

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) Wang, Nina Y.	2. Court or Organization United States District Court for the District of Colorado	3. Date of Report 10/11/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States Magistrate Judge -Full-time	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address Byron G. Rogers United States Courthouse 1929 Stout Street, C0254 Denver, Colorado 80294		
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.	Executive Committee Member	Colorado Our Courts
2.	Steering Committee Member	National Task Force for the United States Patent and Trademark Office Pro Bono Initiative
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.	2010	Faegre Baker Daniels, Partner Capitalization Agreement
2.	2010	Faegre Baker Daniels Benefit Plan (Continuing Participation in Retirement Plan perviously vested)
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.)*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

Self-employed, Energy Consultant

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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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.	The Colorado IP American Inn of Court	Honorary Membership	\$425.00
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.	Nationstar Mortgage	Mortgage on Rental Prop. #1, Denver, Colorado	L
2.	FirstBank	Spouse Small Business 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. Rental Property #1, Denver, Colorado (2000 - \$160,000)	E	Rent	M	V					
2. Ballard Power System Common Stock		None			Sold	10/21/16	J	A	
3. Capstone Turbine Corp Common Stock		None			Sold	10/21/16	J	A	
4. Citigroup Inc Common Stock	A	Dividend			Sold	10/21/16	J	A	
5. Consolidated Edison Common Stock	A	Dividend			Sold	10/21/16	J	A	
6. El Du Pont De Nemours & Company Common Stock	A	Dividend			Sold	10/21/16	J	A	
7. Ford Motor Company Common Stock	A	Dividend			Sold	10/21/16	J	A	
8. Garmin Common Stock	A	Dividend			Sold	10/21/16	J	A	
9. Nordstrom Inc Common Stock	A	Dividend			Sold	10/21/16	J	A	
10. Sirius XM Holdings Inc Common Stock		None			Sold	10/21/16	J	A	
11. Sprint Corporation Common Stock		None			Sold	10/21/16	J	A	
12. Wave Systems Corp Common Stock		None			Sold	10/21/16	J	A	
13. Columbia Value and Restructuring Z Mutual Fund		None	K	T					
14. RS Small Cap Growth A		None	K	T					
15. Schwab Small Cap Index		None	K	T					
16. Janus Overseas T		None	J	T					
17. AMG FQ Global Risk-Balanced Institutional		None	K	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 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	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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18. ETrade Roth IRA - Cash	A	Interest	J	T					
19. ETrade Roth IRA - Cash	A	Interest	J	T					
20. Sentinel Ssmidcap A	A	Dividend	K	T					
21. American Century Select	A	Dividend	J	T					
22. American Century Ultra	A	Dividend	J	T					
23. American Century Value	A	Dividend	K	T					
24. American Century Heritage	A	Dividend	J	T					
25. American Century Equity Growth	A	Dividend	J	T					
26. FirstBank Denver Accounts	A	Interest	K	T					
27. Edge Asset Management Fund - Equity Income R5 Fund	C	Int./Div.	L	T					
28. T Rowe Price Large Cap Growth I R5 Fund		None	L	T					
29. MFS Investment Managemetn MFS Utilities R3 Fund	B	Int./Div.	K	T					
30. College Invest - Moderate Age Based Growth Portfolio		None	J	T					
31. College Invest - Aggressive Growth		None	K	T					
32. College Invest - Stock Index		None	K	T					
33. College Invest - Growth Portfolio		None	K	T					
34. College Invest - Aggressive		None	J	T					

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35. College Invest - Stock Index		None	J	T					
36. College Invest - Growth Portfolio		None	J	T					
37. T Rowe Price Growth Stock Mutual Fund	E	Int./Div.	N	T					
38. Baron Small Cap Institutional	E	Int./Div.	M	T					
39. AllianzGI NFJ Small Cap Value Institutional	E	None	M	T					
40. American Funds EuroPacific	E	None	M	T					
41. Faegre Baker Daniels Pension Plan	A	Int./Div.	M	T					
42. Learning Quest - Aggressive Track Portfolio		None	L	T					
43. Learning Quest - Aggressive Track Portfolio		None	K	T					
44. Nexant Custom Target 2035 Portfolio (inadvertently not included)	C	Int./Div.	M	T					
45.									
46.									

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

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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/ Nina Y. Wang**

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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Washington, D.C. 20544