

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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) Broomes, John W.	2. Court or Organization U.S. District Court, Kansas	3. Date of Report 10/22/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2018 to 12/31/2018
7. Chambers or Office Address 232 United States Courthouse 401 N. Market Street Wichita, Kansas 67202		
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.		
2.	Member	Hinkle Law Firm LLC
3.	Trustee	Family Trust #1 (no reportable assets)
4.	Trustee	Family Trust #2 (no reportable assets)
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.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 2018	Hinkle Law Firm LLC, net law practice income	\$19,549.00
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.)*

DATE	SOURCE 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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS 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. Intrust Bank cash account	A	Interest	M	T					
2. Brokerage Account #1 (H)									
3. E-Trade Cash account	A	Interest	K	T					
4. SBGL common stock		None			Sold	01/30/18	J		
5. CHL common stock		None			Sold	01/19/18	J		
6. SA common stock		None	J	T					
7. SBR Trust	A	Dividend			Buy	01/30/18	J		
8.					Sold (part)	01/30/18	J		
9.					Sold	04/17/18	J		
10. Brokerage Account #2 (H)									
11. PPLT etf shares		None			Sold	07/17/18	J		
12. LPL Financial Cash Account	A	Interest			Closed	07/24/18	K		
13. OKE common stock	A	Distribution			Sold	07/17/18	J	B	
14. USO etf shares		None			Sold	07/17/18	J		
15. Retirement Account #1 (H)									
16. Ivy Energy Fund		None			Sold	05/01/18	J		
17. American Funds EuroPacific R6 Fund	A	Dividend	J	T	Buy (add'l)	05/11/18	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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = More than \$50,000,000
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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	(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. American Funds Invt Co Am R6 Fund	A	Dividend	J	T	Buy (add'l)	05/11/18	J		
19. Wells Fargo Advantage Special Mid Cap Value Fund R6	A	Dividend	J	T	Buy (add'l)	05/11/18	J		
20. T. Rowe Price Mid-Cap Growth Fund	A	Dividend	J	T	Buy (add'l)	05/11/18	J		
21. American Funds Am Balanced R6 Fund	A	Dividend	J	T	Buy (add'l)	05/11/18	J		
22. American Funds The Income Fund of America R-6 Fund	A	Dividend	J	T	Buy (add'l)	05/11/18	J		
23. Franklin Gold and Precious Metals R6 Fund		None	J	T	Buy (add'l)	05/11/18	J		
24. Invesco Stable Value Trust Class III Fund	B	Dividend	M	T					
25. American Funds Cap In Bld R6 Fund	A	Dividend	J	T	Buy (add'l)	05/11/18	J		
26. American Funds Capital World Growth & Income R6 Fund	A	Dividend	J	T	Buy (add'l)	05/11/18	J		
27. American Funds Mutual Wash Mutual R6 Fund	B	Dividend	J	T	Buy	05/01/18	J		
28.					Buy (add'l)	05/11/18	J		
29. Retirement Account #2 (H)									
30. EQ/International Equity mutual fund		None	J	T					
31. AXA/AB Small Cap Growth mutual fund		None	J	T					
32. AXA International Core Volatility mutual fund		None	J	T					
33. AXA Equity Managed Volatility mutual fund		None	J	T					
34. AXA Large Cap Growth mutual fund		None	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	
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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				
	(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. AXA International Value Volatility mutual fund		None	J	T					
36. AXA/Janus Enterprise mutual fund		None	J	T					
37. AXA/Franklin Templeton Allocation Vol. mutual fund		None	J	T					
38. Retirement Account #3 (H)									
39. EQ/International Equity mutual fund		None	J	T					
40. AXA/AB Small Cap Growth mutual fund		None	J	T					
41. AXA International Core Volatility mutual fund		None	J	T					
42. AXA Large Cap Growth mutual fund		None	J	T					
43. AXA/Janus Enterprise mutual fund		None	J	T					
44. AXA/Franklin Templeton Allocation Vol. mutual fund		None	J	T					
45. Family Trust #3 (H)									
46. Financial Square Trust Treasury Obligation Fund cash equivalent	A	Int./Div.	J	T					
47. Ishares Russell Midcap ETF	A	Dividend	J	T	Sold (part)	01/16/18	J	A	
48. Ishares Russell 1000 ETF	A	Dividend	J	T					
49. Commerce Natl Tax-Free Bd Fd #334	A	Dividend	J	T					
50. Commerce Kansas Taxfree Intermediate Bond Fund #1399	A	Dividend	J	T					
51. Family Trust #4 (H)									

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	
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52. Financial Square Trust Treasury Obligation Fund cash equivalent	A	Int./Div.	J	T					
53. Ishares Russell Midcap ETF	A	Dividend	J	T	Sold (part)	01/16/18	J	A	
54. Ishares Russell 1000 ETF	A	Dividend	J	T					
55. Ishares Russell 2000 ETF	A	Dividend	J	T	Sold (part)	01/16/18	J	A	
56. Commerce Natl Tax-Free Bd Fd #334	A	Dividend	J	T	Buy (add'l)	01/17/18	J		
57.					Sold (part)	10/17/18	J		
58. Commerce Kansas Taxfree Intermediate Bond Fund #1399	A	Dividend	K	T	Buy (add'l)	01/18/18	J		
59.					Sold (part)	10/17/18	J		
60. T Rowe Price Tax Free High Yield Fund	A	Dividend	J	T	Buy (add'l)	01/17/18	J		
61.					Sold (part)	10/17/18	J		
62. Vanguard High Yield Tax Exempt mutual fund	A	Dividend	J	T	Buy (add'l)	01/17/18	J		
63.					Sold (part)	10/17/18	J		
64. Family Trust #5 (H)									
65. Financial Square Trust Treasury Obligation Fund cash equivalent	A	Int./Div.	K	T					
66. Artisan Mid Cap Fund	A	Dividend	J	T	Sold (part)	01/17/18	J		
67.					Buy (add'l)	10/18/18	J		
68. Commerce Growth Fund Institutional Fund #337	B	Dividend	K	T	Sold (part)	10/18/18	J	A	

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69. Commerce Midcap Growth Fund Institutional # 339	A	Dividend	J	T	Sold (part)	01/17/18	J	A	
70.					Buy (add'l)	10/18/18	J		
71. Commerce Value Fund Institutional Fund #346	B	Dividend	K	T	Buy (add'l)	01/17/18	J		
72.					Buy (add'l)	10/18/18	J		
73. DFA US Targeted Value Portfolio	A	Dividend	J	T	Sold (part)	01/17/18	J	A	
74.					Sold (part)	10/18/18	J	A	
75. DFA US Large Cap Value Portfolio	A	Dividend	J	T	Sold (part)	01/17/18	J	A	
76.					Buy (add'l)	10/18/18	J		
77. Hartford Midcap Fund	A	Dividend	J	T	Sold (part)	01/17/18	J	A	
78.					Buy (add'l)	10/18/18	J		
79. Ishares Russell Midcap Value ETF	A	Dividend	K	T	Sold (part)	01/23/18	J	A	
80.					Buy (add'l)	10/19/18	J		
81. Clearbridge Small Cap Growth Fund	A	Dividend	J	T	Sold (part)	01/17/18	J	A	
82.					Buy (add'l)	10/18/18	J		
83. T Rowe Price New Horizons Fund	A	Dividend	J	T	Buy (add'l)	10/18/18	J		
84. TIAA-CREF Large-Cap Value Index Fund	A	Dividend	J	T	Sold (part)	01/17/18	J	A	
85.					Buy (add'l)	10/18/18	J		

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86. TIAA-CREF Large-Cap Growth Index Fund	A	Dividend	J	T	Sold (part)	01/17/18	J	A	
87.					Sold (part)	10/18/18	J	A	
88. Vanguard Morgan Growth Fund	B	Dividend	K	T	Sold (part)	10/18/18	J	A	
89. Invesco Developing Markets Fund-R6		None			Buy (add'l)	01/17/18	J		
90.					Buy (add'l)	03/14/18	J		
91.					Sold	10/18/18	J		
92. DFA International Small Company Portfolio	A	Dividend	J	T	Buy (add'l)	01/17/18	J		
93.					Buy (add'l)	03/14/18	J		
94.					Sold (part)	10/18/18	J	A	
95. Lazard Emerging Markets Equity Port Instl	A	Dividend	J	T	Buy (add'l)	01/17/18	J		
96.					Buy (add'l)	03/14/18	J		
97.					Sold (part)	10/18/18	J	A	
98. MFS Research International Fund	A	Dividend	J	T	Buy (add'l)	01/17/18	J		
99.					Sold (part)	03/14/18	J	A	
100.					Sold (part)	10/18/18	J	A	
101. T Rowe Price Overseas Stock Fund	A	Dividend	J	T	Buy (add'l)	01/17/18	J		
102.					Sold (part)	03/14/18	J	A	

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103.					Sold (part)	10/18/18	J	A	
104. Commerce Natl Tax-Free Bd Fd #334	B	Dividend	K	T	Buy (add'l)	01/17/18	J		
105.					Buy (add'l)	10/18/18	J		
106. Commerce Kansas Taxfree Intermediate Bond Fund #1399	D	Dividend	N	T	Buy (add'l)	01/17/18	J		
107.					Buy (add'l)	10/18/18	K		
108. Fidelity Spartan Intermediate Municipal Income Fund	B	Dividend	K	T	Buy (add'l)	01/17/18	J		
109.					Buy (add'l)	10/18/18	J		
110. Vanguard Short Term Tax Exempt Fund	B	Dividend	L	T					
111. T Rowe Price Tax Free High Yield	A	Dividend	K	T	Buy (add'l)	01/17/18	J		
112.					Buy (add'l)	10/18/18	J		
113. AQR Managed Futures Strategy Fund		None	J	T	Sold (part)	01/17/18	J		
114.					Sold (part)	10/18/18	J		
115.					Sold (part)	12/07/18	J		
116. Gateway Fund	A	Dividend	J	T	Sold (part)	01/17/18	J	A	
117.					Sold (part)	10/18/18	J	A	
118. Principal Global Multistrategy Fund	A	Dividend	J	T	Buy (add'l)	01/17/18	J		
119.					Sold (part)	10/18/18	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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Name of Person Reporting

Broomes, John W.

Date of Report

10/22/2019

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. JP Morgan Alerian MLP Index ETN	B	Dividend			Buy (add'l)	01/23/18	J		
121.					Sold (part)	10/19/18	J		
122.					Sold	12/12/18	J		
123. Vanguard REIT Index Fund	A	Dividend			Buy (add'l)	01/17/18	J		
124.					Sold	10/18/18	J		
125. Causeway Emerging Markets mutual fund	A	Dividend	J	T	Buy	10/18/18	J		
126. Vanguard High Yield Tax Exempt Fund Adm	A	Dividend	K	T	Buy (add'l)	01/17/18	J		
127.					Buy (add'l)	10/18/18	J		
128. DFA Commodity Strategy fund	A	Dividend	J	T	Buy	10/18/18	J		
129.									
130.									
131.									
132.									
133.									
134.									
135.									
136.									

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	

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

Broomes, John W.

Date of Report

10/22/2019

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.									

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	

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting	Date of Report
Broomes, John W.	10/22/2019

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

Although I am a trustee of Family Trust #1, there are no reportable assets in the trust.

Although I am a trustee of Family Trust #2, there are no reportable assets in the trust.

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting	Date of Report
Broomes, John W.	10/22/2019

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/ John W. Broomes**

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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