

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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

1. Person Reporting (last name, first, middle initial) Maughmer, John T.	2. Court or Organization U.S.D.C., W.D. MO	3. Date of Report 4/28/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge - Full Time	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2016 to 12/31/2016
5b. ☐ Amended Report		
7. Chambers or Office Address Charles Evans Whittaker U.S. Courthouse 400 E. 9th St., Room 7662 Kansas City, MO 64106		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions)

☐ NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Power of attorney #3	POA 3
2. Managing Member - Self	
3.	
4.	
5.	

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

☐ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1. 10/1/12	
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 12

Name of Person Reporting

Maughmer, John T.

Date of Report

4/28/2017

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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1.	
2.	
3.	
4.	

IV. REIMBURSEMENTS -- *transportation, lodging, food, entertainment.*

(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)

☒ NONE *(No reportable reimbursements.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.				
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting	Date of Report
Maughmer, John T.	4/28/2017

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 4 of 12

Name of Person Reporting

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Date of Report

4/28/2017

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 Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. AT&T, Inc.	A	Dividend	J	T					
2. MS Liquid Asset Fund	A	Dividend	M	T					
3. Farm House purchased 01/95 for \$76,000 in [REDACTED]	B	Rent	M	R					
4. Vodaphone Group PLC Sponsor ADR	A	Dividend	J	T					
5. Verizon Communications	A	Dividend	J	T					
6. Northwestern Mutual Life Insurance Co. (whole life)	A	Dividend	J	T					
7. Eaton Vance Income Fund	A	Dividend	J	T	Sold (part)	01/27/16	J	A	
8.					Buy (add'l)	04/27/16	J		
9.					Sold (part)	07/20/16	J	A	
10.					Buy (add'l)	08/17/16	J		
11. Ivy Mid Cap Growth Fund	A	Dividend			Sold	01/27/16	J	A	
12. JP Morgan Dynamic Small Cap Growth Fund	A	Dividend			Sold	01/27/16	J	A	
13. Mainstay Large Cap Growth Fund	A	Dividend			Sold	01/27/16	J	A	
14. Managers AMG Systematic Mid Cap Value Fund	A	Dividend			Sold	01/27/16	J	A	
15. Metropolitan West Total Return Bond Fund	A	Dividend	J	T	Buy (add'l)	01/27/16	J		
16.					Buy (add'l)	04/27/16	J		
17.					Buy (add'l)	07/20/16	J		

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

FINANCIAL DISCLOSURE REPORT

Page 5 of 12

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18.					Buy (add'l)	08/17/16	J		
19. Virtus Emerging Markets Opportunities Fund	A	Dividend			Sold (part)	01/27/16	J	A	
20.					Sold	03/30/16	J	A	
21. AQR Managed Futures Strategy I	A	Dividend	J	T	Sold (part)	01/27/16	J	A	
22.					Buy (add'l)	04/27/16	J		
23.					Sold (part)	07/20/16	J	A	
24.					Buy (add'l)	08/17/16	J		
25. Pimco Foreign Bond US Hedged P	A	Dividend			Sold	07/20/16	J	A	
26. Causeway International Value Fund	A	Dividend			Sold	01/27/16	K	A	
27. Delaware Investment Small Cap Value Fund	A	Dividend			Sold	01/27/16	J	A	
28. [REDACTED]	B	Rent	M	U					
29. Romancing the Gowns, LLC		None			Closed	06/30/16	J		
30. Blackrock Low Duration Bond Investment	A	Dividend	J	T	Sold (part)	01/27/16	J	A	
31.					Sold (part)	04/27/16	J	A	
32.					Buy (add'l)	07/20/16	J		
33.					Buy (add'l)	08/17/16	J		
34. John Hancock Disciplined Value	A	Dividend			Sold	01/27/16	K	A	

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2 Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 6 of 12

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35. Center Coast MLP Focus I	A	Dividend	J	T	Buy (add'l)	01/27/16	J		
36.					Buy (add'l)	02/18/16	J		
37.					Sold (part)	04/27/16	J	A	
38.					Sold (part)	07/20/16	J	A	
39.					Buy (add'l)	08/17/16	J		
40. Blackrock Inflat Prot Bond 1	A	Dividend	J	T	Buy (add'l)	01/27/16	J		
41.					Buy (add'l)	04/27/16	J		
42.					Sold (part)	07/20/16	J	A	
43.					Sold (part)	08/17/16	J	A	
44. Blackstone Alt Mult-Strat Inst	A	Dividend	J	T	Sold (part)	01/27/16	J	A	
45.					Buy (add'l)	04/27/16	J		
46.					Sold (part)	07/20/16	J	A	
47.					Sold (part)	08/17/16	J	A	
48. John Hancock Seaport I (X)	A	Dividend	J	T	Sold (part)	01/27/16	J	A	
49.					Buy (add'l)	04/27/16	J		
50.					Buy (add'l)	07/20/16	J		
51.					Buy (add'l)	08/17/16	J		

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FINANCIAL DISCLOSURE REPORT

Page 7 of 12

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52. Nuveen Gresham Div Comm Strt 1	A	Dividend			Sold	01/27/16	J	A	
53. Riverpark/Wedgewood Inst	A	Dividend	J	T	Sold (part)	01/27/16	J	A	
54.					Sold (part)	04/27/16	J	A	
55.					Buy (add'l)	07/20/16	J		
56.					Sold (part)	08/17/16	J		
57. Cambiar Intl Equity Inv	A	Dividend	J	T	Buy	01/27/16	J		
58.					Buy (add'l)	04/27/16	J		
59.					Sold (part)	07/20/16	J	A	
60.					Sold (part)	08/17/16	J	A	
61. Causeway Emerging Mkts Inst	A	Dividend	J	T	Buy	01/27/16	J		
62.					Buy (add'l)	03/30/16	J		
63.					Sold (part)	04/22/16	J	A	
64.					Buy (add'l)	07/20/16	J		
65.					Sold (part)	08/17/16	J	A	
66. Delaware Value Instl	A	Dividend	J	T	Buy	01/17/16	J		
67.					Sold (part)	04/27/16	J	A	
68.					Sold (part)	07/20/16	J	A	

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FINANCIAL DISCLOSURE REPORT

Page 8 of 12

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Date of Report

4/28/2017

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69.					Buy (add'l)	08/17/16	J		
70. Edgewood Growth Instl	A	Dividend	J	T	Buy	01/27/16	J		
71.					Buy (add'l)	02/18/16	J		
72.					Sold (part)	04/27/16	J	A	
73.					Sold (part)	07/20/16	J	A	
74.					Sold (part)	08/17/16	J	A	
75. Harding Loevner Intl Eqty Inst	A	Dividend	J	T	Buy	01/27/16	J		
76.					Sold (part)	04/27/16	J	A	
77.					Sold (part)	07/20/16	J	A	
78.					Sold (part)	08/17/16	J	A	
79. Hartford Midcap I	A	Dividend	J	T	Buy	01/27/16	J		
80.					Sold (part)	04/27/16	J	A	
81.					Buy (add'l)	07/20/16	J		
82.					Buy (add'l)	08/17/16	J		
83. Lazard Intl Strat EQ Ptf Inst	A	Dividend	J	T	Buy	01/27/16	J		
84.					Sold (part)	04/27/16	J	A	
85.					Sold (part)	07/20/16	J	A	

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FINANCIAL DISCLOSURE REPORT

Page 9 of 12

Name of Person Reporting

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86.					Sold (part)	08/17/16	J	A	
87. Lyrical US Value Equity Instrl	A	Dividend	J	T	Buy	01/27/16	J		
88.					Buy (add'l)	02/18/16	J		
89.					Sold (part)	04/27/16	J	A	
90.					Sold (part)	07/20/16	J	A	
91.					Buy (add'l)	08/17/16	J		
92. Matthews Asian Japan Inv	A	Dividend	J	T	Buy	01/27/16	J		
93.					Sold (part)	04/27/16	J	A	
94.					Sold (part)	07/20/16	J	A	
95.					Buy (add'l)	08/17/16	J		
96. Neuberger Intrinsic Value Inst	A	Dividend	J	T	Buy	01/27/16	J		
97.					Sold (part)	04/27/16	J	A	
98.					Buy (add'l)	07/20/16	J		
99.					Buy (add'l)	08/17/16	J		
100. Pimco Short Term P	A	Dividend	J	T	Buy	01/27/16	J		
101.					Buy (add'l)	04/27/16	J		
102.					Buy (add'l)	07/20/16	J		

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103.					Buy (add'l)	08/17/16	J		
104. Touchstone Small Cap Growth Y	A	Dividend	J	T	Buy	01/27/16	J		
105.					Buy (add'l)	04/27/16	J		
106.					Buy (add'l)	07/20/16	J		
107.					Buy (add'l)	08/17/16	J		
108. Wells Fargo Special MDCP I	A	Dividend	J	T	Buy	01/27/16	J		
109.					Sold (part)	04/27/16	J	A	
110.					Sold (part)	07/20/16	J	A	
111.					Sold (part)	08/17/16	J	A	

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FINANCIAL DISCLOSURE REPORT

Page 11 of 12

Name of Person Reporting

Maughmer, John T.

Date of Report

4/28/2017

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

FINANCIAL DISCLOSURE REPORT

Page 12 of 12

Name of Person Reporting

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Date of Report

4/28/2017

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 T. Maughmer**

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
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