

FINANCIAL DISCLOSURE REPORT FINAL FILING

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) ROSSMEISL, JOHN A.	2. Court or Organization BANKRUPTCY COURT E.D. WASHINGTON	3. Date of Report 03/14/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. BANKRUPTCY JUDGE-RECALLED	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 U.S. BANKRUPTCY COURT 402 E. YAKIMA AVENUE SUITE 200 YAKIMA, WA 98901		
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 MEMBER	YAKIMA SYMPHONY ORCHESTRA
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 8

Name of Person Reporting

ROSSMEISL, JOHN A.

Date of Report

03/14/2019

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.		
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. BANKRUPTCY BAR ASSOCIATION	06/14/2018-06/15/2018	WINTHROP, WA	SPEAKER AT SEMINAR	ROOM/FOOD/MILEAGE/
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 8

Name of Person Reporting

ROSSMEISSL, JOHN A.

Date of Report

03/14/2019

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 8

Name of Person Reporting

ROSSMEISL, JOHN A.

Date of Report

03/14/2019

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. MORGAN STANLY BANK NA	A	Interest	L	T					
2. EXXON CORP/EXXON MOBIL CORP (XOM)	D	Dividend	M	T					
3. UNITED TECHNOLOGIES (UTX)	B	Dividend	L	T					
4. TEXAS INSTRUMENTS (TXN)	B	Dividend	K	T					
5. NUVEEN INSURED MUNI BOND FUN (FAARX)	C	Interest	L	T					
6. TAX EXEMPT BD FUND OF AMERICA (AFTEX)	D	Interest	M	T					
7. PRIN INV TAX EXEMPT (PTEAX)	A	Interest	J	T					
8. WESTERN ASSET MANAGED MUNI FD CLA (SHMMX)	C	Interest	M	T					
9. GENERAL ELECTRIC CO (GE)	A	Dividend	J	T					
10. INTEL CORPP (INTC)	B	Dividend	L	T					
11. MERCK & CO., INC. (MRK)	B	Dividend	K	T					
12. MICROSOFT CORP (MSFT)	C	Dividend	M	T					
13. AM HI INC MUN BD FD (AMHIX)	C	Interest	M	T					
14. CISCO SYSTEMS INC (CSCO)	B	Dividend	L	T					
15. AMGEN, INC (AMGN)	C	Dividend	L	T					
16. AMERICAN MUTUAL (AMRMX)	B	Interest	L	T					
17. YAKIMA BREWING & MALTING CO.		None	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 \$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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 8

Name of Person Reporting

ROSSMEISL, JOHN A.

Date of Report

03/14/2019

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)

18. DNP SELECT INCOME FUND INC (DNP)	C	Dividend	K	T					
19. DTF TAX FREE INCOME INC (DTF)	A	Dividend	J	T					
20. BANK OF AMERICA (BAC)	B	Dividend	M	T					
21. EXPRESS SCRIPTS HLD CO COM (ESRX)		None	J	T					
22. BOEING CO (BA)	A	Dividend	K	T					
23. CORNING INC (GLW)	A	Dividend	K	T					
24. DOW CHEMICAL (DOW)	A	Dividend	J	T					
25. JOHNSON CTLS (JCI)	A	Dividend	J	T					
26. ADIENT PLC (ADNT)	A	Dividend	J	T					
27. UNIVERSITY WASH UNIV REVS REF-A	C	Interest	K	T					
28. WASHINGTON HEALTH CARE FACS AUTH REV-A	B	Interest	K	T					
29. VANGUARD (Rollover IRA) (** see additional information)	E	Distribution							
30. VANGUARD FEDERAL MONEY MARKET FUND **			K	T					
31. VGSLX **			J	T					
32. VIPSX **			K	T					
33. VSMGX (see line 33 - 36 together) **			N	T					
34. **					Buy	02/08/18	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 \$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 8

Name of Person Reporting

ROSSMEISL, JOHN A.

Date of Report

03/14/2019

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)

35. **					Buy	02/09/18	K		
36. **					Buy	09/28/18	L		
37. VTAPX **			K	T					
38. DBLTX **			J	T					
39. RPMGX **			K	T					
40. TRMCX **			J	T					
41. EMB**			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	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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 8

Name of Person Reporting

ROSSMEISL, JOHN A.

Date of Report

03/14/2019

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

#29 This is income from my IRA which is managed by Vanguard.

#30 thru #41 These are the assets held in my Rollover Vanguard account.

#34 thru 36 are purchases made of VSMGX. The funds for these purchases came from the Money Market account that is #30. These transactions were sole transfers of Rollover IRA assets.

#41 This is an asset in my IRA account. It has been in my Vanguard IRA account since the time my IRA was transfered from US Bank to Vanguard. It was in the US Bank IRA account at the time of transfer and was transfered to the Vanguard account. There have been no reportable transactions inregard to this asset. During that period it has maintained a K value. It was inadvertently omitted from my previous reports as a result of my error.

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

ROSSMEISSL, JOHN A.

Date of Report

03/14/2019

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 A. ROSSMEISSL**

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