

# 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>Dowdell, John E.                                                                                                                     | <b>2. Court or Organization</b><br><br>U.S. District Court, Northern District of Oklahoma                                                                                                                                                                                                | <b>3. Date of Report</b><br><br>06/19/2017                       |
| <b>4. Title</b> (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)<br><br>U.S. District Judge - Active Status                                           | <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 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>U.S. Courthouse<br>333 W. 4th Street, Room 411<br>Tulsa, Oklahoma 74103                                                                                       |                                                                                                                                                                                                                                                                                          |                                                                  |
| <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.)

POSITION

NAME OF ORGANIZATION/ENTITY

|    |  |  |
|----|--|--|
| 1. |  |  |
| 2. |  |  |
| 3. |  |  |
| 4. |  |  |
| 5. |  |  |

## II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

|    |  |
|----|--|
| 1. |  |
| 2. |  |
| 3. |  |

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Name of Person Reporting

Dowdell, John E.

Date of Report

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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.)*DATESOURCE AND TYPEINCOME  
(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.)*DATESOURCE AND TYPE

1. 2016 \_\_\_\_\_

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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. \_\_\_\_\_

2. \_\_\_\_\_

3. \_\_\_\_\_

4. \_\_\_\_\_

5. \_\_\_\_\_

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Name of Person Reporting

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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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Name of Person Reporting

Dowdell, John E.

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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.<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. Brokerage Account #1 (H)                                                                                                 |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 2. -Greystone Logistics, Inc. Stock (common)                                                                                | D                                       | Distribution                                  |                                                 |                                           | Sold<br>(part)                                  | 05/04/16                | J                               | B                              |                                                                   |
| 3.                                                                                                                          |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 05/09/16                | J                               | C                              |                                                                   |
| 4.                                                                                                                          |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 05/09/16                | J                               | C                              |                                                                   |
| 5.                                                                                                                          |                                         |                                               |                                                 |                                           | Sold                                            | 05/09/16                | J                               | B                              |                                                                   |
| 6. -First Eagle Global Fund                                                                                                 |                                         | None                                          |                                                 |                                           | Sold                                            | 05/06/16                | J                               | A                              |                                                                   |
| 7.                                                                                                                          |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 8. -UBS Money Market Account                                                                                                |                                         | None                                          |                                                 |                                           | Closed                                          | 10/26/16                | J                               |                                |                                                                   |
| 9.                                                                                                                          |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 10. IRA #1 (H)                                                                                                              |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 11. -American Funds Capital World Growth<br>Allocation Fund                                                                 |                                         | None                                          |                                                 |                                           | Sold                                            | 10/26/16                | J                               | C                              |                                                                   |
| 12. -American Funds Investment Company of<br>America                                                                        |                                         | None                                          |                                                 |                                           | Sold                                            | 10/26/16                | K                               | D                              |                                                                   |
| 13. -First Eagle Global Fund                                                                                                |                                         | None                                          |                                                 |                                           | Sold                                            | 10/26/16                | K                               | C                              |                                                                   |
| 14. -Ivy Asset Strategy Fund                                                                                                |                                         | None                                          |                                                 |                                           | Sold                                            | 10/26/16                | K                               |                                |                                                                   |
| 15. -Oppenheimer Global Allocation Fund                                                                                     |                                         | None                                          |                                                 |                                           | Sold                                            | 10/26/16                | K                               | B                              |                                                                   |
| 16. -Prudential International Equity Fund                                                                                   |                                         | None                                          |                                                 |                                           | Sold                                            | 10/26/16                | J                               |                                |                                                                   |
| 17. -Prudential Jennison Select Growth Fund                                                                                 |                                         | None                                          |                                                 |                                           | Sold                                            | 10/26/16                | J                               |                                |                                                                   |

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

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Name of Person Reporting

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☐ 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 I<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. -Allianzgi NFJ Mid-Cap Value Fund Class A                 |   | None     |   |   | Sold               | 10/26/16 | K | C |  |
| 19.                                                           |   |          |   |   |                    |          |   |   |  |
| 20. Mass Mutual Whole Life                                    |   | None     | M | T |                    |          |   |   |  |
| 21.                                                           |   |          |   |   |                    |          |   |   |  |
| 22. Tulsa Federal Employee's Credit Union Account             |   | None     | J | T |                    |          |   |   |  |
| 23.                                                           |   |          |   |   |                    |          |   |   |  |
| 24. IRA #2 (H)                                                |   |          |   |   |                    |          |   |   |  |
| 25. -Schwab Govt Money Fund                                   |   | None     | L | T | Distributed (part) | 11/23/16 | J | B |  |
| 26. -Firstmerit Corp Stock (common)                           |   | None     |   |   | Sold               | 01/27/16 | J |   |  |
| 27. -Powershares Global ETF Fundamental High YLD USDBond Port | A | Dividend | J | T | Buy (add'l)        | 04/01/16 | J |   |  |
| 28.                                                           |   |          |   |   | Sold (part)        | 06/30/16 | J |   |  |
| 29.                                                           |   |          |   |   | Sold (part)        | 10/04/16 | J | A |  |
| 30. -The Southern Company Stock (common)                      | A | Dividend | J | T |                    |          |   |   |  |
| 31. -Doubleline Total Return BD FD CL I                       | A | Dividend |   |   | Sold               | 04/29/16 | L |   |  |
| 32. -Annaly Capital Management                                | A | Dividend | J | T |                    |          |   |   |  |
| 33.                                                           |   |          |   |   |                    |          |   |   |  |
| 34. -Ishares MSCI JPN IDEX FD Japan Index Fund                | A | Dividend | J | T | Buy (add'l)        | 01/04/16 | J |   |  |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|-------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 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                                              |                         |

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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.                                                       |   |          |   |   | Sold<br>(part) | 04/01/16 | J |   |  |
| 36.                                                       |   |          |   |   | Sold<br>(part) | 06/30/16 | J |   |  |
| 37. -Ishares S&P 500 Growth S&P 500 Growth<br>Index FD    | A | Dividend | K | T | Sold<br>(part) | 10/04/16 | J | B |  |
| 38. -Schw Intl EQ ETF                                     | A | Dividend | J | T | Buy<br>(add'l) | 01/04/16 | J |   |  |
| 39.                                                       |   |          |   |   | Sold<br>(part) | 04/06/16 | J |   |  |
| 40.                                                       |   |          |   |   | Sold<br>(part) | 10/04/16 | J | A |  |
| 41. -Market Vectors ETF Trusthard Assets<br>Producers (Y) |   |          |   |   |                |          |   |   |  |
| 42. -Ishares S&P 500 Value S&P 500 Value<br>Index FD      |   |          |   |   | Sold<br>(part) | 01/04/16 | J | B |  |
| 43.                                                       |   |          |   |   | Buy<br>(add'l) | 04/01/16 | J |   |  |
| 44.                                                       |   |          |   |   | Buy<br>(add'l) | 06/30/16 | J |   |  |
| 45.                                                       |   |          |   |   |                |          |   |   |  |
| 46. -Vanguard FTSE Emerging Markets ETF                   | A | Dividend | K | T | Buy<br>(add'l) | 10/04/16 | J |   |  |
| 47. -Ishares Core S&P ETF Smallcap                        | A | Dividend | K | T | Sold<br>(part) | 04/01/16 | J | A |  |
| 48.                                                       |   |          |   |   | Buy<br>(add'l) | 10/04/16 | J |   |  |
| 49. -Ishares Core S&P ETF Midcap                          | A | Dividend | K | T |                |          |   |   |  |
| 50.                                                       |   |          |   |   |                |          |   |   |  |
| 51. -GlaxoSmithKline PLC ADR F Sponsored<br>ADR           | A | Dividend |   |   | Sold<br>(part) | 01/26/16 | J |   |  |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
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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 \$5,000,000 | 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                                              |                         |

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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) |
| 52.                                                                                                                       |                                         |                                               |                                                 |                                           | Sold                                            | 06/15/16                | J                               |                                |                                                                   |
| 53. -SCH US REIT ETF                                                                                                      | A                                       | Dividend                                      |                                                 |                                           | Sold<br>(part)                                  | 01/04/16                | J                               | A                              |                                                                   |
| 54.                                                                                                                       |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 04/01/16                | J                               |                                |                                                                   |
| 55.                                                                                                                       |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 06/30/16                | J                               |                                |                                                                   |
| 56.                                                                                                                       |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 10/04/16                | J                               |                                |                                                                   |
| 57. -H C P Inc. Stock (common)                                                                                            | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 04/12/16                | J                               |                                |                                                                   |
| 58. -Williams Companies Stock (common)                                                                                    | A                                       | Dividend                                      | J                                               | T                                         | Buy<br>(add'l)                                  | 04/19/16                | J                               |                                |                                                                   |
| 59.                                                                                                                       |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 09/21/16                | J                               |                                |                                                                   |
| 60. -B G C Partners Class A Stock (common)                                                                                |                                         | None                                          |                                                 |                                           | Sold                                            | 01/08/16                | J                               | C                              |                                                                   |
| 61. -Verizon Communications (common)                                                                                      | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 62. -Pattern Energy CL A (common)                                                                                         | A                                       | Dividend                                      | J                                               | T                                         | Buy<br>(add'l)                                  | 03/02/16                | J                               |                                |                                                                   |
| 63. -Guggenheim Exch TRD FD Bulletshares<br>2018 Corp                                                                     | B                                       | Dividend                                      | L                                               | T                                         | Sold<br>(part)                                  | 10/26/16                | J                               | A                              |                                                                   |
| 64. -Potash Corp. Sask Inc. (common)                                                                                      | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 06/15/16                | J                               |                                |                                                                   |
| 65. -Lamar Advertising Co. A Class A<br>(common)                                                                          | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 66. -Vodafone Group New ADR F Sponsored<br>ADF (common)                                                                   | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 67. -Peoples United Finl Inc. (common)                                                                                    | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 68. -GEO Group Inc. (common)                                                                                              | A                                       | Dividend                                      | J                                               | T                                         | Buy<br>(add'l)                                  | 11/16/16                | J                               |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
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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                                              |                         |

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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) |
| 69.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 12/15/16                | J                               |                                |                                                                   |
| 70. -Guggenheim ETF Bulletshares 2020 Corp.                                                                                 |                                         | None                                          |                                                 |                                           | Sold                                            | 10/26/16                | L                               | B                              |                                                                   |
| 71. -Oneok Inc. New (common)                                                                                                | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 04/13/16                | J                               |                                |                                                                   |
| 72. -Centerpoint Energy Inc. (common)                                                                                       |                                         | None                                          |                                                 |                                           | Sold                                            | 01/22/16                | J                               |                                |                                                                   |
| 73. -Ford Motor Company (common)                                                                                            | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 74. -Occidental Petroleum Corp (common)                                                                                     | A                                       | Dividend                                      |                                                 |                                           | Sold<br>(part)                                  | 05/03/16                | J                               |                                |                                                                   |
| 75.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold                                            | 12/02/16                | J                               |                                |                                                                   |
| 76. -Guggenheim ETF Bulletshares 2022 Corp                                                                                  | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 02/17/16                | K                               |                                |                                                                   |
| 77. -Valley National Banc (common)                                                                                          | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 78. -Spectra Energy Corp (common)                                                                                           | A                                       | Dividend                                      |                                                 |                                           | Sold<br>(part)                                  | 02/09/16                | J                               |                                |                                                                   |
| 79.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold                                            | 09/08/16                | J                               | B                              |                                                                   |
| 80. -Doubleline Total Return TTCL ETF                                                                                       | C                                       | Dividend                                      | M                                               | T                                         | Buy<br>(add'l)                                  | 05/02/16                | L                               |                                |                                                                   |
| 81.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 10/26/16                | K                               |                                |                                                                   |
| 82. -PPL Corporation (common)                                                                                               | A                                       | Dividend                                      | J                                               | T                                         | Sold<br>(part)                                  | 07/13/16                | J                               | A                              |                                                                   |
| 83.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 12/08/16                | J                               |                                |                                                                   |
| 84. -NRG Yield Inc. (common)                                                                                                | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 85. -Ventas Inc. REIT (common)                                                                                              | A                                       | Dividend                                      |                                                 |                                           | Sold<br>(part)                                  | 06/15/16                | J                               | A                              |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 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 \$5,000,000 | 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

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Name of Person Reporting

Dowdell, John E.

Date of Report

06/19/2017

## 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) |

|                                            |   |          |   |   |                |          |   |   |  |
|--------------------------------------------|---|----------|---|---|----------------|----------|---|---|--|
| 86.                                        |   |          |   |   | Sold           | 06/28/16 | J | B |  |
| 87. -Weyerhaeuser Co REIT (common)         | A | Dividend | J | T |                |          |   |   |  |
| 88. -Duke Energy Corp (common)             | A | Dividend | J | T | Sold<br>(part) | 07/13/16 | J | B |  |
| 89.                                        |   |          |   |   | Buy<br>(add'l) | 12/08/16 | J |   |  |
| 90. -Blackstone MTG TR REIT (common)       | A | Dividend | J | T | Buy<br>(add'l) | 03/01/16 | J |   |  |
| 91. -Pfizer Incorporated (common)          | A | Dividend | J | T | Buy            | 01/26/16 | J |   |  |
| 92. -Cisco Systems Inc. (common)           | A | Dividend | J | T | Buy            | 02/11/16 | J |   |  |
| 93. -IBM Corp (common)                     | A | Dividend | J | T | Buy            | 01/23/16 | J |   |  |
| 94. -iShares IBonds Dec 2022 CRP ETF: IBDN | A | Dividend | K | T | Buy            | 02/17/16 | K |   |  |
| 95.                                        |   |          |   |   | Buy<br>(add'l) | 10/26/16 | J |   |  |
| 96. -Qualcomm Inc. (common)                | A | Dividend | J | T | Buy            | 03/29/16 | J |   |  |
| 97. -Fifth Third Bancorp (common)          | A | Dividend |   |   | Buy            | 04/19/16 | J |   |  |
| 98.                                        |   |          |   |   | Sold           | 11/15/16 | J | C |  |
| 99. -AT&T Inc. (common)                    | A | Dividend | J | T | Buy            | 05/03/16 | J |   |  |
| 100. -CME Group Inc. (common)              | A | Dividend | J | T | Buy            | 06/01/16 | J |   |  |
| 101. -Valero Energy Corp (common)          | A | Dividend | J | T | Buy            | 06/15/16 | J |   |  |
| 102.                                       |   |          |   |   | Sold<br>(part) | 12/15/16 | J | B |  |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 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 \$5,000,000 | 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

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Name of Person Reporting

Dowdell, John E.

Date of Report

06/19/2017

## 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) |
| 103. -Paccar Inc. (common)                                                                                                  | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 09/08/16                | J                               |                                |                                                                   |
| 104. -Vaneck Vectors Nat Res ETF f/k/a Market<br>Vectors ETF Trusthard Asset                                                | A                                       | Dividend                                      | K                                               | T                                         | Buy                                             | 10/04/16                | K                               |                                |                                                                   |
| 105. -iShares IBND Dec 2025 TRM ETF: IBDQ                                                                                   | A                                       | Dividend                                      | L                                               | T                                         | Buy                                             | 10/26/16                | L                               |                                |                                                                   |
| 106. -Powershares Senior Loan ETF: BKLN                                                                                     | A                                       | Dividend                                      | L                                               | T                                         | Buy                                             | 10/26/16                | L                               |                                |                                                                   |
| 107. -Coca Cola Company (common)                                                                                            | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 10/31/16                | J                               |                                |                                                                   |
| 108.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 11/14/16                | J                               |                                |                                                                   |
| 109. -Chimera Investment (common)                                                                                           |                                         | None                                          | J                                               | T                                         | Buy                                             | 12/02/16                | J                               |                                |                                                                   |
| 110. -Powershares Variable Rate PRF ETF IV:<br>VRP                                                                          |                                         | None                                          | J                                               | T                                         | Buy                                             | 12/15/16                | J                               |                                |                                                                   |
| 111.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 112. TIAA-CREF Retirement (Traditional)                                                                                     | C                                       | Int/Div.                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 113.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 114.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 115.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 116.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 117.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 118.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 119.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |

|                                                  |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|--------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
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| 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

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Name of Person Reporting

Dowdell, John E.

Date of Report

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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.)

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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) |

|      |  |  |  |  |  |  |  |  |  |
|------|--|--|--|--|--|--|--|--|--|
| 120. |  |  |  |  |  |  |  |  |  |
| 121. |  |  |  |  |  |  |  |  |  |
| 122. |  |  |  |  |  |  |  |  |  |
| 123. |  |  |  |  |  |  |  |  |  |
| 124. |  |  |  |  |  |  |  |  |  |
| 125. |  |  |  |  |  |  |  |  |  |
| 126. |  |  |  |  |  |  |  |  |  |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
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| Name of Person Reporting | Date of Report |
|--------------------------|----------------|
| Dowdell, John E.         | 06/19/2017     |

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

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Name of Person Reporting

Dowdell, John E.

Date of Report

06/19/2017

## 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/ **John E. Dowdell**

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