

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) Epps, Jr., Willie J.	2. Court or Organization U.S. District Court for the Western District of Missouri	3. Date of Report 09/14/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Magistrate Judge (Full-Time)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☒ Initial ☐ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 08/31/2017
7. Chambers or Office Address 80 Lafayette Street Room 3108 Jefferson City, Missouri 65101		
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.	Trustee	The Missouri Bar Foundation
2.	Trustee Emeritus	Amherst College
3.	Director	Association of Corporate Counsel-St. Louis
4.	Director	Bar Association of Metropolitan St. Louis
5.	Director	Big Brothers Big Sisters of Eastern Missouri
6.	Director	Federal Bar Association-Kansas and Western District of Missouri Chapter
7.	Director	Missouri NAACP
8.	Missouri State Committee Member	American College of Trial Lawyers
9.	Missouri State Committee Member	The Congressional Award

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.	

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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	Edward Jones compensation	\$344,343.00
2. 2017	Edward Jones compensation	\$204,747.00
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.	
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. Bar Association of Metropolitan St. Louis	August 9-11, 2017	New York, New York	ABA Annual Meeting/ National Conference of Bar Presidents/NABE	Transportation, Meals, and Lodging
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. Trust #1 (H)									
2. -- Bank of America Cash Accounts	A	Interest	M	T					
3. -- E*TRADE Cash Accounts	A	Interest	M	T					
4. -- ARR Armour Residential REIT	A	Dividend	J	T					
5. -- BLV Vanguard Long-Term Bond ETF	D	Interest	M	T					
6. -- BRK.B Berkshire Hathaway Common Stock		None	M	T					
7. -- DIA SPDR Dow Jones Industrial Average ETF	E	Dividend	O	T					
8. -- DIS Walt Disney Company Common Stock	C	Dividend	M	T					
9. -- PG Proctor & Gamble Company Common Stock	B	Dividend	K	T					
10. -- VAW Vanguard Materials ETF	C	Dividend	M	T					
11. -- VBR Vanguard Small-Cap Value ETF	C	Dividend	M	T					
12. -- VCIT Vanguard Intermediate-Term Corporate Bond ETF	D	Dividend	N	T					
13. -- VDE Vanguard Energy ETF	A	Dividend	K	T					
14. -- VFH Vanguard Financials ETF	D	Dividend	N	T					
15. -- VGT Vanguard Information Technology ETF	A	Dividend	K	T					
16. -- VPL Vanguard FTSE Pacific ETF	B	Dividend	L	T					
17. -- VPU Vanguard Utilities ETF	E	Dividend	O	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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☐ 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)
18. -- VTI Vanguard Total Stock Market ETF	E	Dividend	O	T					
19. -- WBA Walgreens Boots Alliance Common Stock	A	Dividend	K	T					
20. -- YUM Yum Brands Common Stock	A	Dividend	K	T					
21. -- YUMC Yum China Holdings Common Stock	A	Dividend	J	T					
22. -- 485106CH9 Kansas City Missouri Special Obligation Bonds	B	Interest	K	T					
23. -- NMANX Neuberger Berman Mid Cap Growth Mutual Fund	A	Int./Div.	J	T					
24. -- NPRTX Neuberger Berman Large Cap Value Mutual Fund	A	Int./Div.	K	T					
25. -- VFIAX Vanguard 500 Index Admiral Shares Mutual Fund	A	Int./Div.	K	T					
26. IRA #1 (H)									
27. -- DIA SPDR Dow Jones Industrial Average ETF	B	Dividend	L	T					
28. -- T AT&T Common Stock	B	Dividend	K	T					
29. -- VCLT Vanguard Long-Term Corporate Bond ETF	D	Dividend	M	T					
30. -- VNQ Vanguard REIT ETF	E	Dividend	N	T					
31. -- VTI Vanguard Total Stock Market ETF	B	Dividend	L	T					
32. -- VWO Vanguard FTSE Emerging Markets ETF	C	Dividend	M	T					
33. -- XOM Exxon Mobil Common Stock	A	Dividend	J	T					
34. -- VFINX Vanguard 500 Index Investor Shares Mutual Fund	A	Int./Div.	M	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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	(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)
35. -- E*TRADE Cash Account	A	Interest	J	T					
36. IRA #2 (H)									
37. -- TWCUX American Century Ultra Mutual Fund	B	Int./Div.	L	T					
38. IRA #3 (H)									
39. -- VITSX Vanguard Total Stock Market Index I	A	Int./Div.	K	T					
40. -- VFWSX Vanguard FTSE All-World ex-US Index I	A	Int./Div.	K	T					
41. -- Edward Jones Balance Toward Growth Fund	A	Int./Div.	K	T					
42. IRA #4 (H)									
43. -- ABTIX American Century Govt Bond R5	D	Int./Div.	L	T					
44. -- MWTNX Metropolitan West Total Re Bd Admin	B	Int./Div.	L	T					
45. -- OAKBX Oakmark Equity and Income Investor	C	Int./Div.	M	T					
46. -- SRJAX JP Morgan SmartRetirement 2035A	D	Int./Div.	M	T					
47. -- VEIRX Vanguard Equity-Income Adm	E	Int./Div.	O	T					
48. -- VUSXX Vanguard Treasury Money Market Inv	A	Interest	L	T					
49. IRA #5 (H)									
50. -- AQEAX Columbia Disciplined Core CL	A	Int./Div.	J	T					
51. -- EEMAX Columbia Emerging Markets	A	Int./Div.	J	T					

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000	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 (See Column C2)	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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52. -- VAX Vanguard Index FDS Materials ETF	A	Int./Div.	L	T					
53. -- Edward Jones Cash Account	A	Interest	J	T					
54. IRA #6 (H)									
55. -- SSCVX Columbia Select Smaller-Cap Value A	A	Int./Div.	J	T					
56. Ameriprise VUL (H)									
57. -- Columbia VP Select International Equity Fund CL3	A	Int./Div.	K	T					
58. -- Goldman Sachs VIT US Equity Insights Fund	B	Int./Div.	L	T					
59. -- Goldman Sachs VIT Mid Cap Value Fund	A	Int./Div.	K	T					
60. -- Third Ave Value Portfolio	A	Int./Div.	K	T					
61. 529 Account #1 (H)									
62. -- Vanguard Agressive Growth Portfolio	A	Int./Div.	L	T					
63. 529 Account #2 (H)									
64. -- Vanguard Agressive Growth Portfolio	A	Int./Div.	L	T					
65. ConnectYourCare HSA Cash Account	A	Interest	K	T					
66. Optum HSA Cash Account	A	Interest	K	T					
67. Sun Federal Credit Union Cash Accounts	A	Int./Div.	J	T					
68. Pentagon Federal Credit Union Cash Accounts	A	Int./Div.	L	T					

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69. United States Senate Federal Credit Union Accounts	A	Int./Div.	J	T					

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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/ Willie J. Epps, 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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544