

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

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) Fenner, Gary A.	2. Court or Organization US Court Western District of Missouri	3. Date of Report 05/27/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Senior District Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2020 to 12/31/2020
5b. ☒ Amended Report		
7. Chambers or Office Address Charles Evans Whittaker U.S. Courthouse 400 E. 9th Street 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. _____	_____
2. _____	_____
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. 2020	State of MO retirement benefits. I have no control in regard to this agreement.
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.	2020	State of MO retirement	\$81,450.72
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.	2020	State of MO retirement
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.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.	Herzog Contracting Corp.	Transportation to Cabo San Lucas MX	\$1,000.00
2.	Michael Ketchmark	Lodging Cabo San Lucas MX	\$1,000.00
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.			
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) 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. Alphabet Inc Cl C		None	K	T					
2. Amazon.com Inc		None	N	T	Sold (part)	03/23/20	K	E	
3. Amazon.com Inc		None			Sold (part)	04/13/20	J	D	
4. Amazon.com Inc		None			Sold (part)	05/15/20	J	D	
5. American Funds New Economy A	C	Dividend	M	T					
6. Amgen Inc	A	Dividend	K	T	Sold (part)	01/27/20	J	B	
7. Amgen Inc		None			Sold (part)	04/13/20	J	A	
8. Applied Materials Inc 3.900% Due 10-01-25	B	Int./Div.	L	T					
9. Archer Daniels Midland Co	A	Dividend	K	T					
10. AT&T Inc	B	Dividend	K	T	Buy (add'l)	12/11/20	J		
11. Bank Hawaii Corp	A	Dividend	J	T					
12. Bank New York Mellon Corp	A	Dividend	K	T	Buy (add'l)	01/27/20	J		
13. Bank New York Mellon Corp		None			Buy (add'l)	05/15/20	J		
14. Bank of America Corp 3.500% Due 04-19-26	A	Int./Div.	L	T	Buy	08/18/20	L		
15. Berkshire Hathaway Inc Del Cl B New		None	K	T	Buy (add'l)	01/24/20	J		
16. Berkshire Hathaway Inc Del Cl B New		None			Buy (add'l)	05/15/20	J		
17. Boeing Co Com		None			Sold (part)	01/24/20	J	C	

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	

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18. Boeing Co Com		None			Sold	01/27/20	J	C	
19. Broadcom LTD	A	Dividend	K	T					
20. Capital One Finl Corp	A	Dividend	J	T	Sold (part)	01/24/20	J	A	
21. Carrier Global Corp		None			Spinoff (from line 110)	04/03/20	J		
22. Carrier Global Corp		None			Sold	05/15/20	J		
23. Centerpoint Energy Inc Com	A	Dividend			Buy (add'l)	01/24/20	J		
24. Centerpoint Energy Inc Com		None			Buy (add'l)	01/27/20	J		
25. Centerpoint Energy Inc Com		None			Sold (part)	03/20/20	J		
26. Centerpoint Energy Inc Com		None			Sold	03/23/20	J		
27. Centerpoint Energy Inc Conv Pfd 7%	A	Dividend	J	T					
28. Chevron Corp	B	Dividend	K	T	Buy (add'l)	03/20/20	J		
29. Chevron Corp		None			Buy (add'l)	03/23/20	J		
30. Cisco Sys Inc	A	Dividend	K	T					
31. Columbia MO Wtr & Elec Rev Ref & Impt Sys 3.000% Due 10-01-24	A	Int./Div.	K	T					
32. ConocoPhillips	A	Dividend			Sold	03/20/20	J		
33. Corteva Inc	A	Dividend	J	T					
34. Crossingbridge Low Dur Hi Yld Instl	C	Dividend	L	T	Sold (part)	11/24/20	J		

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		
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(See Column C2)	U =Book Value	V =Other	W =Estimated		

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35. Curaleaf Holdings Inc		None	K	T	Buy	12/02/20	K		
36. CVS Caremark Corp Com	B	Dividend	K	T	Sold (part)	01/27/20	J	A	
37. CVS Caremark Corp Com		None			Buy	12/11/20	J		
38. Darden Restaurants Inc Com	A	Dividend	K	T	Buy	04/13/20	J		
39. Diageo PLC ADR	A	Dividend	K	T					
40. Dow Inc	A	Dividend	J	T	Buy (add'l)	03/23/20	J		
41. DuPont de Nemours Inc	A	Dividend			Sold	03/20/20	J		
42. Eaton Corp Com	A	Dividend	J	T					
43. Emerson Elec Co	A	Dividend	K	T	Buy	08/12/20	J		
44. Emerson Elec Co		None			Buy (add'l)	08/13/20	J		
45. Exxon Mobil Corp	A	Dividend			Sold (part)	03/20/20	J		
46. Exxon Mobil Corp		None			Sold	03/23/20	J		
47. Federated Hermes Inc	B	Dividend	K	T	Buy (add'l)	05/15/20	J		
48. Fedex Corp	A	Dividend	K	T	Buy (add'l)	01/24/20	J		
49. Fedex Corp		None			Sold (part)	12/11/20	J	B	
50. First Horizon Natl Corp Com	A	Dividend	J	T					
51. General Dynamics Corp 3.875% Due 7-15-21	A	Int./Div.	K	T					

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52. Genuine Parts Co Com	A	Dividend	K	T	Buy	04/13/20	J		
53. Genuine Parts Co Com		None			Buy (add'l)	12/11/20	J		
54. Hasbro Inc	A	Dividend	J	T	Buy	04/17/20	J		
55. Hasbro Inc		None			Buy (add'l)	04/21/20	J		
56. Henkel AG & Co KGAA Sponsored ADR	A	Dividend	K	T	Buy (add'l)	01/24/20	J		
57. Henkel AG & Co KGAA Sponsored ADR		None			Buy (add'l)	01/27/20	J		
58. IBM	B	Dividend	K	T					
59. Intel Corp	A	Dividend	K	T					
60. iShares 1-3 Year Treasury Bond ETF	A	Dividend	K	T	Buy	03/20/20	J		
61. iShares 1-3 Year Treasury Bond ETF		None			Buy (add'l)	03/23/20	K		
62. iShares MSCI EAFE ETF	B	Dividend	L	T					
63. iShares MSCI EAFE Growth ETF	B	Dividend	M	T					
64. iShares Tr Barclays 7-10 Yr Treas Bd Fd	A	Dividend			Sold	03/20/20	K	B	
65. iShares US Utilities ETF	A	Dividend	K	T	Buy	03/20/20	J		
66. iShares US Utilities ETF		None			Buy (add'l)	03/23/20	J		
67. Jackson Cnty MO Cons Sch Dist #2 Raytown Ref MO Dir Dep Program 4.000%	B	Int./Div.	K	T					
68. Jacobs Engineering Group Inc	A	Dividend	J	T	Sold (part)	03/10/20	J	B	

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69. Johnson & Johnson	A	Dividend	J	T					
70. JPMorgan Chase & Co	B	Dividend	L	T					
71. KeyCorp New Com	A	Dividend			Sold (part)	03/20/20	J		
72. KeyCorp New Com		None			Sold	03/23/20	J		
73. KLA Corp	A	Dividend	K	T	Sold (part)	01/27/20	J	A	
74. KLA Corp		None			Sold (part)	08/12/20	J	A	
75. KLA Corp		None			Sold (part)	12/11/20	J	A	
76. KLA Corp		None			Sold (part)	12/14/20	J	D	
77. Kohls Corp Com		None			Sold	03/10/20	J		
78. Laboratory Corp Amer Hldgs		None	J	T	Sold (part)	08/12/20	J	A	
79. Medtronic PLC	A	Dividend	K	T					
80. Merck & Co Inc	A	Dividend	K	T					
81. Microsoft Corp	A	Dividend	K	T	Sold (part)	08/12/20	J	A	
82. Molson Coors Beverage Co	A	Dividend	K	T	Sold (part)	08/13/20	J		
83. Molson Coors Beverage Co		None			Buy (add'l)	12/11/20	J		
84. Molson Coors Beverage Co		None			Buy (add'l)	12/14/20	J		
85. Monsanto	A	Int./Div.			Sold	03/26/20	K		

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86. Munich Re Group ADR	A	Dividend	K	T	Sold (part)	01/27/20	J	B	
87. NBC Universal Media LLC	A	Int./Div.			Sold	09/10/20	K	B	
88. NCR Corp New Com		None	J	T					
89. Nextera Energy Inc	A	Dividend	J	T	Sold (part)	03/20/20	J	B	
90. Nextera Energy Inc		None			Sold (part)	08/12/20	J	A	
91. Norfolk Southn Corp Com	A	Dividend	K	T	Buy	08/12/20	J		
92. Norfolk Southn Corp Com		None			Buy (add'l)	08/13/20	J		
93. Novartis AG Sponsored ADR	A	Dividend	J	T					
94. Nucor Corp 4.000% Due 08-01-23	B	Int./Div.	L	T					
95. Omnicom Group	A	Dividend	K	T	Sold (part)	08/13/20	J		
96. Omnicom Group		None			Buy (add'l)	12/14/20	J		
97. Oracle Corp 2.950% Due 11-15-24	A	Int./Div.	K	T					
98. Otis Worldwide Corp	A	Dividend	J	T	Spinoff (from line 110)	04/03/20	J		
99. Otis Worldwide Corp		None			Sold (part)	05/12/20	J		
100. Otis Worldwide Corp		None			Buy (add'l)	05/15/20	J		
101. Paychex Inc Com	A	Dividend			Sold	03/23/20	J		
102. Pfizer Inc	A	Dividend	K	T					

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(See Column C2)	Q =Appraisal U =Book Value				

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103. Pfizer Inc 2.200% Due 12-15-21	B	Int./Div.	L	T					
104. Phillips 66	A	Dividend	J	T	Buy (add'l)	03/23/20	J		
105. PPL Corp Com	A	Dividend			Sold	03/23/20	J		
106. Procter & Gamble Co	A	Dividend	K	T					
107. Prudential Financial Inc	B	Dividend	K	T					
108. Qualcomm Inc 3.000% Due 05-20-22	A	Int./Div.	K	T					
109. Quest Diagnostics Inc	A	Dividend	K	T					
110. Raytheon Com New	A	Dividend			Sold (part)	01/27/20	J	A	
111. Raytheon Com New		None			Closed	04/03/20	J		
112. Raytheon Technologies Corp	A	Dividend	K	T	Spinoff (from line 110)	04/03/20	K		
113. Raytheon Technologies Corp		None			Sold (part)	05/11/20	J		
114. Regions Finl Corp New Com	A	Dividend			Sold (part)	03/20/20	J		
115. Regions Finl Corp New Com		None			Sold	03/23/20	J		
116. Riverpark Strategic Income Institutional	B	Dividend	K	T					
117. Royal Bk Cda Montreal Que ADR	B	Dividend	K	T					
118. Royal Dutch Shell PLC ADR	A	Dividend	J	T	Buy	03/20/20	J		
119. Royal Dutch Shell PLC ADR B	A	Dividend	J	T	Buy	03/23/20	J		

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	

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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)
120. Schlumberger LTD	A	Dividend			Sold	03/10/20	J		
121. Sonoco Prods Co Com	A	Dividend	K	T	Buy	03/20/20	J		
122. Sonoco Prods Co Com		None			Buy (add'l)	03/23/20	J		
123. SPDR S&P MidCap 400 ETF Tr Unit Ser 1 Stan	A	Dividend	L	T					
124. SPDR S&P Regional Banking ETF	A	Dividend			Buy	03/20/20	J		
125. SPDR S&P Regional Banking ETF		None			Buy (add'l)	03/23/20	J		
126. SPDR S&P Regional Banking ETF		None			Sold	05/15/20	K	A	
127. St Charles MO Neighborhood Impt Dist 2.500% Due 03-01-23	A	Int./Div.	K	T					
128. Store Capital Corp	A	Dividend			Sold (part)	03/20/20	J		
129. Store Capital Corp		None			Sold	03/23/20	J		
130. Target Corp	A	Dividend	K	T	Sold (part)	05/15/20	J	B	
131. Thermo Fisher Scientific Corp	A	Dividend	J	T	Sold (part)	01/24/20	J	B	
132. Thermo Fisher Scientific Corp		None			Sold (part)	08/12/20	J	B	
133. Thornburg International Value I	A	Dividend	K	T					
134. Total SA ADR	A	Dividend			Sold	03/23/20	J		
135. Tweedy Browne Global Value	A	Dividend	K	T					
136. Undiscovered Mgrs Behavioral Value Inst	A	Dividend	K	T	Buy (add'l)	05/18/20	J		

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		

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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)
137. Undiscovered Mgrs Behavioral Value Inst		None			Sold (part)	08/13/20	K		
138. United Parcel Services Cl B	A	Dividend	K	T					
139. United Technologies Corp Com	A	Dividend			Closed	04/03/20	J		
140. Viatris Inc		None	J	T	Spinoff (from line 102)	11/17/20	J		
141. Viatris Inc		None			Sold (part)	12/23/20	J	A	
142. Vodafone Group PLC ADR	A	Dividend	J	T					
143. Walmart Inc	A	Dividend	K	T	Sold (part)	01/24/20	J	A	
144. Walmart Inc		None			Sold (part)	04/13/20	J	B	
145. Walt Disney Co	A	Dividend	K	T					
146. Wells Fargo & Co	A	Dividend	J	T					
147. Wells Fargo Short-Term Hi Yld Bd Inst	C	Dividend	L	T	Buy (add'l)	11/24/20	J		
148. Wentzville MO Sch Dist #R-4 Ref MO Direct Dep Program 4.000% Due 03-01	B	Int./Div.	K	T					
149. Zurich Insurance Group AG ADR	A	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		

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

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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/ **Gary A. Fenner**

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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