

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) Johnson, Alan B.	2. Court or Organization District Court - Wyoming	3. Date of Report 09/22/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Active Judge, U.S. Dist Court	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 2120 Capitol Avenue., Suite 2018 Cheyenne, WY 82003		
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. Member, Advisory Board	Cheyenne Regional Medical Center, Home Health Services
2. Trustee	Trust #2, See Explanation and Description at Part VIII and Part VII
3. Trustee	Trust #3 See Explanation and Description at Part VIII and Part VII
4. Trustee	Trust #1, See Explanation and Description at Part VIII and Part VII
5. Member, Local Discussion Group	Young Men's Literary Club
6. Member, Advisory Board	The American Heritage Center of the University of Wyoming

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. 2019	State of Wyoming - Judicial Retirement with former employer, firm-managed, \$5,438.39 monthly
2. 2019	Wyoming State Retirement System Benefit account, firm-managed
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. 2019	State Employers Retirement - Monthly	\$406.71
2. 2019	DFAS - Retirement - Monthly	\$1,549.23
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.	
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.)

<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.)

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. TRUST #1 (H)									
2. - CHASE BANK ACCOUNT	A	Int./Div.	M	T					
3. - CHASE BANK ACCOUNT	A	Int./Div.	J	T					
4. CHASE INVESTMENT SERVICES MONEY MARKET ACCT.	A	Int./Div.	K	T					
5. TRUST #2 "ALAN B. JOHNSON PREMARITAL REVOCABLE TRUST" (H)									
6. - ANB BANK	A	Int./Div.	N	T					
7. -WELLS FARGO	A	Int./Div.	J	T					
8. ANB BANK - [REDACTED] ACCT.	A	Int./Div.	K	T					
9. TRUST #3 [REDACTED] TRUST" (H)									
10. - FIDELITY BROKERAGE ACCT. MONEY MARKET ACCT.	A	Int./Div.	J	T					
11. - BARCLAYS BK PLC DJUBS CMDT	A	Int./Div.	K	T	Buy	12/02/19	K		
12. - CREDIT SUISSE COMMON RETURN STRATEGY A	A	Int./Div.	J	T	Buy (add'l)	01/17/19	J		
13.					Buy (add'l)	05/09/19	J		
14.					Buy (add'l)	07/08/19	J		
15.					Buy (add'l)	10/03/19	J		
16. - DFA INTERNATIONAL VECTOR EQUITY PORT	B	Int./Div.	L	T	Buy (add'l)	01/04/19	J		

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 P3 =\$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	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	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
2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	
3 Value Method Codes (See Column C2)					

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☐ 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)
17.					Buy (add'l)	05/09/19	J		
18.					Buy (add'l)	09/05/19	J		
19. - DFA COMMODITY STRATEGY PORT INSTL	A	Int./Div.			Sold	11/29/19	K	A	
20. -DFA US CORE EQUITY II	B	Int./Div.	L	T					
21. - DFA EMERGING MRKTS CORE EQU PORTF	A	Int./Div.	K	T	Buy (add'l)	08/08/19	J		
22. - FIDELITY REAL ESTATE INDEX FUND	A	Int./Div.	J	T					
23. - FIDELITY EMERGING MARKETS INDEX FUND	A	Int./Div.	J	T	Buy (add'l)	05/09/19	J		
24.					Buy (add'l)	05/16/19	J		
25.					Sold (part)	08/08/19	J	A	
26.					Buy (add'l)	10/03/19	J		
27. - FIDELITY INTERNATL INDEX FUND	A	Int./Div.	J	T	Sold (part)	05/09/19	J	A	
28.					Buy (add'l)	08/08/19	J		
29. - FIDELITY INTERMEDIATE MUNI INCOME	A	Int./Div.	J	T	Buy (add'l)	03/21/19	J		
30.					Buy (add'l)	07/08/19	J		
31.					Buy (add'l)	10/17/19	J		
32. - FIDELITY US BOND INDEX FUND	A	Int./Div.	M	T	Buy (add'l)	02/21/19	J		
33.					Buy (add'l)	03/07/19	J		

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2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	
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34.					Buy (add'l)	04/04/19	J		
35.					Buy (add'l)	04/18/19	J		
36.					Buy (add'l)	07/08/19	J		
37.					Buy (add'l)	07/18/19	J		
38.					Buy (add'l)	09/19/19	J		
39.					Buy (add'l)	11/07/19	J		
40.					Buy (add'l)	12/05/19	J		
41.					Buy (add'l)	12/19/19	J		
42. - FIDELITY TOTAL MARKET INDEX FUND	A	Int./Div.	J	T	Buy (add'l)	06/06/19	J		
43. - ISHARES TR INTL. DEVELOPED REAL ESTATE ETF	A	Int./Div.			Buy (add'l)	05/10/19	J		
44.					Buy (add'l)	10/04/19	J		
45.					Sold	12/09/19	J	A	
46. - PIMCO HIGH YIELD ADMINISTRATIVE SHS	A	Int./Div.	J	T	Buy (add'l)	02/07/19	J		
47.					Buy (add'l)	04/04/19	J		
48.					Sold (part)	06/20/19	J	A	
49.					Buy (add'l)	10/03/19	J		
50.					Buy (add'l)	12/05/19	J		

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51. - VANGUARD INDEX FDS VANGUARD REIT ETF	A	Int./Div.	J	T					
52. - VANGUARD GLOBAL REAL	A	Int./Div.	J	T					
53. - VANGUARD HI YIELD CORPORATE ADMIRAL	C	Int./Div.	L	T	Buy (add'l)	06/20/19	J		
54. - VANGAURD INTERMEDIATE TAX EXEMPT ADMIRAL	A	Int./Div.	L	T					
55. - VANGUARD WHITEHALL FUNDS EMERGING MKT	C	Int./Div.	L	T	Buy (add'l)	03/08/19	J		
56.					Buy (add'l)	07/09/19	J		
57.					Buy (add'l)	10/04/19	J		
58.					Buy (add'l)	12/06/19	J		
59. - VANGUARD INTL EQUITY INDEX FDS GLOBAL	A	Int./Div.	J	T	Buy	12/09/19	J		
60. - PWRSHRS RAFI US 1000	A	Int./Div.	J	T					
61. - PWRSHRS RAFI US 1500	A	Int./Div.	J	T					
62. NEW YORK LIFE INS WHOLE LIFE	A	Int./Div.	M	T					
63. WYOMING DEFERRED COMP (H)									
64. - WRS LARGE CAP US EQUITY FUND	A	Int./Div.	K	T	Redeemed (part)	12/31/19	J		RETIREMENT DIST.
65. - WRS INTERNATIONAL EQUITY FUND	A	Int./Div.	K	T	Redeemed (part)	12/31/19	J		RETIREMENT DIST.
66. - WRS SMALL/MID CAP US EQUITY FUND	A	Int./Div.	N	T	Redeemed (part)	12/31/19	K		RETIREMENT DIST.
67. XCEL ENERGY	B	Int./Div.	L	T					

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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)
68. AXA EQUITABLE LIFE INS COMPANY - WHOLE LIFE	A	Int./Div.	J	T					
69. UNITED STATES AUTOMOBILE ASSOC.	A	Int./Div.	J	T					
70. LOAN OAK FUND, LLC	E	Int./Div.	N	T					

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

Cheyenne Regional Medical Center is the local hospital organization. The provision of nursing and care services to patients in their home is one of the services provided through Cheyenne Regional Medical Center. As part of the concern for the quality of patient care, members of the public as well as medical professionals have been placed on an advisory board, which meets periodically.

Young Mens' Literary Club is a small organization (less than 50 including honoray and emeriti) that meets weekly during the fall, winter and spring to discuss current events and review assigned papers. The organization has existed for the past 110 years. The Secretary/Treasurer receives nominal dues for rent of the meeting room and keeps meeting minutes that are deposited and preserved in the State Archives.

The American Heritage Center of the University of Wyoming functions as a public trust to collect, preserve and make accessible "a clearly defined set of primary sources and rare books - reflecting the written image, and audio history of Wyoming, the Rocky Mountain region, and selected aspects of the American past." (From mission statement of AHC). Reporting party was invited to serve a 4 year term.

Trust #1 contains financial investments listed on schdule VII that I believe are the sole financial interest of the trust. No portion of the trust is derived from my assets, income or activities. During 2010, I became successor trustee of the trust and have therefore listed on Schedule VII. I am not an income or prinicipal beneficiary of the trust, however, my two beneficiaries are beneficiaries of the trust. During the reporting period I did not derive or expect to derive a benefit from the trust.

Trust #2 and Trust #3 were created to implement premarital and estate planning. It is anticipated that additional assets will be placed in the trusts in the future. Trust #2 holds and controls items listed on Schedule VII, bank accounts at ANB Bank and Wells Fargo National Bank. Trust #3 holds and controls items listed on Schedule VII.

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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/ Alan B. Johnson

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