

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) NOEL, FRANKLIN L.	2. Court or Organization U. S. DISTRICT COURT	3. Date of Report 08/31/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U. S. MAGISTRATE JUDGE (FULL)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☐ Annual ☒ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2018 to 08/31/2018
7. Chambers or Office Address 9W UNITED STATES COURTHOUSE 300 SOUTH 4TH STREET MINNEAPOLIS, MINNESOTA 55415		
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Adjunct Professor	University of Minnesota Law School
2.	
3.	
4.	
5.	

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

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 08/31/2018	Marketing Minds, salary; supplemental distribution
2. 08/31/2018	General Mills, Inc. Pension Benefits
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.				
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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

1. _____

2. _____

3. _____

4. _____

5. _____

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Name of Person Reporting

NOEL, FRANKLIN L.

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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 Brokerage Account #1									
2. -- Apple, Inc. (AAPL)	A	Dividend	L	T					
3. -- CNA Financial Group (CNA)	A	Dividend	J	T					
4. -- Chemours Co (CC)	A	Dividend	J	T					
5. -- McDermott International (MDR) (formerly Chicago Bridge (CB))		None	J	T					
6. -- DowDupont (DWD)	A	Dividend	K	T					
7. -- Fresh DelMonte Produce (FDP)	A	Dividend	J	T					
8. -- Flextronics International, Ltd. (FLEX)		None	J	T					
9. -- Gannett Co., Inc. (GCI)	A	Dividend	J	T					
10. -- General Electric Co. (GE)	A	Dividend	J	T					
11. -- Goldcorp Inc. (GG)	A	Dividend	J	T					
12. -- Home Depot, Inc. (HD)	A	Dividend	K	T					
13. -- Humana, Inc. (HUM)	A	Dividend	K	T					
14. -- Glassbridge (GLN) (IMN)		None	J	T					
15. -- ION Geophysical Corp. (IO)		None	J	T					
16. -- Japan Smaller Cap Fund (JOF)	A	Dividend	J	T					
17. -- Southwest Airlines (LUV)	A	Dividend	K	T					

1. Income Gain Codes
(See Columns B1 and D4)

A = \$1,000 or less
F = \$20,001 - \$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

2. Value Codes
(See Columns C1 and D5)

J = \$15,000 or less
N = \$250,001 - \$500,000

K = \$15,001 - \$50,000
O = \$200,001 - \$1,000,000

L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$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 = Ascension
W = Estimated

T = Cash Market

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Name of Person Reporting

NOEL, FRANKLIN L.

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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)
18. --Newmont Mining Corp. (NEM)	A	Dividend	J	T					
19. --Newell Rubbermaid, Inc. (NWL)	A	Dividend	J	T					
20. --Regis Corporation (RGS)		None	J	T					
21. --Sony Corporation (ADR) (SNE)	A	Dividend	J	T					
22. --Steris Corporation (STE)	A	Dividend	K	T					
23. --Superior Industries Int'l, Inc. (SUP)	A	Dividend	J	T					
24. --Tegna (TGNA)	A	Dividend	J	T					
25. --U.S. Bancorp (USB)	A	Dividend	J	T					
26. --Wells Fargo Money Market FD	A	Interest	L	T					
27. -- Cars.com (CARS)		None	J	T					
28. Wells Fargo Brokerage Account #2									
29. --Amerisource Bergen Corp. (ABC)	A	Dividend	L	T					
30. --CHUBB, Ltd (CB)	A	Dividend	K	T					
31. --Aviat Networks, Inc. (AVNW)		None	J	T					
32. --Baxter International, Inc. (BAX)	A	Dividend	K	T					
33. --Shire, PLC, (SHPG)	A	Dividend	J	T					
34. --ConAgra Foods, Inc. (CAG),	A	Dividend	J	T					

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
P1 = \$25,000,001 - \$50,000,000
Q = Appraisal
U = Book Value

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

E = \$15,001 - \$50,000

T = Cash Market

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Name of Person Reporting

NOEL, FRANKLIN L.

Date of Report

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-46 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. --Center Point Energy, Inc. (CNP)	B	Dividend	K	T					
36. --CNX Resources (CNX)	A	Dividend	J	T					
37. --CONOCOPhillips (COP)	A	Dividend	K	T					
38. --Phillips 66 (PSX)	A	Dividend	K	T					
39. --Dean Foods Company (DF)	A	Dividend	J	T					
40. --Devon Energy Corporation (DVN)	A	Dividend	J	T					
41. --Embraer, SA (ADR) (ERJ)	A	Dividend	J	T					
42. --Harris Corporation (HRS)	B	Dividend	L	T					
43. --Mueller Industries, Inc. (MLI)	A	Dividend	K	T					
44. --Nokia Corporation (ADR) (NOK)	A	Dividend	J	T					
45. --British American Tobacco (BTI)	B	Dividend	K	T					
46. --Stanley Black & Decker, Inc. (SWK)	A	Dividend	K	T					
47. --Wells Fargo accounts WF money market FD	A	Interest	M	T	Sold (part)	01/19/18	N	A	
48. --Console Mining (CEIX)		None	J	T					
49. --Lamb Weston Holdings (LW)	A	Dividend	J	T					
50. --Mueller Industries Inc - Subordinated Debenture	A	Int./Div.	J	T					
51. RBC Wealth Management IRA Account (See Part VIII)									

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
P1 = \$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 - \$1,000,000

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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NOEL, FRANKLIN L.

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VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-40 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)
52. --Citigroup, Inc. (C)					Sold	01/25/18	J	C	
53. --Cisco Systems, Inc. (CSCO)					Sold	01/25/18	K	E	
54. --Diageo, plc (ADR) (DEO)	A	Dividend	K	T					
55. --Dodge & Cox Int'l Stock Fund (DODFX)					Sold	01/25/18	L	D	
56. --Wells Fargo Adv. Int'l Eq Fund (WFEAX)					Sold	01/25/18	K	E	
57. --International Business Machine Corp. (IBM)	B	Dividend	K	T					
58. --Intel Corporation (INTC)	B	Dividend	K	T					
59. --Nu Skin Enterprises, Inc. (NUS)	B	Dividend	L	T					
60. --New York Community Bancorp, Inc. (NYCB)					Sold	01/26/18	K	B	
61. --Mutual Quest Fund Class A (TEQIX)					Sold	01/26/18	K	A	
62. --Charter Communications (CHTR)					Sold	01/26/18	J	C	
63. --Time Warner, Inc. (TWX)					Sold	01/26/18	J	D	
64. --Time, Inc. (TIME)					Sold	01/26/18	J	A	
65. --Pimco All Asset Fund (PAUCX)					Sold	01/25/18	L	A	
66. --cash	A	Interest	M	T					
67. -- T Rowe Price Growth Stock Fund (PRGFX)	A	Dividend	L	T	Buy	01/26/18	L		
68. -- Artisan partners FDS Inc. International Value Fund (APDKX)	B	Dividend	L	T	Buy	01/26/18	L		

1. Income Gain Codes
(See Columns B1 and D4)

A = \$1,000 or less
E = \$50,001 - \$100,000
J = \$15,000 or less
N = \$250,001 - \$500,000
P1 = \$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

3. Value Method Codes
(See Column C2)

Q = Appraised
U = Book Value

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-68 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)
69. -- First Eagle Overseas Fund (SGOIX)	B	Dividend	L	T	Buy	01/26/18	L		
70. -- Oppenheimer Development (ODVYX)	A	Dividend	L	T	Buy	01/26/18	L		
71. Wells Fargo IRA Account #2									
72. --Becton, Dickinson and Co. (BDX)	B	Dividend	L	T					
73. --ConocoPhillips (COP)	A	Dividend	K	T					
74. --Phillips 66 (PSX)	A	Dividend	K	T					
75. --Mutual Quest Fund Z (MQIFX)	C	Dividend	M	T					
76. --Novartis, AG (ADR) (NVS)	B	Dividend	L	T					
77. --Procter & Gamble Company (PG)	A	Dividend	K	T					
78. --The Travelers Companies, Inc. (TRV)	B	Dividend	L	T					
79. --Pimco Inc. Fund (PONCX)	C	Dividend	L	T					
80. --cash	A	Interest	M	T					
81. Wells Fargo IRA Account #3									
82. --SPDR ETF (DIA)	B	Dividend	L	T					
83. -- S&P 500 Dep. Recpt Unit Ser 1 (SPY)	A	Dividend	K	T					
84. --Charter Communications (CHTR)		None	J	T					
85. --ATT (T) (formerly Time Warner (TWX))									

1. Income Gain Codes
(See Columns B1 and D4)

A = \$1,000 or less
F = \$50,001 - \$100,000

G = \$100,001 - \$1,000,000
K = \$15,001 - \$50,000

L = \$50,001 - \$100,000
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
T = Cash Market

2. Value Codes
(See Columns C1 and D3)

J = \$15,000 or less
N = \$250,001 - \$500,000

O = \$500,001 - \$1,000,000
R = Cost (Real Estate Only)

S = Amortment
W = Estimated

U = Book Value
V = Other

3. Value Method Codes
(See Column C2)

Q = Appraisal
U = Book Value

R = Cost (Real Estate Only)
V = Other

S = Amortment
W = Estimated

T = Cash Market
U = Book Value

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-40 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)
86. --Time, Inc (TIME)					Sold	02/02/18	J	A	
87. --cash	A	Interest	K	T					
88. Wells Fargo IRA Account #4--WF Adv Large Cap Fund (STRFX)		None	K	T					
89. Wells Fargo Bank Cash Accounts	D	Interest	O	T					
90. Schwab Brokerage Account #1									
91. --Alphabet, Inc (GOOGL)		None	M	T					
92. --BP Plc (ADR) (BP)	B	Dividend	K	T					
93. --DaimlerChrysler (DDAIF)	A	Dividend	J	T					
94. --Darden Restaurants, Inc. (DRI)	A	Dividend	K	T					
95. --DowDupont (DWDUP)	A	Int./Div.	K	T					
96. --Energen Corporation (EGN)	A	Dividend	K	T					
97. --Exxon Mobil Corporation (XOM)	B	Dividend	K	T					
98. --Four Corners Property (FCPT)	A	Dividend	J	T					
99. --Frontier Communications Corp. (FTR)	A	Dividend	J	T					
100. --General Electric Company (GE)	A	Dividend	J	T					
101. --General Mills, Inc. (GIS)	B	Dividend	L	T					
102. --Honeywell International, Inc. (HON)	C	Dividend	M	T					

1. Income Gain Codes (See Columns B1 and D4)	A = \$1,000 or less F = \$10,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H = \$5,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = 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	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$1,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	P3 = \$25,000,001 - \$50,000,000 Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	P4 = More than \$50,000,000 S = Assessed W = Estimated	T = Cash Market	

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Date of Report

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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 "IX" 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)
103. --Iberdrola SA (IBDRY)	A	Dividend	J	T					
104. --JM Smucker Company (SJM)	A	Dividend	J	T					
105. --Johnson & Johnson (JNJ)	B	Dividend	L	T					
106. --Kellogg Company (K)	B	Dividend	L	T					
107. --KeyCorp. (KEY)	A	Dividend	J	T					
108. --MBIA, Inc. (MBI)		None	J	T					
109. --Norfolk Southern Corporation (NSC)	A	Dividend	K	T					
110. --Nu Skin (NUS)	A	Dividend	K	T					
111. --Piper Jaffray Companies (PJC)	A	Dividend	J	T					
112. --Invesco QQQ Trust, (formerly Power Shares QQQ trust, Ser. 1 (QQQ))	A	Dividend	K	T					
113. --Procter & Gamble Company (PG)	A	Dividend	K	T					
114. --SPDR S&P 500 (ETF) (SPY)	A	Dividend	L	T					
115. --SPDR ETF fka Diamond Trust Series Mutual Fund (DIA)	A	Dividend	K	T					
116. --SuperValu, Inc. (SVU)		None	J	T					
117. --Surmodics, Inc. (SRDX)		None	J	T					
118. --Target Corporation (TGT)	B	Dividend	K	T					
119. --Texttron, Inc. (TXT)	A	Dividend	K	T					

1. Income Code Codes
(See Columns B1 and D4)

A = \$1,000 or less
F = \$10,001 - \$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

K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000

L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$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

P4 = More than \$50,000,000
S = Assessment
W = Estimated

T = Cash Market

FINANCIAL DISCLOSURE REPORT

Page 11 of 18

Name of Person Reporting

NOEL, FRANKLIN L.

Date of Report

08/31/2018

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. --US Bancorp (USB)	A	Dividend	K	T					
121. --Verizon Communications, Inc. (VZ)	A	Dividend	K	T					
122. --Washington Real Estate Investment T (WRE)	A	Dividend	K	T					
123. --Pimco High Yield Institutional shares (PHIYX)	C	Dividend	L	T					
124. --Schwab S&P 500 Index Fund (SWPPX)	A	Dividend	K	T					
125. --US Treasury due 8/15/23	A	Interest	J	T					
126. --Schwab cash reserves (SWSXX)	A	Interest	M	T					
127. --Kinder/Morgan (KMI) including WARRANTS (KMIWS)	A	Dividend	J	T					
128. -- Advantix, Inc. (ASIX)		None	J	T					
129. --Amazon (AMZN)		None	M	T					
130. -- Citibank NA CD (Due 1/5/18)					Matured	01/05/18	M		
131. -- Plains Capital Bank CD (Due 3/21/18)					Matured	03/12/18	M		
132. -- Stearns Bank CD (Due 11/23/2018)	A	Interest	L	T					
133. -- SAFRA National Bank CD	A	Interest	L	T	Buy	04/09/18	M		
134. -- Allegiance Bancsh CD	A	Interest	L	T	Buy	05/30/18	M		
135. -- Wells Fargo Bank CD	A	Interest	L	T	Buy	05/30/18	M		
136. -- Franklyn Synergy CD	A	Interest	L	T	Buy	05/30/18	M		

1. Income Gain Codes: A = \$1,000 or less
(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
(See Columns C1 and D3)
K = \$15,001 - \$50,000
L = \$50,001 - \$100,000
M = \$100,001 - \$250,000
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
P4 = More than \$25,000,000
3. Value Method Codes: Q = Appraisal
(See Column C2)
R = Cost (Real Estate Only)
S = Assessment
T = Bank Market
U = Book Value
V = Other
W = Estimated

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

NOEL, FRANKLIN L.

Date of Report

08/31/2018

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-68 of filing instructions.)

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

A. Description of Assets (including trust assets) Place "(X)" after each asset except 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. -- WEX Bank Midvale CD	A	Interest	L	T	Buy	07/13/18	M		
138. -- Investor's Bank CD	A	Interest	L	T	Buy	07/13/18	M		
139. SCHWAB 401(k) account									
140. --Schwab Money Mkt Fund (SWMXX)	A	Dividend	L	T					
141. --Becton Dickinson (BDX)	B	Dividend	L	T					
142. --International Business Machines (IBM)	B	Dividend	L	T					
143. --New York Community Bancorp, Inc. (NYCB)	B	Dividend	K	T					
144. --NuSkin Enterprises (NUS)	B	Dividend	L	T					
145. --Novartis (NVS)	A	Dividend	K	T					
146. --Nuance (NUAN)		None	K	T					
147. --OAKMARK Intl Fund (OAKIX)	C	Dividend	K	T					
148. --GABELLI Small Cap (GABSX)	A	Dividend	K	T					
149. -- Amazon (AMZN)		None	M	T					
150. -- Intel Corp (INTC)	A	Dividend	J	T					
151. -- Invesco QQQ Trust (Formerly Powershares) (QQQ)	A	Dividend	K	T					
152. Charles Schwab Bank	A	Interest	K	T					
153. Morgan Stanley Brokerage Account									

1. Income Gain Codes
(See Columns B1 and D4)

A = \$1,000 or less
F = \$50,001 - \$100,000

B = \$1,001 - \$2,000
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
P1 = \$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

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

P4 = More than \$50,000,000
S = Assumant
W = Estimated

T = Cash Market

FINANCIAL DISCLOSURE REPORT

Page 13 of 18

Name of Person Reporting

NOEL, FRANKLIN L.

Date of Report

08/31/2018

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 "XX" 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. -- Morgan Stanley Private Bank NA	A	Int./Div.	N	T					
155. --AT&T (T)	B	Dividend	K	T					
156. --Boeing (BA)	D	Dividend	N	T					
157. --Comcast Corp. (CMCSA)	A	Dividend	K	T					
158. --EXELON Corp (EXC)	A	Dividend	J	T					
159. --DowDupont (DWD) (fka) Dow Chemical (DOW)	A	Int./Div.	J	T					
160. --Edison International (EIX)	A	Dividend	J	T					
161. --Kinder/Morgan, Inc. (KMI)	A	Dividend	J	T					
162. --Energen Corp. (EGN)			K	T					
163. --IBERDROLA (IBDRY)	A	Dividend	J	T					
164. --National Fuel Gas (NFG)	A	Dividend	K	T					
165. --PG&E (PCG)	A	Dividend	J	T					
166. --PNC Financial Services (PNC)	A	Dividend	J	T					
167. --Praxair, Inc. (PX)	A	Dividend	K	T					
168. --CenturyLink (CTL) Comm.(Q)	A	Dividend	J	T					
169. --Contra Seahawk (Y)									
170. --Sempra Energy (SRE)	B	Dividend	K	T					

1. Income Code:
(See Columns B1 and D4)

2. Value Code:
(See Columns C1 and D3)

3. Value Method Codes
(See Column C2)

A = \$1,000 or less
F = \$50,001 - \$100,000
J = \$15,000 or less
N = \$250,001 - \$500,000
P1 = \$25,000,001 - \$50,000,000
Q = Appraisal
U = Book Value

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

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

NOEL, FRANKLIN L.

Date of Report

08/31/2018

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-40 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. --Verizon (VZ)	A	Dividend	J	T					
172. --Vodafone Group (VOD)	A	Dividend	J	T					
173. --Westar Energy, Inc. (WR)	A	Dividend	J	T					
174. --Barrings Corp. Investors (MCI)	B	Dividend	K	T					
175. --Mutual Quest (MQIFX)	A	Dividend	J	T					
176. --Mutual Global Disc. (MDISX)	B	Dividend	L	T					
177. --Centrus Energy (LEU)		None	J	T					
178. American Century Mutual Funds (Am. Century)									
179. --Growth (TWCGX)	D	Dividend	L	T					
180. --Ultra (TWCUX)	B	Dividend	K	T					
181. --Balanced (TWBIX)	C	Dividend	L	T					
182. Federated Kaufman Fund R (KAUFX)	E	Distribution	M	T					
183. Vanguard									
184. --Balanced Index Fund Investors Shares (VBINX)	B	Dividend	L	T					
185. --Odyssey Marine Expl. (OMEX)		None	J	T					
186. --Prime Money Market Fund (VMMXX)	D	Dividend	P1	T					
187. --Winsor Fund Investor Shares (VWNDX)	C	Dividend	L	T					

1. Income Gain Codes
(See Columns B1 and D4)

2. Value Codes
(See Columns C1 and D3)

3. Value Method Codes
(See Column C2)

A = \$1,000 or less
F = \$30,001 - \$100,000

J = \$15,000 or less
N = \$250,001 - \$500,000

P3 = \$25,000,001 - \$50,000,000

Q = Appraisal
U = Book Value

B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000

K = \$15,001 - \$50,000
O = \$200,001 - \$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 = Amusement
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

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

NOEL, FRANKLIN L.

Date of Report

08/31/2018

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. Heartland Value Fund (HRTVX)	D	Distribution	M	T					
189. Manulife Financial Corp.(MFC)	A	Dividend	K	T					
190. General Mills 401(k)									
191. --Schwab money Mkt Fund (SWMXX)	A	Dividend	J	T					
192. --General Mills (GIS)	B	Dividend	L	T					
193. --F five		None	L	T					
194. --Diversified US Equity Fund		None	N	T					
195. -- Brokerage Window		None	L	T					
196. -- Diversified International Equity			M	T					
197. -- Diversified U.S. Equity Index			M	T					
198. Aware Board Non-Qualified Fund Blue Cross Blue ShieldBe									
199. --FID Growth Co., (FGCKX)	D	Dividend	N	T					
200. --SPTN 500 Index (FUSVX)	A	Dividend	L	T					
201. --Times Sq SMCAP (TSCPX)		None	L	T					
202. --TMTL Global Bond (TPINX)	A	Dividend	L	T					
203. --Fid Sel Tech (FSPTX)		None	M	T					
204. --Artisan Int/Val Inv (ARTKX)	D	Dividend	M	T					

1. Income Gain Codes
(See Columns B1 and B4)

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
I2 = More than \$5,000,000

E = \$15,001 - \$50,000

2. Value Codes
(See Columns C1 and C3)

I = \$15,000 or less
N = \$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

M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000

3. Value Method Codes
(See Columns C2)

Q = Appraisal
U = Book Value

R = Cost (Real Estate Only)
V = Other

S = Assessment
W = Estimated

T = Cash Market

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

NOEL, FRANKLIN L.

Date of Report

08/31/2018

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-66 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)
205. --Fid Sel Energy (FSENX)	B	Dividend	K	T					
206. --Fid Sec Healthcare (FSPHX)	C	Dividend	L	T					
207. --SPTN EXT Index A DV (FSEVX)	B	Dividend	M	T					
208. Oklahoma Royalty Interest: Yazo County	A	Royalty	J	T					
209. Oklahoma Royalty Interest: Marshall County	A	Royalty	J	T					
210. Oklahoma Royalty Interest: Noble County	A	Royalty	J	T					
211. Oklahoma Royalty Interest: Pottowatomie County	A	Royalty	J	T					
212. Oklahoma Royalty Interest: Payne County	A	Royalty	J	T					
213. Oklahoma Royalty Interest: Oklahoma County	A	Royalty	J	T					
214. Oklahoma Royalty Interest: Caddo County	A	Royalty	J	T					
215. Kansas Royalty Interest: Barton County	A	Royalty	J	T					
216. Louisiana Royalty Interest: Webster County	A	Royalty	J	T					
217. RBC Brokerage Account									
218. -- Microsoft (MSFT)	A	Dividend	L	T	Buy	01/26/18	K		
219. -- Vanguard FTSE Developing Markets (VEA)	C	Dividend	L	T	Buy	01/26/18	L		
220. -- Vanguard FTSE Emerging Markets (VWO)	B	Dividend	K	T	Buy	01/26/18	K		
221.									

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

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

Q = Appraisal

U = Book Value

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 = Assessed

W = Estimated

D = \$5,001 - \$15,000

I2 = 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

Name of Person Reporting NOEL, FRANKLIN L.	Date of Report 08/31/2018
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

A. Part VII, Line 51: Header. In January, 2018, this entire LRA brokerage account was transferred in kind from Wells Fargo to RBC Wealth Management. Several Securities were sold and others purchased on January 25 and 26, as set forth in lines 52, 53, 55, 56, 60, 61, 62, 63, 64, 65, 67, 68, 69, 70.

FINANCIAL DISCLOSURE REPORT

Page 18 of 18

Name of Person Reporting

NOEL, FRANKLIN L.

Date of Report

08/31/2018

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/ FRANKLIN L. NOEL**

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