

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)

|                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                                     |                                                                  |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting</b> (last name, first, middle initial)<br><br>Dow, Dennis R.                                                                                                                       | <b>2. Court or Organization</b><br><br>US Bankruptcy Ct-W Dist MO                                                                                                                                                                                                                                   | <b>3. Date of Report</b><br><br>08/31/2017                       |
| <b>4. Title</b> (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)<br><br>US Bankruptcy Judge                                                           | <b>5a. Report Type</b> (check appropriate type)<br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final<br><b>5b.</b> <input checked="" type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br><br>01/01/2016<br>to<br>12/31/2016 |
| <b>7. Chambers or Office Address</b><br><br>Charles E Whittaker United States Courthouse<br>400 E 9th St, Room 6562<br>Kansas City, MO 64106                                                              |                                                                                                                                                                                                                                                                                                     |                                                                  |
| <p align="center"><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</p> |                                                                                                                                                                                                                                                                                                     |                                                                  |

## 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. | Director, Secretary, Executive Committee Member | American Bankruptcy Institute            |
| 2. | At-large member of the Board of Governors       | National Conference of Bankruptcy Judges |
| 3. | Member Board of Directors                       | CARE                                     |
| 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. |             |                          |

**FINANCIAL DISCLOSURE REPORT**

Page 2 of 9

Name of Person Reporting

Dow, Dennis R.

Date of Report

08/31/2017

**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<br>(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. 2016 | Trinity Management LLC - Salary reported on Form W-2 |
| 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. American Bankruptcy Institute            | February 3, 2016-February 4, 2016 | San Juan, Puerto Rico | Executive Committee Meeting | Transportation & Meals          |
| 2. The Missouri Bar                         | March 9, 2016-March 10, 2016      | Columbia, MO          | Annual Bankruptcy Institute | Transportation, Meals & Lodging |
| 3. National Conference of Bankruptcy Judges | March 14, 2016-March 15, 2016     | Fort Worth, TX        | Mid-Year Meeting            | Transportation, Meals & Lodging |
| 4. American College of Bankruptcy           | March 17, 2016-March 19, 2016     | Washington, DC        | Induction Ceremony          | Transportation, Meals & Lodging |
| 5. American Bankruptcy Institute            | April 13, 2016-April 16, 2016     | Washington, DC        | Annual Spring Meeting       | Transportation & Meals          |

**FINANCIAL DISCLOSURE REPORT**

Page 3 of 9

Name of Person Reporting

**Dow, Dennis R.**

Date of Report

08/31/2017

|    |                                          |                                     |                         |                                          |                                 |
|----|------------------------------------------|-------------------------------------|-------------------------|------------------------------------------|---------------------------------|
| 6. | American Bankruptcy Institute            | June 27, 2016-June 28, 2016         | Washington, DC          | Executive Committee Meeting              | Transportation, Lodging & Meals |
| 7. | American Bankruptcy Institute            | September 7, 2016-September 9, 2016 | Las Vegas, NV           | Southwest Bankruptcy Conference          | Transportation & Meals          |
| 8. | National Conference of Bankruptcy Judges | October 25, 2016-October 29, 2016   | San Francisco, CA       | 90th Annual Conference                   | Transportation & Lodging        |
| 9. | American Bankruptcy Institute            | November 30, 2016-December 3, 2016  | Rancho Palos Verdes, CA | 28th Annual Winter Leadership Conference | Transportation & Meals          |

**FINANCIAL DISCLOSURE REPORT**

Page 4 of 9

Name of Person Reporting

Dow, Dennis R.

Date of Report

08/31/2017

**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. |                 |                    |                   |

# FINANCIAL DISCLOSURE REPORT

Page 5 of 9

Name of Person Reporting

Dow, Dennis R.

Date of Report

08/31/2017

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                                    |   |          |   |   |  |  |  |  |  |
|----------------------------------------------------|---|----------|---|---|--|--|--|--|--|
| 1. Natixis US Eq Opp Fund A                        | A | Dividend | K | T |  |  |  |  |  |
| 2. United Missouri Bank (UMB) Accounts             | A | Interest | K | T |  |  |  |  |  |
| 3. Europacific Growth Fund A                       | A | Dividend | K | T |  |  |  |  |  |
| 4. The Growth Fund of America A                    | A | Dividend | J | T |  |  |  |  |  |
| 5. The New Economy Fund A                          | A | Dividend | K | T |  |  |  |  |  |
| 6. Small Cap World Fund A                          | A | Dividend | J | T |  |  |  |  |  |
| 7. Davis New York Venture Fund Class A             | A | Dividend | J | T |  |  |  |  |  |
| 8. Templeton Developing Markets Trust Class A      | A | Dividend | J | T |  |  |  |  |  |
| 9. Columbia Seligman Communications & Info Fund A  | B | Dividend | K | T |  |  |  |  |  |
| 10. Rollover IRA #1:                               |   |          |   |   |  |  |  |  |  |
| 11. -Fidelity ADV Energy Fund CL T                 |   | None     | L | T |  |  |  |  |  |
| 12. -American Small Cap World Fund CL A            | A | Dividend | L | T |  |  |  |  |  |
| 13. -Citibank Bank Deposit Cash Account            | A | Interest | M | T |  |  |  |  |  |
| 14. -American Mutual Fund Class A                  | D | Dividend | M | T |  |  |  |  |  |
| 15. -Franklin Small Mid Cap Growth Fund A          | D | Dividend | L | T |  |  |  |  |  |
| 16. -Franklin Mutual Global Discovery Fund Class A | D | Dividend | M | T |  |  |  |  |  |
| 17. -Templeton Developing Markets Class A          | A | Dividend | K | T |  |  |  |  |  |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|-------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                   | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$50,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                           | T = Cash Market                                              |                         |

# FINANCIAL DISCLOSURE REPORT

Page 6 of 9

Name of Person Reporting

Dow, Dennis R.

Date of Report

08/31/2017

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                                       |   |          |   |   |          |          |   |   |  |
|-------------------------------------------------------|---|----------|---|---|----------|----------|---|---|--|
| 18. -Buffalo Small Cap Fund                           | E | Dividend | L | T |          |          |   |   |  |
| 19. -Capital World Growth & Income Fund A             | D | Dividend | M | T |          |          |   |   |  |
| 20. -Franklin Income Fund CL A                        | D | Dividend | M | T |          |          |   |   |  |
| 21. -Fundamental Investors Fund CL A                  | D | Dividend | M | T |          |          |   |   |  |
| 22. -Oppenheimer Gold & SP Mineral CL A               | B | Dividend | K | T |          |          |   |   |  |
| 23. -Income Fund of America CL A                      | B | Dividend | L | T |          |          |   |   |  |
| 24. -Growth Fund of America CL A                      | D | Dividend | L | T |          |          |   |   |  |
| 25. Edward Jones IRA                                  | A | Interest |   |   | Redeemed | 11/02/16 | J | A |  |
| 26. The New England Variable Life Insurance Policies: |   |          |   |   |          |          |   |   |  |
| 27. Lmis Say SmCap Growth                             | A | Dividend | J | T |          |          |   |   |  |
| 28. WMC Core Equity Opp                               | A | Dividend | J | T |          |          |   |   |  |
| 29. American Funds Growth Fund                        | A | Dividend | J | T |          |          |   |   |  |
| 30. American Funds Gro-Inc                            | A | Dividend | J | T |          |          |   |   |  |
| 31. MFS Research Intl                                 | A | Dividend | J | T |          |          |   |   |  |
| 32. MetArt Mid Cap Value                              | A | Dividend | J | T |          |          |   |   |  |
| 33. Lmis Say SmCap Core                               | A | Dividend | J | T |          |          |   |   |  |
| 34. MFS Value Portfolio                               | A | Dividend | J | T |          |          |   |   |  |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
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| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                   | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$50,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                           | T = Cash Market                                              |                         |

# FINANCIAL DISCLOSURE REPORT

Page 7 of 9

Name of Person Reporting

Dow, Dennis R.

Date of Report

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|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                                   |   |          |   |   |  |  |  |  |  |
|---------------------------------------------------|---|----------|---|---|--|--|--|--|--|
| 35. The New England Whole Life Insurance Policies | B | Dividend | M | T |  |  |  |  |  |
|---------------------------------------------------|---|----------|---|---|--|--|--|--|--|

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|-------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
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| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                           | T = Cash Market                                              |                         |

**FINANCIAL DISCLOSURE REPORT**

Page 8 of 9

Name of Person Reporting

Dow, Dennis R.

Date of Report

08/31/2017

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

# FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

Dow, Dennis R.

Date of Report

08/31/2017

## 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/ **Dennis R. Dow**

**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