

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) Bough, Stephen R.	2. Court or Organization U.S. District Court - Western District of Missouri	3. Date of Report 11/03/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Article III Judge, Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Initial ☒ Annual ☒ Amended Report ☐ Date ☐ Final	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address U.S. Courthouse 400 E. 9th Street, Suite 7462 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. Vice President	Federal Bar Association - Western District of Missouri and District of Kansas
2. Board member	UMKC Law Foundation
3. Board member	Lawyers Encouraging Academic Performance
4. Advisory Board	Second Chance
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. 2014	Blake Heath purchased the assets of The Law Offices of Stephen R. Bough with a written agreement for 25% of the contingent fee at the end of the litigation
2.	
3.	

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***A. Filer's Non-Investment Income**☐ NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2016	Blake Heath Trial Attorney LLC, pursuant to the written agreement referenced in Part II. The agreement is a fixed percentage of the contingent fee.	\$21,498.00
2.		
3.		
4.		

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*☐ NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2016	Lewis Rice, salary
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. Attorney Information Exchange Group	August 4 - 5, 2016	Chicago, IL	Teach CLE	Transportation, Hotel
2. University of Georgia School of Law	October 14, 2016	Athens, GA	Judge Mock Trial	Transportation
3.				
4.				
5.				

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*

NONE (No reportable gifts.)

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*

NONE (No reportable liabilities.)

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.	Pembroke Hill	Tuition Agreement	K
2.	Dept. of Educaiton - Direct Loan MOHELA	Student Loan	M
3.			
4.			
5.			

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VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. 529 Plan - (H)									
2. - Invest Portf Balanced PTF A	A	Dividend	K	T					
3. - Ivy Fund Asset Strategy E		None			Sold	04/26/16	J		
4. - Ivy Fund Real Estate Securities E	A	Dividend			Sold	10/13/16	J		
5. - Ivy Science & Tech E		None			Sold	10/13/16	K		
6. - Ivy Limited-Term Bond E	A	Dividend	K	T	Buy	10/13/16	K		
7. - Ivy Large Cap Growth E		None			Buy	04/26/16	J		
8. - Ivy Large Cap Growth E		None			Sold	10/13/16	J		
9. - Ivy Intern Core Equity E		None			Buy	04/26/16	J		
10. - Ivy Intern Core Equity		None			Sold	10/13/16	J		
11. Roth IRA - (H)									
12. - Ivy Asset Strategy A		None			Sold	02/05/16	L		
13. - Ivy Euro Opp A		None			Buy	02/05/16	K		
14. - Ivy Fund - Cundill Global Value A		None			Sold	02/05/16	J		
15. - Ivy Fund - Dividend Opp A	A	Dividend			Sold	10/11/16	L		
16. - Ivy Fund - High Income A	C	Dividend	K	T					
17. - Ivy Fund - Small Cap Value Fund A	A	Dividend	J	T					

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

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

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

18. - Ivy Global Income Alloc A	A	Dividend	K	T					
19. - Ivy Global Real Estate A	A	Dividend	K	T					
20. - Ivy Managed Inter Opp A	A	Dividend	K	T					
21. - Ivy Mid Cap Growth A	A	Dividend			Sold	02/05/16	J		
22. - W & R Adv Core Invest A		None			Sold	10/11/16	K		
23. - W & R Adv Sci & Tech A		None			Sold	10/11/16	K		
24. - Ivy Mid Cap Income Opp A	A	Dividend			Buy	02/05/16	J		
25. - Ivy Large Cap Growth A		None			Buy	02/05/16	K		
26. - Ivy Euro Opp A		None			Sold	10/11/16	K		
27. - Ivy Large Cap Growth A		None			Sold	10/11/16	K		
28. - Ivy Limited-Term Bond A	A	Dividend			Buy	10/11/16	M		
29. Simple 401K - (H)									
30. - Ivy Fund Dividend Opp A	A	Dividend	K	T					
31. - Ivy Fund High Income A	B	Dividend	K	T					
32. - Ivy Global Income Alloc A	A	Dividend	K	T					
33. - Ivy Global Nat Resource A		None			Sold	02/05/16	J		
34. - W & R Adv Core Invest A	A	Dividend	J	T					

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

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35. - Ivy Euro Opp A	A	Dividend	J	T	Buy	02/05/16	J		
36. [REDACTED] - [REDACTED] (H)									
37. - Ivy Fund Real Estate Sec A	A	Dividend			Sold	10/11/16	L		
38. - Ivy Fund Small Cap Value A	B	Dividend	K	T					
39. - Ivy Global Income Alloc A	A	Dividend			Sold	03/23/16	K		
40. - Ivy Managed Intern Opp A	A	Dividend			Sold (part)	03/23/16	K		
41. - W & R Adv Asset Strat A		None			Sold	02/05/16	K		
42. - W & R Adv Core Invest A	B	Dividend	K	T					
43. - W & R Adv Global Bond A	A	Dividend			Sold	03/23/16	J		
44. - W & R Advisors Divident Opp A	A	Dividend			Sold (part)	05/09/16	J		
45. - W & R Advisors Sci & Tech		None			Sold (part)	05/09/16	K		
46. - W & R Advisors Sci & Tech		None			Sold (part)	07/11/16	K		
47. - W & R Advisors Sci & Tech		None			Sold	10/11/16	J		
48. - W & R Advisors Divident Opp A	A	Dividend			Sold	10/11/16	J		
49. - Ivy Tax-Managed Equity A		None	J	T	Buy	02/05/16	J		
50. - Ivy Apollo Multi-Asset Income A	A	Dividend			Buy	02/05/16	J		
51. - Ivy Limited-Term Bond A	A	Dividend			Buy	10/11/16	L		

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	
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52. 529 Plan - (H)									
53. - Invest Portf Balanced PTF A		None			Sold	10/13/16	K		
54. - Ivy Fund Asset Strategy E		None			Sold	04/26/16	K		
55. - Ivy Fund Intern Balanced E		None			Sold	04/26/16	J		
56. - Ivy Mid Cap Growth E		None			Sold	10/13/16	J		
57. - Ivy Large Cap Growth E		None			Buy	04/26/16	J		
58. - Ivy Large Cap Growth E		None			Sold	10/13/16	J		
59. - Ivy International Core Equity E		None			Buy	04/26/16	J		
60. - Ivy International Core Equity E		None			Sold	10/13/16	J		
61. - Ivy Limited-Term Bond E	A	Dividend			Buy	10/13/16	L		
62. Exclusive K - (H)									
63. - Ivy Fund Dividend Opp A	A	Dividend			Sold	10/11/16	K		
64. - Ivy Fund Small Cap Value A	A	Dividend	K	T					
65. - W & R Adv Core Invest A		None			Sold	10/11/16	K		
66. - W & R Advisors New Concepts A		None			Sold	10/11/16	K		
67. - Ivy Euro Opp A	A	Dividend	K	T	Buy	01/08/16	K		
68. - Ivy Apollo Multi-Asset Income A	A	Dividend	K	T	Buy	01/08/16	K		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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69. - Ivy Limited-Term A	A	Dividend	L	T	Buy	10/11/16	L		
70. Roth IRA - (H)									
71. - W & R Adv Continental Inc A	A	Dividend	J	T					
72. - W & R Adv High Income A	A	Dividend	J	T					
73. - W & R Advisors New Concepts A	A	Dividend	J	T					
74. - W & R Advisors Science & Tech A		None	J	T					
75. - W & R Advisors Small Cap A	A	Dividend	J	T					
76. UTMA - (H)									
77. - Ivy Euro Opp A		None	J	T	Buy	02/05/16	J		
78. - Ivy Small Cap Value A		None			Sold	10/11/16	J		
79. - Ivy Global Nat Resource A		None			Sold	02/05/16	J		
80. - Ivy Euro Opp A		None			Sold	10/11/16	J		
81. - Ivy Limited-Term Bond A	A	Dividend			Buy	10/11/16	J		
82. Individual TOD - (H)									
83. - W & R Adv Core Invest A		None			Sold	01/07/16	K		
84. - Ivy Real Estate Sec A		None			Sold	01/07/16	J		
85. - W & R Adv Science & Tech A		None			Sold (part)	01/07/16	J		

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86. - W & R Adv Science & Tech A		None			Sold	10/11/16	J		
87. - Ivy Global Income Alloc A		None			Sold	01/07/16	J		
88. - W & R High Income A	A	Dividend			Sold	01/07/16	K		
89. - Ivy Limited-Term Bond A	A	Dividend			Buy	10/11/16	J		
90. Rental House - Gregory-Kansas City MO	D	Rent			Sold	09/16/16	M		
91. Missouri Bank & Trust	A	Int./Div.	K	T					
92. Vanguard Prime Money Mkt Fund		None			Sold	01/08/16	J		
93. American Funds AMCAP Fund		None			Sold	01/08/16	J		
94. American Funds Capital World Bond		None			Sold	01/08/16	J		
95. American Funds Euro Pacific Growth		None			Sold	01/08/16	J		
96. American Funds New Perspective		None			Sold	01/08/16	J		
97. Lewis Rice Profit Sharing BOK Financial TRP Retire 2035	A	Dividend	K	T					
98. Lewis Rice 401K BOK Financial TRP Retire 2035	A	Dividend	J	T					
99. American Funds Fundamental Investors		None			Sold	01/08/16	J		

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

I inadvertently failed to list the sale of two assets in 2015.

68. Rental House - Rymeg - Belton MO, sold on July 1, 2015 for Value Code M

69. Rental House - Holmes - Kansas City MO, sold on Sept. 11, 2015 for Value Code M

In Part VII, line 90 of my original report I listed the sell of my "Rental House -Rymeg-Belton MO" on 09/16/16. In thethis Amended report I have fixed the error. I sold the "Rental House-Gregory - Kansas City MO" on 09/16/16. I apologize for the error.

Please accept my apology.

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IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: s/ Stephen R. Bough

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