

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) Freudenthal, Nancy D.	2. Court or Organization District Court - Wyoming	3. Date of Report 04/19/2017
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 01/01/2016 to 12/31/2016
7. Chambers or Office Address Office of Judge Freudenthal 2120 Capitol Ave. Cheyenne, WY 82001		
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	Trust #1
2.	Board member	Wyoming Professional Assistance Program
3.	Personal Representative	Estate of Harold Roan
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. 2003	State of Wyoming Retirement Plan with former employer, no control, agreement signed in 2003.
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. 2015	State of Wyoming retirement distribution	\$42,107.00
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2016	Crowell & Moring - salary
2. 2016	Arch Coal, Inc. - director income
3. 2016	State of Wyoming - retirement distribution
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. Federal Bar Association	10/13/2016-10/16/2016	Sun Valley, ID	annual tri-state convention	transportation, lodging, food
2. Federal Judges Association	5/17/2016-5/18/2016	Washington, DC	annual FJA Board meeting	transportation, lodging, food
3. American Bar Association - Energy and Environmental Resources	10/5/2016-10/6/2016	Denver, CO	panel member for break- out session at regional conference	transportation, lodging, food
4. Wyoming State Bar	9/14/2016	Laramie, WY	luncheon speaker for judicial luncheon, State Bar Convention	food
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.	Cheyenne Family YMCA	Family membership	\$605.00
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. Meridian Trust FCU cash account #1	A	Interest	M	T					
2. INDZX	A	Dividend	K	T					
3. INUTX	A	Dividend	K	T					
4. RiverSource Life Annuity Non-Qual									
5. -- Riversource Fixed Account (money market)	A	Interest	K	T					
6. -- Riversource Life Ins Co RAVA 5 Adv. Var. Annuity	C	Int./Div.	M	T					
7. RiverSource Life Annuity IRA - Moderate Portfolio Class 2	C	Int./Div.	M	T					
8. RiverSource Life Annuity RAVA 5 IRA (DF)									
9. -- Columbia VP - MNGD Vol. Mod Growth Class 2	D	Int./Div.	N	T					
10. -- Moderate Portfolio Class 2	D	Int./Div.	N	T					
11. Mass Mutual Fixed Whole Life Paid-Up at age 65 Insurance	B	Dividend	M	T					
12. ING Life Insurance	C	Interest	L	T					
13. Stifel Nicolaus Cash Equivalents (Trust #1)	A	Interest	J	T					
14. MMM Stock (Trust #1)	A	Dividend			Sold	11/10/16	K	E	
15. BGR Mutual Fund (Trust #1)	A	Dividend	J	T					
16. EOI Mutual Fund (Trust #1)	B	Dividend	K	T					
17. EOS Mutual Fund (Trust #1)	B	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 H = \$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	P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	L = \$50,001 - \$100,000 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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18. EXG Mutual Fund (Trust #1)	A	Dividend	J	T					
19. ETJ Mutual Fund (Trust #1)	C	Dividend	K	T					
20. KYE Mutual Fund (Trust #1)	A	Dividend	J	T					
21. ITHAX Mutual Fund (Trust #1)	A	Int./Div.	K	T					
22. LAGWX (Trust #1)		None	K	T	Sold (part)	11/10/16	K	A	
23. UBS Pathfinders treasury & Growth Stock Series 31 (Trust #1)	A	Dividend	K	T					
24. WFCPRJ Securities (Trust #1)	B	Dividend	K	T					
25. Residential property, Cody, Park County, Wyoming (Trust #1)		None	M	S					
26. Rental property, Cody, Park County, Wyoming (Trust #1)	C	Rent	K	S					
27. Meridian Trust FCU cash account #2	A	Interest	J	T					
28. Ameriprise IRA Active Diversified Alternatives Moderate Portfolio	D	Int./Div.	N	T					
29. HFLAX Mutual Fund (Trust #1)	A	Dividend			Sold	11/10/16	K	A	
30. Oregon Trail Bank cash account	A	Interest	J	T					
31. Fid Freedom K 2015	B	Interest	M	T					
32. Arch Coal, Inc. Retirement Account		None	J	T					
33. Jefferies Group Inc New Senior Note (Trust #1)	A	Int./Div.	K	T					
34. Ameriprise Non-Qualified Cash Reserve Certificate (DF)	A	Interest	L	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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35. Ameriprise Non-Qual. Active Diversified Alt. Moderate Portfolio (DF)	E	Int./Div.	O	T					
36. Riversource Var. Annuity Rollover IRA (DF)	A	Interest	J	T					
37. Residential property, Olalla, Kitsap County, Washington (Roan Estate)		None	M	S					
38. Safeway FCU IRA (Roan Estate)	A	Interest	J	T					
39.									
40.									

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

Part V, #1 - I have received an opinion from the Judicial Ethics Committee allowing receipt and use of this membership gift.

Part VII, #25 - The value of the residential property located in Cody, Park County, Wyoming has been estimated using the Park County Assessor's 2017 estimate of 2016 fair market value of \$218,126. Assessed value for the property is \$20,722.

Part VII, #26 - The value of the rental property located in Cody, Park County, Wyoming has been estimated using the Park County Assessor's 2017 estimate of 2016 fair market value of \$51,084. Assessed value for the property is \$4,853.

Part VII, #32 - Arch Coal Co. went through bankruptcy and all deferred stock was substantially written down. Thus there is no income during the reporting period.

Part VII, #37 - The value of the residential property located in Olalla, Kitsap County, Washington has been estimated using the Kitsap County Assessor's estimate of fair market value for 2016 taxes of \$137,460.

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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/ Nancy D. Freudenthal**

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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Washington, D.C. 20544