

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)

|                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                          |                                                                  |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting (last name, first, middle initial)</b><br><br>Wang, Nina Y.                                                                                                                        | <b>2. Court or Organization</b><br><br>United States District Court for the District of Colorado                                                                                                                                                                                         | <b>3. Date of Report</b><br><br>05/14/2018                       |
| <b>4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)</b><br><br>United States Magistrate Judge -Full-time                                     | <b>5a. Report Type (check appropriate type)</b><br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final<br><b>5b.</b> <input type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br><br>01/01/2017<br>to<br>12/31/2017 |
| <b>7. Chambers or Office Address</b><br><br>Byron G. Rogers United States Courthouse<br>1929 Stout Street, C0254<br>Denver, Colorado 80294                                                                |                                                                                                                                                                                                                                                                                          |                                                                  |
| <p align="center"><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</p> |                                                                                                                                                                                                                                                                                          |                                                                  |

## 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. | Executive Committee Member | Colorado Our Courts                                                                       |
| 2. | Steering Committee Member  | National Task Force for the United States Patent and Trademark Office Pro Bono Initiative |
| 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. | 2010        | Faegre Baker Daniels, Partner Capitalization Agreement                                            |
| 2. | 2010        | Faegre Baker Daniels Benefit Plan (Continuing Participation in Retirement Plan perviously vested) |
| 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. 2017

Self-employed, Energy Consultant

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.)*

|    | <u>SOURCE</u>                         | <u>DESCRIPTION</u>  | <u>VALUE</u> |
|----|---------------------------------------|---------------------|--------------|
| 1. | The Colorado IP American Inn of Court | Honorary Membership | \$425.00     |
| 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. | Nationstar Mortgage | Mortgage on Rental Prop. #1, Denver, Colorado | L                 |
| 2. | FirstBank           | Spouse Small Business Loan                    | M                 |
| 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 1. Rental Property #1, Denver, Colorado (2000 - \$160,000)                                                                  | E                                       | Rent                                          | N                                               | W                                         |                                                 |                         |                                 |                                |                                                                   |
| 2. Columbia Value and Restructuring Z Mutual Fund                                                                           |                                         | None                                          |                                                 |                                           | Distributed                                     | 01/01/17                | K                               |                                |                                                                   |
| 3. RS Small Cap Growth A                                                                                                    |                                         | None                                          |                                                 |                                           | Distributed                                     | 01/01/17                | K                               |                                |                                                                   |
| 4. Schwab Small Cap Index                                                                                                   |                                         | None                                          |                                                 |                                           | Distributed                                     | 01/01/17                | K                               |                                |                                                                   |
| 5. Janus Overseas T                                                                                                         |                                         | None                                          |                                                 |                                           | Distributed                                     | 01/01/17                | J                               |                                |                                                                   |
| 6. AMG FQ Global Risk-Balanced Institutional                                                                                |                                         | None                                          |                                                 |                                           | Distributed                                     | 01/01/17                | K                               |                                |                                                                   |
| 7. ETrade Roth IRA - Cash                                                                                                   | A                                       | Interest                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 8. ETrade Roth IRA - Cash                                                                                                   | A                                       | Interest                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 9. Sentinel Ssmidcap A                                                                                                      | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 10. American Century Select                                                                                                 | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 11. American Century Ultra                                                                                                  | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 12. American Century Value                                                                                                  | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 13. American Century Heritage                                                                                               | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 14. American Century Equity Growth                                                                                          | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 15. FirstBank Denver Accounts                                                                                               | A                                       | Interest                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 16. Edge Asset Management Fund - Equity Income R5 Fund                                                                      | D                                       | Int./Div.                                     | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 17. T Rowe Price Large Cap Growth I R5 Fund                                                                                 | D                                       | Int./Div.                                     | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|-------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                   | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$50,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                           | T = Cash Market                                              |                         |

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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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code I<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                                                            |   |           |   |   |     |          |   |  |  |
|----------------------------------------------------------------------------|---|-----------|---|---|-----|----------|---|--|--|
| 18. MFS Investment Management MFS Utilities R3 Fund                        | A | Int./Div. | K | T |     |          |   |  |  |
| 19. College Invest - Moderate Age Based Growth Portfolio                   | C | Int./Div. | J | T |     |          |   |  |  |
| 20. College Invest - Aggressive Growth                                     | C | Int./Div. | K | T |     |          |   |  |  |
| 21. College Invest - Stock Index                                           | C | Int./Div. | K | T |     |          |   |  |  |
| 22. College Invest - Growth Portfolio                                      | C | Int./Div. | K | T |     |          |   |  |  |
| 23. College Invest - Aggressive                                            | C | Int./Div. | J | T |     |          |   |  |  |
| 24. College Invest - Stock Index                                           | C | Int./Div. | J | T |     |          |   |  |  |
| 25. College Invest - Growth Portfolio                                      | C | Int./Div. | J | T |     |          |   |  |  |
| 26. T Rowe Price Growth Stock Mutual Fund                                  | F | Int./Div. | N | T |     |          |   |  |  |
| 27. Baron Small Cap Institutional                                          | E | Int./Div. | M | T |     |          |   |  |  |
| 28. AllianzGI NFI Small Cap Value Institutional                            | E | Int./Div. | M | T |     |          |   |  |  |
| 29. American Funds EuroPacific                                             | E | Int./Div. | M | T |     |          |   |  |  |
| 30. Faegre Baker Daniels Pension Plan                                      | A | Int./Div. | M | T |     |          |   |  |  |
| 31. Learning Quest - Aggressive Track Portfolio                            | C | Dividend  | L | T |     |          |   |  |  |
| 32. Learning Quest - Aggressive Track Portfolio                            | C | Dividend  | L | T |     |          |   |  |  |
| 33. Nexant Custom Target 2035 Portfolio                                    | C | Int./Div. | K | T |     |          |   |  |  |
| 34. AXAAB Small Cap Growth Portfolio (inadvertently missed spouse new401k) | A | Int./Div. | K | T | Buy | 01/01/17 | K |  |  |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
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| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                   | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
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|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 35. Nexant Custom Target 2035 Portfolio                                                                                     | D                                       | Int./Div.                                     | M                                               | T                                         | Spinoff<br>(from line 2)                        | 01/01/17                | M                               |                                |                                                                   |

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

Part VII - Lines 2 to 5 were reinvested by the 401(k) Plan to the Nexant Custom Target Plan 2035 Portfolio  
Part VII line 34 - Spouse invested into 401(k) on December 31, 2016, was not processed until 1/5/2017

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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/ Nina Y. Wang**

**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