

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) KERN, TERENCE C.	2. Court or Organization USDC/NDOK	3. Date of Report 5/14/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge (Senior)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
7. Chambers or Office Address The Federal Building 224 South Boulder Ave., Rm 241 Tulsa, OK 74103		
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.		
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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Name of Person Reporting

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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.		
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.				
3.				
4.				
5.				

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KERN, TERENCE C.	5/14/2020

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.		
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)	(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.	Per conversation w/committee-complete list of mineral interests (Y)								
2.	Custer County, OK (H)								
3.	1-12N-16W, Chesapeake, Chaparral (Hix, Penner)	A	Royalty	J	W				
4.	3-12N-16W		None	J	W				
5.	3-14N-16W, Raven Ridge (Colt)		None	J	W				
6.	6-12N-15W, BRG (Randol, Anita)	A	Royalty	J	W				
7.	7-12N-15S, Lowry Land	B	Rent	J	W				
8.	7-14N-15W, Crawley (Miller Trust)	A	Royalty	J	W				
9.	10-12N-16W, Riviera (Newcomb)	A	Royalty	J	W				
10.	10-15N-16W, MEP (Crosstown Traffic)	A	Royalty	J	W				
11.	14-15N-16W, Excalibur (Anita)	A	Royalty	J	W				
12.	16-15N-16W, Mewbourne, Unit Petroleum (Jones)	A	Royalty	J	W				
13.	18-12N-14W		None	J	W				
14.	22-15N-16W, Toklan (Boyd Miller)	A	Royalty	J	W				
15.	23-16N-17W, Blake Production (Putnam Oswego)	A	Royalty	J	W				
16.	27-15N-16W		None	J	W				
17.	28-15N-16W, Excalibur (Lealon, Johnston)	A	Royalty	J	W				

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18. 29-15N-16W, Mewbourne Oil, Citizen (Elizabeth, Dotson, Triple J)	A	Royalty	J	W					
19. Dewey County, OK (H)									
20. 11-15N-17W		None	J	W					
21. 11-16N-17W		None	J	W					
22. 20-16N-17W		None	J	W					
23. 23-16N-17W, Blake Production (Putnam Oswego)	A	Royalty	J	W					
24. 34-16N-17W, Encino Operating (Branham)	A	Royalty	J	W					
25. Garvin County, OK (H)									
26. 1-1N-2W, MacKellar, Enerwest, Rimrock (Eva, Mundy-Walters, Grimes)	A	Royalty	J	W					
27. 4-1N-1W		None	J	W					
28. 5-1N-1W		None	J	W					
29. 10-1N-1W		None	J	W					
30. 10-2N-2E		None	J	W					
31. 12-3N-3W, ONEOK, Sunoco (Curry, Pecan)	A	Royalty	J	W					
32. 13-1N-1W, Vitol (Tuley Deese)	A	Royalty	J	W					
33. 16-2N-1E		None	J	W					
34. 20-1N-1W		None	J	W					

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35. 22-1N-1E		None	J	W					
36. 22-2N-1W		None	J	W					
37. 26-1N-3W, Citation (Floyd)	A	Royalty	J	W					
38. 29-3N-3E, Shell (Crump-Muncrief)	A	Royalty	J	W					
39. 36-1N-3W		None	J	W					
40. Logan County, OK (H)									
41. 31-17N-1E		None	J	W					
42. Major County, OK (H)									
43. 21-20N-16W, Carrera Energy, Plains (Almond Joy)	A	Royalty	J	W					
44. 27-20N-16W, XTO Energy, PNG Oper (Sparks, Miller, Harry Bensch)	A	Royalty	J	W					
45. 27-20N-26W		None	J	W					
46. 34-20N-16W, Chesapeake (Kimball)		None	J	W					
47. McClain County, OK (H)									
48. 22-8N-4W, Encana (Larry)	D	Royalty	J	W					
49. Murray County, OK (H)									
50. 1-1N-1E		None	J	W					
51. 18-1N-2E, American Petroleum (N Davis Basal)	A	Royalty	J	W					

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52. 35-2N-2E		None	J	W					
53. 36-2N-1E		None	J	W					
54. Seminole County, OK (H)									
55. 27-10N-7E		None	J	W					
56. Stephens County, OK (H)									
57. 10-2S-5W, Jack Oil (Crump-Wildcat)	A	Royalty	J	W					
58. 15-2S-5W		None	J	W					
59. BROKERAGE ACCOUNT #2 (H)									
60. UBS Bank USA Deposit Acct(Active Asset Money Fund)	A	Interest	M	T					
61. Plains All American Pipeline	A	Dividend	K	T					
62. Enterprise Products Partner LP MLP	D	Distribution	K	T					
63. Williams Partners LP MLP	A	Dividend			Sold	12/23/19	K	A	
64. ONEOK Inc New	A	Dividend			Sold	03/01/19	K	D	
65. USA Compression Partners	A	Distribution	K	T					
66. Apple Inc	A	Dividend	K	T	Buy (add'l)	01/14/19	J		
67. Blackstone Group	A	Distribution	J	T					
68. AT&T Inc.	A	Distribution	K	T	Buy	03/04/19	K		

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69. BROKERAGE ACCOUNT #3 (H)									
70. Fidelity Investment Fund Deposit Acct (Active Asset Money Fund)	A	Interest	L	T					
71. Intel Corp	B	Dividend			Sold	04/09/19	K	B	
72. Bank of America Corp	A	Dividend	J	T	Buy (add'l)	03/06/19	J		
73. Energy Transfer Partners	A	Distribution			Buy (add'l)	05/13/19	J		
74.					Buy (add'l)	05/22/19	J		
75.					Sold	07/18/19	J	A	
76. American Midstream Partners	A	Dividend			Merged (with line 60)	07/23/19	J	A	
77. AT&T Inc	A	Dividend	K	T	Buy (add'l)	02/08/19	K		
78. Blackstone Mortgage (BXMT)	A	Dividend	J	T					
79. Nuveen PFD (JPS)	A	Dividend	J	T	Buy	10/28/19	J		
80.					Buy (add'l)	10/29/19	J		
81. AllianceBernstein GBL	A	Dividend	J	T	Buy (add'l)	04/26/19	J		
82.					Buy (add'l)	07/09/19	J		
83. Brookfield Real Assets	A	Dividend	J	T					
84. Doubleline Income Solutions	A	Dividend	J	T					
85. Medical PPTYS	B	Dividend			Buy (add'l)	03/05/19	J		

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86.					Sold	03/13/19	J	B	
87. Superior Drilling Prods	A	Dividend			Sold	11/13/19	J	A	
88. Blackstone Group (BX)	D	Dividend	K	T					
89. New Residential Invt Corp	A	Dividend			Sold	06/17/19	J	A	
90. Nuveen Amt Free (NVG)	B	Dividend	K	T					
91. Arbor Rlty	C	Dividend	K	T	Buy (add'l)	02/19/19	J		
92.					Buy (add'l)	03/05/19	J		
93.					Buy (add'l)	05/13/19	J		
94.					Buy (add'l)	06/25/19	J		
95.					Buy (add'l)	06/27/19	J		
96. Park Hotels Resorts (PK) (X)	A	Dividend	K	T	Buy	02/08/19	J		
97.					Buy (add'l)	03/01/19	J		
98.					Buy (add'l)	05/28/19	J		
99.					Buy (add'l)	08/06/19	J		
100. Ladder Cap Corp (LADR) (X)	A	Dividend	K	T	Buy	03/05/19	J		
101.					Buy (add'l)	03/07/19	J		
102.					Buy (add'l)	03/07/19	J		

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103.					Buy (add'l)	03/08/19	J		
104.					Buy (add'l)	03/12/19	J		
105.					Buy (add'l)	04/26/19	J		
106.					Buy (add'l)	04/29/19	J		
107.					Buy (add'l)	04/29/19	J		
108. Aberdeen Asia Pacific (FAX) (X)	A	Dividend	J	T	Buy	03/08/19	J		
109.					Buy (add'l)	03/08/19	J		
110.					Buy (add'l)	05/28/19	J		
111. Pennymac Mortgage Investment (PMT) (X)	A	Dividend	J	T	Buy	07/12/19	J		
112.					Buy (add'l)	07/12/19	J		
113.					Buy (add'l)	07/18/19	J		
114.					Buy (add'l)	07/24/19	J		
115.					Buy (add'l)	07/25/19	J		
116.					Buy (add'l)	07/25/19	J		
117. New Mountain Finance Corporation (NMFC) (X)	A	Dividend	J	T	Buy	08/07/19	J		
118.					Buy (add'l)	08/07/19	J		
119.					Buy (add'l)	08/07/19	J		

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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)
120.					Buy (add'l)	09/26/19	J		
121. Chimera Invt Corp (CIM) (X)	A	Dividend	J	T	Buy	10/04/19	J		
122. Great Ajax Corp (AJX) (X)	A	Dividend	J	T	Buy	11/08/19	J		
123.					Buy (add'l)	11/08/19	J		
124.					Buy (add'l)	11/18/19	J		
125.					Buy (add'l)	11/18/19	J		
126. Cypress Energy Partners (CELP)(X)	A	Dividend	J	T	Buy	11/22/19	J		
127. USA Compression Partners (USAC) (X)	A	Dividend	J	T	Buy	12/05/19	J		
128. BROKERAGE ACCOUNT #4 - IRA (H)									
129. UBS Bank USA Dep Acct	A	Interest	L	T					
130. Financial Select Sector	A	Dividend			Sold	04/10/19	J	B	
131. SPDR S&P 500	A	Dividend			Sold	04/08/19	K	D	
132. Technology Select Sector	A	Dividend			Sold	04/08/19	J	D	
133. Apple, Inc.	E	Dividend	M	T					
134. Intel Corp.	D	Dividend	K	T					
135. Plains All American Pipeline	A	Dividend	K	T					
136. Bank of America Corp	E	Dividend	K	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		

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)
137. OK 529 College Savings Plan Aggressive Managed Allocat-no control	A	Interest	L	T					
138. Chambers-BIP Kodiak	A	Distribution			Matured	11/14/19	J	A	
139. Moriah Cash Management	D	Interest			Matured	06/28/19	N	D	
140. Bank of Oklahoma cash-equivalent accounts	A	Interest	M	T					.
141. Mabrey Bank cash-equivalent accounts	A	Interest	M	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

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Name of Person Reporting KERN, TERENCE C.	Date of Report 5/14/2020
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

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Name of Person Reporting

KERN, TERENCE C.

Date of Report

5/14/2020

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/ TERENCE C. KERN

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