

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) Fenner, Gary A.	2. Court or Organization Western District of Missouri	3. Date of Report 03/29/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States District Senior 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 400 East Ninth St. Suite 8452 Kansas City, MO 64106		
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.		
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. 2016	Retirement benefits from the State of Missouri. I have no control in regard to this agreement.
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. 2016	State of Missouri Retirement	\$70,260.36
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. 2016	State of Missouri retirement
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.				
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.	Herzog Contracting Corp.	Transportation & Lodging on fishing trip to Ontario Canada	\$2,000.00
2.	Herzog Contracting Corp.	Transportation & Lodging on trip to Cabo San Lucas, MX	\$1,500.00
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.									
2. Affiliated Managers Group	A	Dividend	J	T					
3. Alphabet Inc. Class A		None	J	T	Sold (part)	02/30/16	J	B	
4. Alphabet Inc. Class C		None	J	T					
5. Amazon Com Inc.	A	Dividend	M	T					
6. Amgen Inc.	A	Dividend	K	T	Buy	01/15/16	J		
7.					Buy (add'l)	02/03/16	L		
8.					Buy (add'l)	06/13/16	J		
9.					Buy (add'l)	07/01/16	J		
10.					Buy (add'l)	08/11/16	J		
11.					Buy (add'l)	12/21/16	J		
12. Apache Corp.	A	Dividend	J	T					
13. Archer Daniels Midland Co.	A	Dividend	K	T	Buy (add'l)	03/30/16	J		
14. AT&T Inc.	B	Dividend	K	T					
15. Bank of Hawaii Corp.	A	Dividend	J	T					
16. Bank of New York Mellon Corp.	A	Dividend	K	T					
17. Baxalta Inc.	A	Dividend			Sold	01/15/16	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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = \$100,001 - \$250,000
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	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	
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18. Baxter International Inc.	A	Dividend			Sold	01/08/16	J	A	
19. Bemis Inc.	A	Dividend	J	T					
20. Boeing Co.	A	Dividend	K	T	Buy	02/03/16	J		
21.					Buy (add'l)	08/11/16	J		
22. CA Inc.	A	Dividend	J	T					
23. Capital One Financial Corp.	A	Dividend	K	T	Buy (add'l)	06/13/16	J		
24. Chevron Corporation	A	Dividend	J	T					
25. Cisco Systems Inc.	A	Dividend	K	T					
26. Compass Minerals International Inc.	A	Dividend	K	T	Buy	07/01/16	J		
27.					Buy (add'l)	08/11/16	J		
28. Conagra Inc.	A	Dividend							
29.					Sold	08/11/16	J	A	
30. ConocoPhillips	A	Dividend	J	T					
31. CVS Caremark Corp.	A	Dividend	J	T	Buy (add'l)	05/13/16	J		
32.					Buy (add'l)	12/21/16	J		
33. Du Pont E I De Nemours & Co.	A	Dividend	K	T	Buy (add'l)	08/11/16	J		
34. Dell Technologies Inc. V	A	None	J	T	Buy	09/07/16	J		

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35.					Sold (part)	10/20/16	J		
36. Diageo PLC ADR - misspelled 2015 as Deageo)	A	Dividend	J	T					
37. Diebold Inc.	A	Dividend	J	T					
38. Discovery Communications Inc.	A	Dividend	J	T					
39. EMC Corp. Mass.	A	Dividend			Sold	09/07/16	K	B	
40. Exxon Mobil Corp.	A	Dividend	K	T					
41. Gemalto ADR	A	Dividend	J	T					
42. General Electric Co.	A	Dividend	K	T	Sold (part)	02/03/16	J	A	
43. Honda Motor LTD. ADR	A	Dividend			Sold	01/07/16	J	A	
44. IBM	B	Dividend	K	T	Buy (add'l)	06/13/16	J		
45.					Buy (add'l)	07/01/16	J		
46.					Buy (add'l)	08/11/16	J		
47. Intel Corp.	A	Dividend	K	T	Buy (add'l)	06/13/16	J		
48.					Buy (add'l)	08/11/16	J		
49. Jacobs Engineering Group Inc.	A	Dividend	K	T					
50. Johnson & Johnson	A	Dividend	K	T	Sold (part)	02/03/16	J	A	
51. JP Morgan Chase & Co.	B	Dividend	L	T					

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52. Kemper Corp.	A	Dividend	J	T					
53. KLA Tencor Corp.	A	Dividend			Sold	01/08/16	J	B	
54. Mattel Inc.	A	Dividend							
55.			J	T	Sold (part)	02/17/16	K	E	
56.					Sold	03/30/16	J	A	
57. Merck & Co.	A	Dividend	J	T					
58. Microsoft Corp.	A	Dividend	K	T	Sold (part)	02/03/16	J	A	
59. Molson Coors Brewing Co.	A	Dividend							
60.					Sold	03/30/16	J	B	
61. Munich Re. Group	A	Dividend	K	T	Buy (add'l)	07/01/16	J		
62.					Buy (add'l)	08/12/16	J		
63. NCR Corp.	A	Dividend	J	T					
64.					Buy (add'l)	11/22/16	J		
65. Nextera Energy Inc.	A	Dividend	J	T					
66. Novartis AG Sponsored ADR	A	Dividend	J	T					
67. Omnicom Group	A	Dividend	J	T					
68. Pfizer Inc.	A	Dividend	J	T					

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69. Phillips 66	A	Dividend	J	T					
70. PowerShares International Div.	B	Dividend	K	T	Buy (add'l)	07/01/16	J		
71.					Sold (part)	12/06/16	J		
72.					Buy (add'l)	12/21/16	J		
73. PPL Corp.	A	Dividend	J	T					
74. Prudential Financial Inc.	A	Dividend	K	T	Buy (add'l)	02/16/16	J		
75.					Buy (add'l)	07/01/16	J		
76. Raytheon	A	Dividend	J	T					
77. Royal Bank of Canada	A	Dividend	J	T	Buy (add'l)	02/16/16	J		
78. Sanofi Sponsored ADR	A	Distribution							
79.					Sold (part)	11/23/16	J		
80.					Sold (part)	12/21/16	J		
81.					Sold	12/23/16	J	A	
82. Schlumberger LTD	A	Dividend	J	T					
83. Staples Inc.	A	Dividend	J	T	Buy	04/04/16	J		
84.					Buy (add'l)	07/01/16	J		
85.					Sold (part)	12/30/16	J		

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86. Target Corp.	A	Dividend	K	T	Buy (add'l)	07/01/16	J		
87. Teco Energy Inc.	A	Dividend			Sold	07/01/16	J	A	
88. Teva Pharmaceutical Inds. LTD. ADR	A	Dividend	J	T	Buy (add'l)	02/16/16	J		
89.					Buy (add'l)	12/21/16	J		
90. Thermo Fisher Corp.	A	Dividend	J	T					
91.					Buy (add'l)	12/21/16	J		
92. Thomson Reuters Corp.	A	Dividend	J	T					
93.					Buy (add'l)	12/30/16	J		
94. Total SA ADR	A	Dividend	K	T	Buy (add'l)	07/01/16	J		
95.					Sold (part)	11/23/16	J		
96. Twenty-First Century Fox B	A	Dividend	K	T	Buy (add'l)	06/13/16	J		
97. Undiscovered Managers Behavioral Value Institutional Class	B	Dividend	K	T					
98. United Technologies Corp.	A	Dividend	J	T					
99. Vodafone Group PLC. ADR	A	Dividend			Buy	05/20/16	J		
100.					Sold	12/30/16	J		
101. Walmart Stores Inc.	A	Dividend	K	T					
102. Walt Disney Co.	A	Dividend	J	T					

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103.					Buy (add'l)	12/21/16	J		
104. Zurich Insurance Group	A	Dividend	K	T	Buy (add'l)	03/30/16	J		
105.					Buy (add'l)	08/11/16	J		
106.									
107.									
108. Alps ETF TR Alerian MLP ETF	A	Dividend							
109.					Sold	11/23/16	J	A	
110. Affiliated Managers Group	A	Dividend	J	T					
111. American Funds New Economy A	B	Dividend	K	T					
112. AXA Equitable Permanent Life Policy		None	J	T					
113. Bank of America accounts	A	Interest	M	T					
114. Campbell Soup Co. Bond	B	Interest	M	T					
115. Columbia MO Water & Electric	A	Interest	K	T					
116. Country Club Bank accounts	B	Interest	J	T					
117. Du Pont E I De Nemours & Co. Bond	B	Interest	K	T					
118. First Eagle High Yield I	C	Dividend	L	T					
119. iShares MSCI EAFE Growth ETF	B	Dividend	L	T	Buy (add'l)	06/13/16	J		

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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 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.					Buy (add'l)	07/01/16	J		
121.					Buy (add'l)	08/11/16	K		
122.					Sold (part)	12/06/16	L		
123.					Buy (add'l)	12/06/16	L		
124.					Buy (add'l)	12/21/16	J		
125. Jackson County MO. Cons. School District #2 Raytown	A	Interest	K	T					
126. Koninklijke Phillips Electronics Bond	B	Interest	L	T					
127. Lord Abbet Affiliated A	C	Dividend	L	T					
128. Mass Mutual Financial Group Permanent Group Life Policy		None	K	T					
129. Monsanto Co. Bond	B	Interest	K	T					
130. NBC Universal Media LLC Bond	A	Interest	K	T					
131. Nucor Corp. Bond	B	Interest	L	T					
132. QualComm Inc. Bond	A	Interest	K	T					
133. Riverpark Strategic Income	A	Dividend	K	T					
134.					Buy (add'l)	12/12/16	K		
135.					Buy (add'l)	12/23/16	J		
136. SPDR S&P MidCap 400 ETF	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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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. St. Charles MO Neighborhood	A	Interest	K	T					
138. Teva Pharmaceuticals Preferred Convertible 7%	A	Dividend	J	T	Buy	11/23/16	J		
139. United Technologies Bond	A	Interest	K	T					
140. Waddell & Reed Advisors Science & Technology (Mutual Fund)	A	Dividend	J	T					
141. Waddell & Reed Advisors Bond C (Mutual Fund)	A	Dividend	J	T					
142. Waddell & Reed Advisors (Mutual Fund)	A	Dividend	J	T					
143. Wells Fargo Short-term High Yield	C	Dividend	M	T	Buy (add'l)	06/15/16	J		
144.					Buy (add'l)	12/21/16	K		
145. Wentzville Mo School District #R-4	A	Interest	K	T					
146. WisdomTree TR Europe Hedged EQ	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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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Part VII.

2016 Report - Line 17: Baxalta Inc. was a spin-off from Baxter International which occurred 7/1/15 with a value of \$15,000 or less. This spin-off was inadvertently not reported in my 2015 Report.

2015 Report - Line 119: Oracle Corp. is reported as having been purchased on 5/28/15. Oracle Corp. was sold on 9/22/15 for a value of \$15,000 or less and a gain of \$1,000 or less. This sale was inadvertently not reported in my 2015 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/ Gary A. Fenner**

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
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