

FINANCIAL DISCLOSURE REPORT INITIAL FILING

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) James, Teresa J.	2. Court or Organization U.S. District Court (Kansas)	3. Date of Report 07/29/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Magistrate Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☒ Initial ☐ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2013 to 07/28/2014
7. Chambers or Office Address Robert J. Dole United States Courthouse 500 State Ave, Rm 208 Kansas City, KS 66101		
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.	Board Member	Kansas Appleseed Foundation
2.	Board Member	Kansas Continuing Legal Education Commission
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. Exempt _____

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.	Exempt		
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. Vanguard Sep-IRA					Exempt				
2. 500 Index Fund (VFIAX)	A	Dividend	K	T					
3. Emerging Markets Stock Index Fund (VEIEX)	A	Dividend	J	T					
4. Extended Market Index Fund Admiral (VEXAX)	A	Dividend	K	T					
5. Intermediate-Term Investment-Grade (VFICX)	A	Dividend	J	T					
6. Prime Money Market (VMMXX)	A	Interest	M	T					
7. REIT Index (VGSIX)	A	Dividend	J	T					
8. Strategic Equity Fund (VSEQX)	A	Dividend	K	T					
9. Vanguard Windsor II Fund (VWNFX)	B	Dividend	K	T					
10. AT&T(T)	A	Dividend	J	T					
11. Cerner(CERN)		None	K	T					
12. ConocoPhillips (COP)	B	Dividend	K	T					
13. Google(GOGL)		None	J	T					
14. Microsoft(MSFT)	A	Dividend	J	T					
15. Phillips 66(PSX)	A	Dividend	J	T					
16. Exxon Mobil(XOM)	B	Dividend	L	T					
17. Apple(AAPL)	A	Dividend							

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 = \$250,000,001 - \$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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☐ 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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18. Johnson & Johnson(JNJ)	A	Dividend							
19. Williams Cos(WMB)	A	Dividend							
20.									
21. Ameritrade-General Brokerage					Exempt				
22. Google(Goog)		None	J	T					
23. Google(Googl)		None	J	T					
24. Atlas Pipeline(APL)	A	Distribution	J	T					
25. Kinder Morgan(KMP)	A	Distribution	J	T					
26. Money Market	A	Interest	J	T					
27.									
28. Nationwide-IRA					Exempt				
29. SDBA Apple(aapl)	A	Dividend	J	T					
30. SDBA Google(Googl)		None	K	T					
31. SDBA Money Market	A	Interest	K	T					
32. American Funds Income Fd Am R6		None	L	T					
33. JPM MdCap Val A		None	M	T					
34. Oppenheimer Devel arket A		None	M	T					

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35.									
36.									

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

Note re Section II. Agreements:

I received distributions for compensation earned prior to coming on the Bench, from my former employer/law firm Martin, Pringle, Oliver, Wallace & Bauer, LLP, during the first quarter of 2014 (after my swearing-in in January 2014). This compensation totaled between \$25,000 and \$50,000. I did not include this under Section II, as this compensation was paid pursuant to the law firm's partnership agreement, of which I no longer have a copy and of which I do not know the date.

Notes re Section VII Investments and Trusts:

The Nationwide IRA listed in this section is part of my former employer/law firm Martin, Pringle, Oliver, Wallace & Bauer, LLP's retirement plan. To avoid any potential conflict of interest as a result of this IRA or as a result of the compensation mentioned in the above Note re Section II., all members of the Martin Pringle firm are on my recusal list and will be for at least 2 years from when I came on the Bench. I intend to rollover the Nationwide IRA to a self-directed IRA before the recusal period runs.

All assets listed on lines 2 - 19 are or were held in my Vanguard Sep-IRA. All assets listed on lines 22 - 26 are held in my Ameritrade General Brokerage account. And, all assets listed on lines 29 - 34 are held in my Nationwide IRA. Further, all stocks listed are common stocks.

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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/ Teresa J. James**

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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