

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) WHITTEMORE, JAMES D.	2. Court or Organization USDC-MDFL-TAMPA	3. Date of Report 08/10/2017
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 801 N. Florida Ave. Suite 13B Tampa, FL 33602		
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.	Co-Trustee	Trust #1
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2016	State of Florida-Retirement	\$28,645.00
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	██████████ LLC
2. 2016	Optum Services Inc.
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.			
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.	American Express-Optima	Credit Card	K
2.			
3.			
4.			
5.			

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☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets)	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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. mgen, Inc.	B	Dividend	L	T					
2. Cisco Systems, Inc. Common Stock (IRA)	A	Dividend	J	T					
3.									
4. Bank Sweep Deposit (Mny Mkt) (StifelNicolaus)	B	Interest	J	T					
5. Nektar Therapeutics Common Stock		None	J	T					
6. Microsoft Corp. Common Stock(IRA)	A	Dividend	J	T					
7. Intel Corp. Common Stock (IRA)	A	Dividend	J	T					
8. AmerisourceBergen Corp. (Common Stock)	A	Dividend	J	T					
9. Bank Sweep Deposit (MnyMkt) (StifelNicolaus)	A	Interest	J	T					
10. CIGNA Corporation 401K:									
11. --CIGNA 401K (Common Stock)		None	K	T					
12. --CIGNA 401K (Fixed Income Stock)		None	M	T					
13. CIGNA Corporation Pension Plan	C	Interest	M	T					
14. Trust #1, Condo #2	E	Distribution			Sold	08/15/16	K	E	Taginvest, LLC
15. [REDACTED] 401K Plan:									
16. --Fidelity Intl Discovery (Stock)	B	Int./Div.	L	T					
17. --Fidelity Freedom 2015(Blended)	A	Int./Div.	J	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 = \$250,000,001 - \$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)

18. --MIP C1 1 (Bond Investments)	A	Int./Div.	J	T					
19. Wells Fargo Bank Acct	A	Interest	M	T					
20. Bank of America Acct		None	J	T					
21. Suncoast Credit Union	A	Interest	J	T					
22. Express Scripts Hldg Company		None	J	T					
23. Janus Int'l Equity CL A	A	Dividend	J	T					
24. T Rowe Price Health Sciences		None	J	T					
25. T Rowe Price Blue Chip growth	A	Dividend	J	T					
26. Equitable Premium Life Insurance		None	J	T					
27. UnitedHealth Group 401(k):					Open	04/01/16			
28. --FIAM Small Co		None	J	T					
29. --Vanguard Inst. Index Plus	A	Int./Div.	J	T					
30. --Vangrad Md Cp Idx Is Pl	A	Int./Div.	J	T					
31. --WT Mid Cap Opps	A	Int./Div.	J	T					
32. --SS US Bond Index C		None	J	T					
33. --UHG Stable Value		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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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Re: Section VII, Line # 3: (left blank intentionally).

Re: Section VII, Lines 10, 15 and 27: Aggregate income and value of these three 401(k) plans have been removed, and the assets in each plan have been itemized in Lines 11 and 12; 16-18, and 28-33, in accordance with the Committee's August 8, 2017 correspondence.

Re: Section VII, Lines 28-31:

The UnitedHealth Group 401(k) is a defined contribution plan my spouse was automatically enrolled in on April 1, 2016, when UnitedHealth Group acquired Helios, her employer. She began contributing each pay period into four pools/funds selected by the plan sponser. Quarterly statements are provided but they do not include information on income, dividend reinvestments, long or short term capital gains or transactions. Changes in the plan allocations will be documented in Section VII of future reports.

Re: Section I, Line #1 and Section VII, Line # 14:

Trust #2 Condo, the sole remaining asset of the trust, was sold and the proceeds distributed to the co-trustees, as reported.

Section VII, Line 21. Suncoast Schools Federal Credit Union changed its name to Suncoast Credit Union.

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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/ JAMES D. WHITTEMORE

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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