond Trust Series Mutual Fund (DIA)	A	Dividend	K	T					
113. --SuperValu, Inc. (SVU)		None	J	T					
114. --Surmodics, Inc. (SRDX)		None	J	T					
115. --Target Corporation (TGT)	B	Dividend	K	T					
116. --Textron, Inc. (TXT)	A	Dividend	K	T					
117. --US Bancorp (USB)	A	Dividend	K	T					
118. --Verizon Communications, Inc. (VZ)	A	Dividend	K	T					
119. --Washington Real Estate Investment T (WRE)	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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Name of Person Reporting

NOEL, FRANKLIN L.

Date of Report

04/27/2018

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)
120. --Pimco High Yield Institutional shares (PHIYX)	C	Dividend	L	T					
121. --Schwab S&P 500 Index Fund (SWPPX)	A	Dividend	K	T					
122. --US Treasury due 8/15/23	A	Interest	J	T					
123. --Schwab cash reserves (SWSXX)	A	Interest	M	T	Sold (part)	06/13/17	N		
124. --Kinder/Morgan (KMI) including WARRANTS (KMIWS)	A	Dividend	J	T					
125. -- Advansix, Inc. (ASIX)		None	J	T					
126. --Amazon (AMZN)		None	M	T	Buy	07/27/17	M		
127. -- Citibank NA CD (Due 1/5/18)	A	Int./Div.	M	T	Buy	06/28/17	M		
128. -- Plains Capital Bank CD (Due 3/21/18)	A	Int./Div.	L	T	Buy	06/13/17	L		
129. -- Stearns Bank CD (Due 11/23/2018)	A	Int./Div.	L	T	Buy	06/13/17	L		
130. -- Whitney Bank CD (Due 12/29/17)		None			Buy	09/26/17	L		
131. -- Whitney Bank CD	A	Int./Div.			Matured	12/29/17	L		
132. SCHWAB 401(k) account									
133. --Schwab Money Mkt Fund (SWMXX)	A	Dividend	L	T					
134. --Becton Dickinson (BDX)	B	Dividend	L	T					
135. --International Business Machines (IBM)	B	Dividend	L	T					
136. --New York Community Bancorp, Inc. (NYCB)	B	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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Name of Person Reporting

NOEL, FRANKLIN L.

Date of Report

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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. --NuSkin Enterprises (NUS)	B	Dividend	L	T					
138. --Novartis (NVS)	A	Dividend	K	T					
139. --Nuance (NUAN)		None	K	T					
140. --OAKMARK Intl Fund (OAKIX)	C	Dividend	K	T					
141. --GABELLI Small Cap (GABSX)	A	Dividend	K	T					
142. -- Amazon (AMZN)		None	M	T	Buy	11/28/17	M		
143. -- Intel Corp (INTC)	A	Dividend	J	T	Buy	11/03/17	J		
144. -- Powershares (QQQ)	A	Dividend	K	T	Buy	05/23/17	K		
145. Charles Schwab Bank	A	Interest	K	T					
146. Morgan Stanley Brokerage Account									
147. -- Morgan Stanley Private Bank NA	A	Int./Div.	N	T					
148. --AT&T (T)	B	Dividend	K	T					
149. --Boeing (BA)	D	Dividend	N	T					
150. --Comcast Corp. (CMCSA)	A	Dividend	K	T					
151. --EXELON Corp (EXC)	A	Dividend	J	T					
152. --DowDupont (DWD) (fka) Dow Chemical (DOW)	A	Int./Div.	J	T					
153. --Edison International (EIX)	A	Dividend	J	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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Name of Person Reporting

NOEL, FRANKLIN L.

Date of Report

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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)
154. --Kinder/Morgan, Inc. (KMI)	A	Dividend	J	T					
155. --Energen Corp. (EGN)			K	T					
156. --IBERDROLA (IBDRY)	A	Dividend	J	T					
157. --National Fuel Gas (NFG)	A	Dividend	K	T					
158. --PG&E (PCG)	A	Dividend	J	T					
159. --PNC Financial Services (PNC)	A	Dividend	J	T					
160. --Praxair, Inc. (PX)	A	Dividend	K	T					
161. --CenturyLink (CTL) Comm.(Q	A	Dividend	J	T					
162. --Contra Seahawk (Y)									
163. --Semptra Energy (SRE)	B	Dividend	K	T					
164. --Verizon (VZ)	A	Dividend	J	T					
165. --Vodafone Group (VOD)	A	Dividend	J	T					
166. --Westar Energy, Inc. (WR)	A	Dividend	J	T					
167. --Barrings Corp, Investors (MCI)	B	Dividend	K	T					
168. --Mutual Quest (MQIFX)	A	Dividend	J	T					
169. --Mutual Global Disc. (MDISX)	B	Dividend	L	T					
170. --Centrus Energy (LEU)		None	J	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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NOEL, FRANKLIN L.

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04/27/2018

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)
171. American Century Mutual Funds (Am. Century)									
172. --Growth (TWC GX)	D	Dividend	L	T					
173. --Ultra (TWCUX)	B	Dividend	K	T					
174. --Balanced (TWBIX)	C	Dividend	L	T					
175. Federated Kaufman Fund R (KAUFX)	E	Distribution	M	T					
176. Vanguard									
177. --Balanced Index Fund Investors Shares (VBINX)	B	Dividend	L	T					
178. --Odyssey Marine Expl. (OMEX)		None	J	T					
179. --Prime Money Market Fund (VMMXX)	D	Dividend	P1	T					
180. --Windsor Fund Investor Shares (VWNDX)	C	Dividend	L	T					
181. Heartland Value Fund (HRTVX)	D	Distribution	M	T					
182. Manulife Financial Corp.(MFC)	A	Dividend	K	T					
183. General Mills 401(k)									
184. --Schwab money Mkt Fund (SWMXX)	A	Dividend	J	T					
185. --General Mills (GIS)	B	Dividend	M	T					
186. --F five		None	L	T					
187. --2020 Target Retirement Fund *See Part VIII					Sold	06/05/17	L		

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 \$5,000,000	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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Name of Person Reporting

NOEL, FRANKLIN L.

Date of Report

04/27/2018

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				
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188. --Diversified US Equity Fund		None	N	T					
189. -- Growth Equity Fund *See Part VIII		None			Buy	06/05/17	L		
190. -- International Developed Markets Fund *See Part VIII					Buy	06/05/17	K		
191. --Growth Equity Fund * See Part VIII					Sold	09/29/17	K		
192. --International Developed Market Fund* See Part VIII					Sold	09/29/17	M		
193. --SP500 Fund					Sold	09/29/17	M		
194. --Small Midcap Equity Fund* See Part VIII					Sold	09/29/17	L		
195. --Value Equity Fund * See Part VIII					Sold	09/29/17	L		
196. -- Brokerage Window		None	L	T					
197. -- Diversified International Equity * See Part VIII			M	T	Buy	09/29/17	M		
198. -- Diversified U.S. Equity Index * See Part VIII			M	T	Buy	09/29/17	M		
199. Aware Board Non-Qualified Fund Blue Cross Blue ShieldBe									
200. --FID Growth Co., (FGCKX)	D	Dividend	N	T					
201. --SPTN 500 Index (FUSVX)	A	Dividend	L	T					
202. --Times Sq SMCAP (TSCPX)		None	L	T					
203. --TMTL Global Bond (TPINX)	A	Dividend	L	T					
204. --Fid Sel Tech (FSPTX)		None	M	T					

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

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Name of Person Reporting

NOEL, FRANKLIN L.

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04/27/2018

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)
205. --Artisan Int/Val Inv (ARTKX)	D	Dividend	M	T					
206. --Fid Sel Energy (FSENX)	B	Dividend	K	T					
207. --Fid Sec Healthcare (FSPHX)	C	Dividend	L	T					
208. --SPTN EXT Index A DV (FSEVX)	B	Dividend	M	T					
209. Oklahoma Royalty Interest: Yazo County	A	Royalty	J	T					
210. Oklahoma Royalty Interest: Marshall County	A	Royalty	J	T					
211. Oklahoma Royalty Interest: Noble County	A	Royalty	J	T					
212. Oklahoma Royalty Interest: Pottowatomic County	A	Royalty	J	T					
213. Oklahoma Royalty Interest: Payne County	A	Royalty	J	T					
214. Oklahoma Royalty Interest: Oklahoma County	A	Royalty	J	T					
215. Oklahoma Royalty Interest: Caddo County	A	Royalty	J	T					
216. Kansas Royalty Interest: Barton County	A	Royalty	J	T					
217. Louisiana Royalty Interest: Webster County	A	Royalty	J	T					
218.									
219.									

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

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NOEL, FRANKLIN L.

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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

A. Part VII; Line 51: Mueller Industries issued a special dividend on its common stock that was distributed to shareholders in the form of interest bearing subordinated debentures.

B. Part VII; Lines 187-198: General Mills 401(k)- As described in last year's Amended Report, the "funds" described in lines 187-198 are not publicly traded investment funds. They are simply names given by the General Mills 401(k) to describe the investments it makes on behalf of its employees and retirees. On June 5, my wife redistributed the funds held in her 401(k) account at General Mills, Inc, the successor to her former employer. She sold the 2020 Target Retirement Fund and transferred those funds into Growth Equity (Line 191) and International Developed Markets Fund (Line 192). Thereafter, it appears from the statements she receives from General Mills, that on September 29, several of the funds in which she was invested were sold by the 401(k) (including the funds on lines 191 and 192), and redistributed into other funds, including the two new funds listed on lines 197 and 198. At the end of 2017 all of the General Mills 401(k) assets were invested (the amounts shown in column C.1.) in the funds described on lines 188, 196, 197 and 198.

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Name of Person Reporting

NOEL, FRANKLIN L.

Date 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/ FRANKLIN L. NOEL**

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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