

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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) Bough, Stephen R.	2. Court or Organization U.S. District Court - Western District of Missouri	3. Date of Report 4/23/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Article III Judge, Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2019 to 12/31/2019
7. Chambers or Office Address U.S. Courthouse 400 E. 9th Street, Suite 7462 Kansas City, MO 64106		
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. Past-President	Federal Bar Association - Western District of Missouri and District of Kansas
2. Board member	UMKC Law Foundation
3. Board member	Lawyers Encouraging Academic Performance
4. Advisory Board	Second Chance
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. 2014	Blake Heath purchased the assets of The Law Offices of Stephen R. Bough with a written agreement for 25% of the contingent fee at the end of the litigation
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 8

Name of Person Reporting

Bough, Stephen R.

Date of Report

4/23/2020

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. 2019	Blake Heath Trial Attorney LLC, pursuant to the written agreement referenced in Part II. The agreement is a fixed percentage of the contingent fee.	\$69,958.74
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. 2019	Lewis Rice, salary
2. 2019	City of Kansas City, salary
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. University of Georgia Law School	April 11 - 13, 2019	Athens, GA	Judge Moot Court, teach two classes	Hotel, rental car, air, food
2. Ogletree Deakins	Sept. 19 - 20, 2019	Indianapolis, IN	Speak at Diversity Conference	Hotel, transportation, air, food
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT
Page 3 of 8

Name of Person Reporting	Date of Report
Bough, Stephen R.	4/23/2020

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.	Kansas City Christian High School	Tuition Agreement	J
2.	Dept. of Educaiton - Direct Loan MOHELA	Student Loan	L
3.	Chase credit card	Credit Card	J
4.			
5.			

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1. 529 Plan - (H)									
2. - Invest Ed Balanced PRT A	B	Dividend	K	T	Sold (part)	07/30/19	J		
3. - Ivy Limited-Term Bond E	A	Dividend	K	T	Sold (part)	07/30/19	J		
4. Roth IRA - (H)									
5. - Ivy Fund - High Income A	B	Dividend	K	T					
6. - Ivy Fund - Small Cap Fund A	B	Dividend	J	T					
7. - Ivy Global Real Estate A	D	Dividend	K	T					
8. - Ivy Managed Inter Opp A	D	Dividend	K	T					
9. - Ivy Mid Cap Income Opp A	B	Dividend	J	T					
10. - Ivy Limited-Term Bond A	D	Dividend	M	T					
11. - Ivy Asset Strategy A	D	Dividend	K	T					
12. Simple 401K - (H)									
13. - Ivy Fund High Income A	B	Dividend	K	T					
14. - Ivy Core Equity A	D	Dividend	K	T					
15. - Ivy International Core Equity A	A	Dividend	J	T					
16. - Ivy Global Equity Income A	C	Dividend	K	T					
17. - Ivy Asset Strategy A	C	Dividend	K	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 =\$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 =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

Page 5 of 8

Name of Person Reporting

Bough, Stephen R.

Date of Report

4/23/2020

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. JTN TOD - (H)									
19. - Ivy Core Equity A	C	Dividend			Sold	08/27/19	K		
20. - Ivy Fund Small Cap A					Sold	01/30/19	K		
21. - Ivy Managed Intern Opp A					Sold	01/30/19	J		
22. - Ivy Large Cap Growth A	A	Dividend	J	T	Sold (part)	08/27/19	J		
23. - Ivy Apollo Multi-Asset Income A	A	Dividend	J	T	Sold (part)	04/10/19	J		
24. - Ivy Limited-Term Bond A	A	Dividend	J	T					
25. 529 Plan - (H)									
26. - Ivy Limited-Term Bond E	A	Dividend			Sold	07/30/19	J		
27. Exclusive K - (H)									
28. - Ivy Fund Small Cap A	A	Dividend	K	T					
29. - Ivy International Core Equity A	A	Dividend	K	T					
30. - Ivy Apollo Multi-Asset Income A	C	Dividend	L	T					
31. - Ivy Limited-Term A	A	Dividend	J	T					
32. - Ivy Science and Tech A	D	Dividend	L	T					
33. Roth IRA - (H)									
34. - Ivy Mid Cap Growth A	B	Dividend	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	

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.)

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
35. - Ivy Science and Technology A	C	Dividend	J	T					
36. - Ivy Small Cap Growth A	A	Dividend	J	T					
37. - Ivy Balanced A	A	Dividend	J	T					
38. - Ivy High Income A	A	Dividend	J	T					
39. UTMA - ████████ (H)									
40. - Ivy Limited-Term Bond A	A	Dividend			Sold	07/30/19	J		
41. Missouri Bank & Trust - BOK	A	Int./Div.	K	T					
42. Lewis Rice Profit Sharing BOK Financial TRP Retire 2035	A	Dividend	K	T					
43. Lewis Rice 401K BOK Financial TRP Retire 2035	A	Dividend	J	T					

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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	
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

Bough, Stephen R.

Date of Report

4/23/2020

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

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

Bough, Stephen R.

Date of Report

4/23/2020

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/ Stephen R. Bough**

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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