

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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) Juneau, Michael J.	2. Court or Organization Western District of Louisiana, District Court	3. Date of Report 02/07/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Active District Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2018 to 12/31/2018
7. Chambers or Office Address 800 Lafayette Street, Suite 4200 Lafayette, LA 70501		
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.	Co-Trustee	Family Member Trust #1
2.	Co-Trustee	Family Member Trust #2
3.	Co-Trustee	Family Member Trust #3
4.	Co-Trustee	Family Member Trust #4
5.	Co-Trustee	Family Member Trust #5

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

☒ NONE (No reportable agreements.)

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

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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.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 10/15/18	Juneau David, APLC - partial year wages & share of law firm income	\$1,430,348.00
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.)*

DATE	SOURCE AND TYPE
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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.				
2. U.S. Courts	11/20/18	Shreveport, LA	Judges Meeting - Western District	Travel
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.)

	SOURCE	DESCRIPTION	VALUE
1.	Juneau David, APLC	Cost of investiture & reception	\$26,545.00
2.	Lafayette Federal Bar Association	Cost of investiture & reception	\$1,000.00
3.	Juneau David, APLC	Judicial robe & gavel	\$450.00
4.			
5.			

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

☒ NONE (No reportable liabilities.)

	CREDITOR	DESCRIPTION	VALUE CODE
1.			
2.			
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. Thornburg Ltd Muni Bond Fund (LTMIX) X	A	Dividend			Buy	02/22/18	K		
2.					Buy (add'l)	09/17/18	J		
3.					Buy (add'l)	09/19/18	J		
4.					Redeemed	12/28/18	N	A	
5. Arbitrage Fund (ARBNX) X	A	Dividend			Buy (add'l)	10/22/18	J		
6.					Redeemed	09/17/18	L	A	
7. Oakmark Equity & Income Fund (OAYBX) X	B	Dividend			Buy	02/22/18	J		
8.					Buy (add'l)	09/17/18	J		
9.					Buy (add'l)	09/19/18	J		
10.					Redeemed (part)	12/06/18	N	A	
11. Iva Worldwide Fund (IVWIX) X	A	Dividend			Buy (add'l)	02/22/18	J		
12.					Buy (add'l)	09/17/18	J		
13.					Buy (add'l)	09/19/18	J		
14.					Redeemed	12/06/18	M	A	
15. JP Morgan Income Builder Fund (JNBSX) X	D	Dividend			Buy (add'l)	02/22/18	J		
16.					Redeemed (part)	09/17/18	M	D	
17.					Buy (add'l)	09/19/18	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 = \$250,001 - \$500,000	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	
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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	(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.					Redeemed	12/28/18	M	A	
19. T Rowe Price Tax Free Hi Yield Fund (PRHFX) X	B	Dividend			Buy	02/23/18	K		
20.					Redeemed (part)	09/17/18	L	C	
21.					Redeemed	09/19/18	J	A	
22. Cohen & Steers Realty Fund (CSRSX)	B	Dividend	K	T	Buy (add'l)	02/22/18	J		
23.					Buy (add'l)	04/23/18	J		
24.					Buy (add'l)	04/23/18	J		
25.					Buy (add'l)	04/23/18	J		
26.					Buy (add'l)	04/23/18	J		
27.					Buy (add'l)	04/25/18	J		
28.					Buy (add'l)	04/25/18	J		
29.					Redeemed (part)	09/17/18	J	A	
30.					Redeemed (part)	09/19/18	J	A	
31.					Redeemed (part)	12/28/18	L	A	
32. Baird Intermed Muni Bond Fund (BMBIX) X	A	Dividend			Buy (add'l)	02/22/18	K		
33.					Redeemed	09/17/18	N	A	
34. First Eagle Global Fund (SGIIX)	D	Dividend	O	T	Buy (add'l)	02/22/18	K		

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	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
3 Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

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35.					Redeemed (part)	04/23/18	J	A	
36.					Redeemed (part)	04/23/18	J	A	
37.					Redeemed (part)	04/23/18	J	A	
38.					Redeemed (part)	04/23/18	J	A	
39.					Buy (add'l)	04/24/18	J		
40.					Buy (add'l)	04/25/18	J		
41.					Buy (add'l)	04/25/18	J		
42.					Buy (add'l)	04/25/18	J		
43.					Buy (add'l)	09/17/18	J		
44.					Buy (add'l)	09/19/18	J		
45. ishares Core Moderate Alloc Fund (AOM)	B	Dividend	N	T	Buy	12/06/18	N		
46. ishares Core Growth Fund (AOR)	B	Dividend	N	T	Buy	12/06/18	N		
47. ishares Emerging Mkts Fund (EEM)	B	Dividend	M	T	Buy	12/06/18	M		
48. ishares Russell Mid Cap Fund (IWP)	A	Dividend	M	T	Buy	12/06/18	M		
49. Nuveen Muni Bond Fund (FLTRX)	A	Dividend	N	T	Buy (add'l)	02/22/18	K		
50.					Buy (add'l)	09/17/18	J		
51.					Buy (add'l)	09/19/18	J		

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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	
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52. Nuveen Hi Yield Muni Bond Fund (NVHIX)	A	Dividend	N	T	Buy (add'l)	09/18/18	N		
53.					Buy (add'l)	09/19/18	J		
54. Oppenheimer Dvlping Mkts Fund (ODVYX)	B	Dividend	L	T	Redeemed (part)	04/23/18	J	A	
55.					Redeemed (part)	04/23/18	J	A	
56.					Redeemed (part)	04/23/18	J	A	
57.					Redeemed (part)	04/23/18	J	A	
58.					Buy (add'l)	04/25/18	J		
59.					Buy (add'l)	04/25/18	J		
60.					Buy (add'l)	04/25/18	J		
61.					Buy (add'l)	09/17/18	M		
62.					Buy (add'l)	09/19/18	J		
63.					Redeemed (part)	12/06/18	M	A	
64. T Rowe Price Summit Fund (PRSMX)	A	Dividend	N	T	Buy	02/23/18	K		
65.					Redeemed (part)	09/17/18	J	A	
66.					Buy (add'l)	09/19/18	J		
67. Eaton Vance Atlanta Small Cap Fund (EISMX)	D	Dividend	M	T	Buy	04/23/18	K		
68.					Buy (add'l)	04/23/18	L		

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69.					Buy (add'l)	04/23/18	M		
70.					Buy (add'l)	04/23/18	J		
71.					Buy (add'l)	04/24/18	J		
72.					Buy (add'l)	04/24/18	J		
73.					Buy (add'l)	04/24/18	J		
74.					Buy (add'l)	04/24/18	J		
75.					Buy (add'l)	04/25/18	J		
76.					Buy (add'l)	04/25/18	J		
77.					Buy (add'l)	04/25/18	J		
78.					Buy (add'l)	09/17/18	M		
79.					Buy (add'l)	09/19/18	J		
80.					Redeemed (part)	12/06/18	M	A	
81. AMG Yacktman Fund (YACKX)	B	Dividend	M	T	Redeemed (part)	02/01/18	J	A	
82.					Redeemed (part)	04/23/18	J	A	
83.					Redeemed (part)	04/23/18	J	A	
84.					Buy (add'l)	04/23/18	K		
85.					Buy (add'l)	04/23/18	J		

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

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86.					Buy (add'l)	04/25/18	J		
87.					Buy (add'l)	04/25/18	J		
88.					Buy (add'l)	04/25/18	J		
89. American Global Balanced Fund (GBLFX)	B	Dividend	M	T	Buy (add'l)	04/23/18	J		
90.					Buy (add'l)	04/23/18	J		
91.					Buy (add'l)	04/23/18	J		
92.					Buy (add'l)	04/23/18	J		
93.					Buy (add'l)	04/24/18	J		
94.					Buy (add'l)	04/24/18	J		
95.					Buy (add'l)	04/24/18	J		
96.					Buy (add'l)	04/24/18	J		
97.					Buy (add'l)	04/25/18	J		
98.					Buy (add'l)	04/25/18	J		
99.					Buy (add'l)	04/25/18	J		
100. Eaton Vance Global Macro Fund (EIGMX) X					Buy (add'l)	02/22/18	J		
101.					Redeemed	09/17/18	L	A	
102. T Rowe Price Cap Appr Fund (PRWCX)	A	Dividend	M	T	Redeemed (part)	04/23/18	J	A	

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
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103.					Redeemed (part)	04/23/18	J	A	
104.					Redeemed (part)	04/23/18	J	A	
105.					Redeemed (part)	04/23/18	J	A	
106.					Buy (add'l)	04/25/18	J		
107.					Buy (add'l)	04/25/18	J		
108.					Buy (add'l)	04/25/18	J		
109. Tweedy Browne Global Value Fund (TBGVX)	A	Dividend	L	T	Buy	04/23/18	J		
110.					Buy (add'l)	04/23/18	J		
111.					Buy (add'l)	04/23/18	K		
112.					Buy (add'l)	04/23/18	K		
113.					Buy (add'l)	04/25/18	J		
114.					Buy (add'l)	04/25/18	J		
115. Wells Fargo Growth Fund (SGRNX)	A	Dividend	L	T	Redeemed (part)	04/23/18	J	A	
116.					Redeemed (part)	04/23/18	J	A	
117.					Redeemed (part)	04/23/18	J	A	
118.					Redeemed (part)	04/23/18	J	A	
119.					Buy (add'l)	04/24/18	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 \$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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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)
120.					Buy (add'l)	04/24/18	J		
121.					Buy (add'l)	04/25/18	J		
122.					Buy (add'l)	04/25/18	J		
123.					Buy (add'l)	04/25/18	J		
124. Spdr Nuveen Short Term Muni Bond Fund (SHM)	C	Dividend	N	T	Buy	12/28/18	N		
125. Vanguard Index Real Estate Fund (VNQ)	A	Dividend	L	T	Buy	12/28/18	L		
126. T Rowe Price Tax Free Fund (PRFHX)	C	Dividend	M	T					
127. American Money Mkt Fund (AAFXX)	A	Dividend	K	T					
128. American Intermed Bond Fund (CBOAX)	A	Dividend	L	T					
129. American Hi Income Fund (CITAX)	A	Dividend	J	T					
130. Bond Fund of America (CFAXX)	A	Dividend	J	T					
131. American Capital Income Builder Fund (CIRAX)	A	Dividend	J	T					
132. American World Bond Fund (CCWAX)	A	Dividend	J	T					
133. Income Fund of America (CIMAX)	A	Dividend	J	T					
134. Washington Mutual Investors Fund (CWMAX)	A	Dividend	J	T					
135. Chase Bank cash accounts	C	Interest	O	T					
136. Capital One Bank cash accounts	A	Interest	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 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	

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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)
137. Wells Fargo Advisors cash account	B	Interest	J	T					
138. Oakmark Select Fund (OAKLX)	E	Dividend	O	T					
139. Dodge & Cox Balanced Fund (DODBX)	E	Dividend	O	T					
140. Dodge & Cox Income Fund (DODIX)	D	Dividend	O	T					
141. Vanguard Tax-Exempt Intermed Bond Fund (VWIUX)	E	Dividend	P1	T	Redeemed (part)	05/01/18	J	A	
142.					Buy (add'l)	06/08/18	K		
143.					Redeemed (part)	08/23/18	M	A	
144.					Redeemed (part)	08/30/18	K	A	
145.					Buy (add'l)	09/10/18	K		
146.					Buy (add'l)	09/18/18	L		
147.					Redeemed (part)	09/26/18	K	A	
148.					Buy (add'l)	11/19/18	M		
149.					Buy (add'l)	12/31/18	J		
150. Vanguard 2025 Target Income Fund (VTTVX)	D	Dividend	N	T	Buy (add'l)	01/12/18	J		
151.					Buy (add'l)	02/07/18	J		
152.					Buy (add'l)	02/12/18	J		
153.					Buy (add'l)	02/15/18	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	

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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)
154.					Buy (add'l)	02/28/18	J		
155.					Buy (add'l)	03/15/18	J		
156.					Buy (add'l)	04/05/18	J		
157.					Buy (add'l)	04/17/18	J		
158.					Buy (add'l)	05/09/18	J		
159.					Buy (add'l)	05/16/18	J		
160.					Buy (add'l)	05/31/18	J		
161.					Buy (add'l)	06/15/18	J		
162.					Buy (add'l)	07/02/18	J		
163.					Buy (add'l)	07/17/18	J		
164.					Buy (add'l)	07/31/18	J		
165.					Buy (add'l)	08/15/18	J		
166.					Buy (add'l)	09/06/18	J		
167.					Buy (add'l)	09/14/18	J		
168.					Buy (add'l)	09/28/18	J		
169.					Buy (add'l)	10/15/18	J		
170. Gabelli Asset Fund (GABAX)	D	Dividend	M	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	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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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)
171. Vanguard Small Cap Index Fund (NAESX)	B	Dividend	L	T					
172. Broadway \Opportunity Fund (BVAOX) X	D	Dividend	M	T	Redeemed (part)	04/23/18	J	C	
173.					Redeemed (part)	04/23/18	J	C	
174.					Redeemed (part)	04/23/18	K	C	
175.					Redeemed (part)	04/23/18	K	C	
176. Gabelli Small Cap Growth Fund (GACIX) X	C	Dividend	L	T	Redeemed (part)	04/23/18	J	A	
177.					Redeemed (part)	04/23/18	J	A	
178.					Redeemed (part)	04/23/18	K	B	
179.					Redeemed (part)	04/23/18	K	B	
180. Hartford Mid Cap Fund (HFMIX) X	C	Dividend	L	T	Redeemed (part)	04/23/18	J	A	
181.					Redeemed (part)	04/23/18	K	B	
182.					Redeemed (part)	04/23/18	J	A	
183.					Redeemed (part)	04/23/18	K	B	
184. Hotchkis-Wiley Mid Cap Fund (HWMIX) X	C	Dividend	L	T	Redeemed (part)	04/23/18	K	B	
185.					Redeemed (part)	04/23/18	K	B	
186.					Redeemed (part)	04/23/18	J	A	
187.					Redeemed (part)	04/23/18	J	A	

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	
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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Name of Person Reporting

Juneau, Michael J.

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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)
188. Janus Henderson Balanced Fund (JBLAX)	B	Dividend	M	T	Buy (add'l)	02/22/18	K		
189.					Buy (add'l)	09/18/18	J		
190. Prudential Whole Life Insurance Policies	A	None	M	T					
191. NW Mutual Whole Life Insurance Policy	A	None	K	T					
192. Ameritas Whole Life Insurance Policies	A	None	L	T					

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	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
3 Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

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

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Name of Person Reporting

Juneau, Michael J.

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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/ **Michael J. Juneau**

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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One Columbus Circle, N.E.
Washington, D.C. 20544