

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) Miller, Jr., Charles S.	2. Court or Organization District of North Dakota	3. Date of Report 05/14/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge - recall part time	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 220 East Rosser Ave P.O. Box 670 Bismarck, ND 58502		
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.	Board of Trustees	Missouri Valley YMCA
2.		
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.		
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.)*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. _____

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.)*

SOURCE	DESCRIPTION	VALUE
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.)*

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. Wells Fargo Bank Accounts (H)	A	Interest	L	T					
2.									
3.									
4. Brokerage #1 (H)									
5. --RTK--Common Stock		None	J	T					
6. --Fidelity Brokerage Services LLC Cash Account	A	Interest	J	T					
7.									
8.									
9. Brokerage #2 (H)									
10. --Schwab Money Market Fund	A	Interest	J	T					
11.									
12.									
13. IRA #1 (H)									
14. --Fidelity Contrafund	B	Dividend	L	T					
15. --Fidelity Puritan Fund	D	Dividend	L	T					
16.									
17.									

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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18. IRA #2 (spouse) (H)									
19. --Schwab Cash Account	A	Interest	M	T					
20.									
21. Wells Fargo Rollover IRA - IRA #3 (H)									
22. --Wells Fargo Cash Sweep Account	B	Int./Div.	N	T	Distributed (part)	07/12/18	L		
23. --Vanguard Intermediate Bond ETF (BIV)	A	Dividend	K	T					
24. --Vanguard Small Cap Growth Fd (VBK)	A	Dividend	K	T					
25. --Convertible notes payable by CBIO (Targacept Inc.)		None			Redeemed	02/21/18	J	A	
26. --AAPL	A	Dividend	K	T	Sold (part)	01/16/18	K	D	
27. --ABT	A	Dividend	J	T					
28. --BKS	A	Dividend	J	T					
29. --BNED		None	J	T					
30. --BNS	B	Dividend	K	T					
31. --CAG	A	Dividend	J	T					
32. --CAT		None			Sold	01/16/18	K	E	
33. --CBIO		None	J	T					
34. --CSCO	A	Dividend	J	T					

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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. --EMR	A	Dividend	K	T					
36. --ETN		None			Sold	01/16/18	K	D	
37. --FCX	A	Dividend	J	T					
38. --GE	A	Dividend	J	T					
39. --GIS	A	Dividend			Sold	01/16/18	J	D	
40. --HRL	A	Dividend			Sold	01/16/18	J	C	
41. --IBM	A	Dividend	J	T	Buy	06/05/18	J		
42. --INTC		None			Sold	01/16/18	K	D	
43. --JNJ		None			Sold	01/16/18	K	E	
44. --LEG	A	Dividend	K	T					
45. --LW		None			Sold	01/16/18	J	C	
46. --MCD	A	Dividend	J	T	Sold (part)	01/16/18	K	E	
47. --MMM	A	Dividend			Sold	01/16/18	L	F	
48.					Buy	06/05/18	K		
49.			K	T	Buy (add'l)	10/25/18	J		
50. --NAO	A	Dividend	J	T					
51. --NAT	B	Dividend	J	T	Buy (add'l)	06/05/18	J		

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52. --NSC	A	Dividend	J	T					
53. --PG	B	Dividend	K	T					
54. --RMC	A	Dividend	K	T	Sold (part)	01/16/18	J		
55.					Sold (part)	01/17/18	J		
56. --RY	A	Dividend	J	T					
57. --SJM		None			Sold	01/16/18	K	E	
58. --SORL		None			Sold	01/16/18	J	D	
59. --SYY	A	Dividend			Sold	01/16/18	K	E	
60. --TD	A	Dividend	J	T					
61. --TREX		None	K	T					
62. --TRST	A	Dividend	K	T					
63. --UNP		None			Sold	01/16/18	L	F	
64. --UTX	A	Dividend	J	T					

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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/ Charles S. Miller, Jr.**

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