

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) Johnson, Alan B.	2. Court or Organization District Court - Wyoming	3. Date of Report 06/27/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Active Judge, U.S. Dist. Court	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 2120 Capitol Ave., Suite 2018 Cheyenne, WY 82003		
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. Member, Advisory Board	Cheyenne Regional Medical Center, Home Health Services
2. Trustee	Trust #2, See Explanation and Description at Part VIII and Part VII
3. Trustee	Trust #3, See Explanation and Description at Part VIII and Part VII
4. Trustee	Trust #1, See Explanation and Description at Part VIII and Part VII
5. Member, Local Discussion Group	Young Men's Literary Club
6. Member, Advisory Board	The American Heritage Center of the University of Wyoming

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	Wyoming Judicial Retirement - Monthly	\$5,269.00
2. 2016	State Employers Retirement - Monthly	\$406.00
3. 2016	DFAS - Retirement - Monthly	\$1,473.00
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	Lockheed Martin Corp Master Retirement Trust - Monthly
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.				
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. TRUST #1 "PARENTS TRUST" (H)									
2. - CHASE BANK ACCOUNT	A	Int./Div.	M	T					
3. - CHASE BANK ACCOUNT	A	Int./Div.	J	T					
4. CHASE INVESTMENT SERVICES MONEY MARKET ACCT.	A	Int./Div.	K	T					
5. TRUST #2 "ALAN B. JOHNSON PREMARITAL REVOCABLE" TRUST" (H)									
6. - ANB BANK	A	Interest	N	T					
7. - WELLS FARGO	A	Interest	J	T					
8. ANB BANK - ACCOUNT	A	Interest	M	T					
9. ANB BANK - ACCOUNT (Y)									
10. TRUST #3 " REV. TRUST" (H)									
11. - FIDELITY BROKERAGE ACCT. MONEY MARKET ACCT.	A	Int./Div.	K	T					
12. - DFA INTERNATIONAL VECTOR EQUITY PORT	B	Int./Div.	K	T	Buy (add'l)	01/07/16	J		
13.					Buy (add'l)	03/31/16	K		
14.					Sold (part)	02/11/16	K	A	
15. - DFA US CORE EQUITY II	A	Int./Div.	K	T	Buy (add'l)	01/07/16	J		
16.					Buy (add'l)	03/31/16	K		

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	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	F = \$50,001 - \$100,000 J = \$15,000 or less (See Columns C1 and D3)	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	N = \$250,001 - \$500,000 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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☐ 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 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)

17.					Sold (part)	02/11/16	K	A	
18. - DFA EMERGING MRKTS CORE EQU PORTF	A	Int./Div.	K	T					
19. - FIDELITY CASH CLEARING (Y)									
20. - FIDELITY INTERMEDIATE MUNI INCOME	A	Int./Div.	K	T	Buy (add'l)	04/21/16	J		
21. - FIDELITY TAX FREE BOND	A	Int./Div.	K	T	Buy (add'l)	04/21/16	J		
22. - ISHARES TR INTL DEVELOPED REAL ESTATE ETF	A	Int./Div.	J	T					
23. - ISHARES TR IBOXX HI YD ETF	A	Int./Div.			Buy	02/16/16	K		
24.					Sold	04/04/16	K	C	
25. - ISHARES CORE S&P TOTAL US STOCK	A	Int./Div.			Buy	02/16/16	K		
26.					Sold	04/04/16	K	C	
27. - ISHARES CORE US AGGREGATE BOND	A	Int./Div.			Buy	02/16/16	M		
28.					Sold	04/04/16	M	A	
29. - ISHARES TRUST CORE MSCI EAFE ETF	A	Int./Div.			Buy	02/16/16	K		
30.					Sold	04/04/16	K	C	
31. - LOOMIS SAYLES BD INST L	A	Int./Div.	K	T	Buy (add'l)	03/31/16	K		
32.					Sold (part)	02/11/16	K	A	
33. - LOOMIS SAYLES BOND RETAIL SHARES	A	Int./Div.	J	T	Buy	01/07/16	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 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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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)

34. - MERGER FUND	A	Int./Div.	K	T	Buy (add'l)	04/21/16	J		
35. - PIMCO TOTAL RETURN ADMIN SHS	A	Int./Div.			Buy (add'l)	01/07/16	J		
36.					Sold	02/11/16	L	A	
37. - PIMCO TOT RET INSTL	C	Int./Div.	M	T	Buy (add'l)	03/31/16	M		
38.					Sold (part)	02/11/16	L	A	
39. - PIMCO COMMODITY REAL RET STRAT ADMIN CL	A	Int./Div.	J	T	Buy (add'l)	01/14/16	J		
40. - PIMCO COMMODITY REAL RETURN INST	A	Int./Div.	J	T					
41. - SPARTAN EMERGING MKT INDEX FUND					Buy	01/14/16	J		
42.					Merged (with line 43)	07/15/16	J		
43. - FIDELITY EMERGING MKTS INDEX PREMIUM	A	Int./Div.	J	T					
44. - SPARTAN REAL ESTATE INDEX FD INVESTOR CL					Merged (with line 45)	07/15/16	J		
45. - FIDELITY REAL ESTATE INDEX PREMIUM CL	A	Int./Div.	J	T					
46. - VANGUARD INDEX FDS VANGUARD REIT ETF	A	Int./Div.	J	T					
47. - VANGUARD GLOBAL REAL	A	Int./Div.	J	T					
48. - VANGUARD WHITEHALL FUNDS EMERGING MKT	B	Int./Div.	K	T					
49. - GATEWAY FUND	A	Int./Div.	K	T	Buy (add'l)	02/11/16	J		
50. - PWRSHRS RAFI US 1000	A	Int./Div.	J	T					

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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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51. - PWRSHRS RAFI US 1500	A	Int./Div.	J	T					
52. NEW YORK LIFE INS WHOLE LIFE	A	Int./Div.	M	T					
53. WYOMING DEFERRED COMP (H)									
54. - OPPENHEIMER GLOBAL					Sold	09/30/16	L	A	
55. - T ROWE PRICE NEW HORIZON					Sold	09/30/16	M	A	
56. - ARTISAN MID CAP FUND					Sold	09/30/16	M	A	
57. - WRS LARGE CAP U.S. EQUITY FUND	A	Int./Div.	K	T	Buy	09/30/16	K		
58.					Redeemed (part)	11/17/16	J		RETIREMENT DIST.
59. - WRS INTERNATIONAL EQUITY FUND	A	Int./Div.	K	T	Buy	09/30/16	K		
60.					Redeemed (part)	11/17/16	J		RETIREMENT DIST.
61. - WRS SMALL/MID CAP U.S. EQUITY FUND	A	Int./Div.	N	T	Buy	09/30/16	N		
62.					Redeemed (part)	11/17/16	J		RETIREMENT DIST.
63. WYOMING STATE RET. SYSTEM BEN. ACCT.	A	Int./Div.	J	T					
64. XCEL ENERGY	B	Int./Div.	K	T					
65. AXA EQUITABLE LIFE INS COMPANY	A	Int./Div.	J	T					
66. UNITED STATES AUTO ASSOC.,	A	Int./Div.	J	T					
67. TRUST #4 - "██████ REV. TRUST" (H)									

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68. - DODGE & COX INTERNATL STOCK FUND (Y)									
69. - AMERICAN CAPTIAL WORLD GRWTH & INC. (Y)									
70. - AMERICAN NEW WORLD CLASS F1 (Y)									
71. - BRIDGEWAY ULTRA SMALL CO MARKET (Y)									
72. - DFA US CORE EQUITY II (Y)									
73. - FIDELITY ADVISOR NEW INSIGHTS CL I (Y)									
74. - FIDELITY CASH CLEARING ACCOUNT (Y)									
75. - FIDELITY CORE ACCOUNT	A	Int./Div.	J	T					
76. - FIDELITY INTERMEDIATE MUNI INCOME (Y)									
77. - FIDELITY MUNICIPAL INCOME (Y)									
78. - GATEWAY FUND CLASS Y (Y)									
79. - ISHARES TR INTL DEVELOPED REAL ESTATE ETF (Y)									
80. - SHARES CORE S&P TOTAL US STOCK	A	Int./Div.			Buy	02/16/16	K		
81.					Sold	04/04/16	K	B	
82. - LOOMIS SAYLES BOND RETAIL SHARES (Y)									
83. - PIMCO COMMODITY REAL RET STRAT ADMIN CL (Y)									
84. - PIMCO TOTAL RETURN ADMINISTRATIVE SHS (Y)									

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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85. - POWERSHARES FTSE RAFI US 1000 (Y)									
86. - SPARTAN EMERGING MKT INDEX FUND INVESTOR (Y)									
87. - SPARTAN INTL INDEX INVESTOR CLASS (Y)									
88. - VANGUARD ALL-WLD EX-US SM CP ET (Y)									
89. - WILLIAM BLAIR INTL GROWTH (Y)									
90.									
91.									
92.									
93.									
94.									
95.									
96.									
97.									
98.									
99.									

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

Cheyenne Regional Medical Center is the local hospital organization. The provision of nursing and care services to patients in their homes is one of the services provided through Cheyenne Regional Medical Center. As part of the concern for the quality of patient care, members of the public as well as medical professionals have been placed on an advisory board, which meets periodically.

Young Mens' Literary club is a small organization (less than 50 including honoray and emeriti) that meets weekly during the fall, winter and spring to discuss current events and review assigned papers. The organization has existed for the past 110 years. The Secretary/Treasurer receives nominal dues for rent of the meeting room and keeps meeting minutes that are deposited and preserved in the State Archives.

The American Heritage Center of the University of Wyoming functions as a public trust to collect, preserve and make accessible "a clearly defined set of primary sources and rare books - reflecting the written mage, and audio history of Wyoming, the Rocky Mountain region, and selected aspects of the American Past." (From mission statement of AHC) Reporting party was invited to serve a 4 year term.

Trust #1 is a trust that was established by my parents. It contains financial investments listed on schedule VII that I beleive are the sole financial interests of the trust. No portion of the trust is derived from my assets, income or activities or those of my spouse. During 2010 I became successor trustee of the trust and have therefore listed on Schedule VII. I am not an income or principal beneficiary of the trust, however [REDACTED] are beneficiaries. During the reporting period I did not derive or expect to derive a benefit from the trust.

Trust #2 and Turst #3 were created to implement premartial and estate planning. It is anticipated that additional assets will be placed in the trusts in the future. Trust #2 holds and controls items listed on Schedule VII, bank accounts at ANB Bank (formerly American National Bank) and Wells Fargo National Bank, Part VII. Trust #3 holds and controls items listed on schedule VII.

Trust #4 is another trust established by [REDACTED] with premartial assets. I am not a trustee or beneficiary of this trust, the assets listed are listed due to the filing of a joint income tax return in 2016.

Trust #4 - [REDACTED] passed away on March 10, 2016. Nearly all assets in [REDACTED] revocable trust were transferred to [REDACTED] as beneficiaries of the trust. The transactions that took place prior to the assets being transferred are reported on lines 67 through 89 of this report.

ANB Bank is formerly known as American National Bank.

Trust #3 - Spartan Emerging Mkt Index Fund merged into Fidelity Emerging Mkt. Index Premuim. Spartan Real Estate Index FD Investor CL merged into Fidelity Real Estate Index Premium CL.

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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/ Alan B. Johnson

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