

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) ROSSMEISL, JOHN A.	2. Court or Organization BANKRUPTCY COURT E.D. WASHINGTON	3. Date of Report 05/11/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. BANKRUPTCY JUDGE-RECALLED	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 U.S. BANKRUPTCY COURT 402 E. YAKIMA AVENUE SUITE 200 YAKIMA, WA 98901		
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	YAKIMA SYMPHONY ORCHESTRA
2.	
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.)*

DATE

SOURCE AND TYPE

INCOME
(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.)*

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. BANKRUPTCY BAR
ASSOCIATION

06/10/2016-06/11/2016

WINTHROP, WA

SPEAKER AT SEMINAR

ROOM/FOOD/MILEAGE/

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. MORGAN STANLY BANK NA (see additional info)	A	Interest	L	T					
2. U.S. BANK CHARLES RUSSELL FUND (see additional info)	E	Distribution			Closed	09/22/16			
3. EXXON CORP/EXXON MOBIL CORP (XOM)	D	Dividend	M	T					
4. UNITED TECHNOLOGIES (UTX)	B	Dividend	L	T					
5. TEXAS INSTRUMENTS (TXN)	A	Dividend	K	T					
6. NUVEEN INSURED MUNI BOND FUN (FAARX)	C	Interest	L	T					
7. TAX EXEMPT BD FUND OF AMERICA (AFTEX)	D	Interest	M	T	Buy	07/05/16	M		
8. PRIN INV TAX EXEMPT (PTEAX)	A	Interest	J	T					
9. WESTERN ASSET MANAGED MUNI FD CLA (SHMMX)	C	Interest	M	T					
10. GENERAL ELECTRIC CO (GE)	B	Dividend	L	T					
11. INTEL CORPP (INTC)	B	Dividend	L	T					
12. MERCK & CO., INC. (MRK)	B	Dividend	K	T					
13. MICROSOFT CORP (MSFT)	B	Dividend	L	T					
14. AM HI INC MUN BD FD (AMHIX)	C	Interest	M	T					
15. CISCO SYSTEMS INC (CSCO)	B	Dividend	K	T					
16. AMGEN, INC (AMGN)	B	Dividend	L	T					
17. AMERICAN MUTUAL (AMRMX)	B	Interest	L	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 \$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. YAKIMA BREWING & MALTING CO.		None	J	T					
19. DNP SELECT INCOME FUND INC (DNP)	C	Dividend	K	T					
20. DTF TAX FREE INCOME INC (DTF)	A	Dividend	J	T					
21. BANK OF AMERICA (BAC)	B	Dividend	L	T					
22. EXPRESS SCRIPTS HLD CO COM (ESRX)		None	J	T					
23. BOEING CO (BA)	A	Dividend	K	T	Buy	07/07/16	J		
24. CORNING INC (GLW)	A	Dividend	J	T	Buy	07/07/16	J		
25. DOW CHEMICAL (DOW)	A	Dividend	J	T	Buy	07/07/16	J		
26. JOHNSON CTLS (JCI)	A	Dividend	J	T	Buy	09/06/16	J		
27. ADIENT PLC (ADNT) (see additional info)	A	Dividend	J	T					
28. UNIVERSITY WASH UNIV REVS REF-A	A	Interest	K	T	Buy	07/21/16	K		
29. WASHINGTON HEALTH CARE FACS AUTH REV-A	A	Interest	K	T	Buy	07/07/16	K		
30. VANGUARD (see additional info)		None	O	T	Open	09/13/16	O		

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

#1 MORGAN STANLY BANK NA- THIS IS A MONEY MARKET ACCOUNT WHICH I HAVE MAINTAINED FOR MANY YEARS WITH MY BROKER MORGAN STANLY. MORGAN STANLY HELD THESE FUNDS WITH CITIBANK AND THEY HAVE BEEN REPORTED AS SUCH. THE ACCOUNT IS NOW HELD WITH MORGAN STANLY BANK NA AND WILL HENCE FORTH BE REPORTED AS SUCH.

#2 US BANK CHARLES RUSSELL FUND- THIS IS AN IRA ACCOUNT WHICH WAS ESTABLISHED BY MY FORMER EMPLOYER. THIS ACCOUNT BECAME A ROLL OVER IRA ACCOUNT UPON MY JUDICIAL APPOINTMENT IN 1987. SINCE THAT TIME THE ACCOUNT HAS BEEN MANAGED BY US BANK. IN SEPTEMBER OF 2016, I TRANSFERRED MANAGEMENT OF THE ACCOUNT FROM US BANK TO VANGUARD. THE TRANSFER OF THE ENTIRE ACCOUNT TOOK PLACE BETWEEN SEPTEMBER 13, 2016, AND SEPTEMBER 22, 2016. PRIOR TO THIS TRANSFER, I HAD TAKEN MY ANNUAL MINIMUM DISTRIBUTION FOR THE YEAR 2016 FROM US BANK. THIS IS REFLECTED IN COLUMN I O THE DISCLOSURE REPORT.

#27 THIS STOCK WAS ACQUIRED AS A RESULT OF A CORPORATE SPIN OFF FROM JOHNSON #26. THERE HAVE BEEN NO TRANSACTIONS SINCE IT WAS RECEIVED IN OCTOBER OF 2016.

#30 SEE #2 ABOVE.

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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/ **JOHN A. ROSSMEISSL**

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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