

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) Crabtree, Daniel D.	2. Court or Organization U.S. District Court, District of Kansas	3. Date of Report 08/13/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Active Status	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 1/1/2020 to 12/31/2020
	5b. ☐ Amended Report	
7. Chambers or Office Address Daniel D. Crabtree United States District Court, District of Kansas Robert J. Dole Courthouse, 500 State Avenue Kansas City, Kansas 66101		
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. _____	_____
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.		
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	Salary, employment by Unified Government of Wyandotte County/Kansas City, Kansas
2. 2020	Director's Fees, paid for service as Director of Lead Bank
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.	David Kiersznowski	guest at various college basketbll games	\$1,350.00
2.	Demi Lloyd	guest at YMCA Camp	\$1,050.00
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)	(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. Citigroup Inc. Com New	A	Dividend	J	T					
2. Eaton Vance Large-Cap Value Fund	A	Distribution	K	T					
3. Eaton Vance Tax-Managed Growth Fund	A	Distribution	J	T					
4. Energy Transfer Partners LP	B	Distribution	J	T					
5. Fidelity Advisor New Insights Fund	E	Distribution	N	T					
6. Evergy (f/k/a Great Plains Energy, Inc.)	A	Dividend	J	T					
7. Growth Fund of America	B	Distribution	L	T					
8. Intel Corp	A	Dividend	K	T					
9. Invesco American Franchise Fund	D	Distribution	L	T					
10. Invesco Charter Fund	A	Distribution	J	T	Sold (part)	03/11/20	K	A	
11. Invesco Gloabl Growth Fund (f/k/a Global Small & Mid Cap Growth)	B	Dividend	K	T					
12. Learning Quest Aggressive Track: Moderate Portfolio (529)		None	M	T					
13. Targa Resources Corp	A	Dividend	K	T					
14. Country Club Bank (cash accounts)	A	Interest	N	T					
15. United Missouri Bank, n.a. (Health Savings Account)	A	Interest	J	T					
16. Dreyfus Govt Money Mkt (f/k/a Federated Captial Reserves)	A	Int./Div.	N	T					
17. AT&T Inc. Com	B	Dividend	K	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	

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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)
18. Alibaba Group SHS ADR		None	K	T					
19. Apple Inc Com	B	Dividend	M	T					
20. KKR & Co LP Del Com Units	A	Distribution	K	T					
21. Kinder Morgan Inc Del Com	A	Dividend	J	T					
22. Oppenheimer Senior Floating Rate Fund	A	Dividend			Sold	03/30/20	K	A	
23. Oppenheimer Steelpath MLP Alpha	A	Dividend			Sold	03/27/20	J	A	
24. Talmer Bank & Trust (FDIC insured deposit)	A	Interest	L	T					
25. Country Club Wealth Solutions (FDIC insured deposit)	A	Interest	M	T					
26. Transamerica Life Insurance Company (Flexible Premium Universal Life)	A	Interest	K	T					
27. Fidelity Advisor Large Cap Stock Fund	D	Distribution	L	T					
28. Fidelity Advisor (Focus) Health Care Fund	D	Distribution	L	T					
29. Fidelity Advisor Consumer Staples Fund	A	Distribution			Sold	03/13/20	K	A	
30. Fidelity Advisor Energy Fund	A	Dividend			Sold	03/31/20	J	A	
31. Fidelity Advisor International Capital Appreciation Fund	A	Dividend	K	T					
32. Fidelity Advisor International Growth Fund	A	Dividend	L	T					
33. Fidelity Advisor Mid Cap Value Fund	B	Dividend	L	T					
34. Amercan Funds New Perspective Fund	B	Distribution	L	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	

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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. American Funds Balanced Fund	A	Dividend	K	T					
36. Calamos Strategic Total Return Fund	B	Dividend	K	T					
37. BlackRock Equity Dividend Fund	B	Dividend	K	T					
38. AllianzGI NFJ Dividend International & Premium Strategy Fund	B	Dividend	K	T					
39. Kraneshares TR China A ETF	A	Distribution	K	T					
40. Wisdom Tree Emerging Markets High Dividend Fund ETF	A	Distribution	J	T					
41. Vanguard Mid Cap Growth Investment Fund (X)	A	Dividend	J	T					
42. Western Asset Emerging Markets Fund	B	Dividend	J	T					
43. Select Sector SPDR Fund	A	Dividend	K	T					
44. Lead Bank (cash account)		None	J	T					
45. First Trust Exchange Traded Fund II Tech Alphas	A	Dividend			Sold	07/16/20	M	D	
46. First Trust Exchange Traded Fund VI Rising Dividend Achievers	B	Dividend			Sold	07/30/20	M	D	
47. Invesco Exchange Traded Fund TR S & P	A	Dividend			Sold	03/11/20	L	A	
48. I-Shares TR Edge MSCI USA Size Factor ETF	A	Dividend			Sold	03/10/20	L	A	
49. SPDR Series TR Bloomberg Barclays US Conversion Bond Index	B	Dividend			Sold	09/10/20	M	D	
50. Vanguard World Fund Mega Cap GR ETF	A	Dividend			Sold	08/27/20	M	D	
51. Morgan Stanley China	B	Dividend	K	T					

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(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	
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52. First Trust Unit 8026 Value Dividend Opportunity Portfolio	B	Dividend			Sold	07/08/20	K	A	
53. First Trust Unit 7920 Global Deep Value Dividend Portfolio	B	Dividend			Sold	06/22/20	K	A	
54. Morgan Stanley Preferred Series Floating Rate	A	Dividend	K	T	Buy	09/28/20	K		
55. Goldman Sachs Group Preferred Series D Floating Mty	A	Dividend	K	T	Buy	09/28/20	K		
56. Adams Diversitfied Equity Fund	A	Dividend	K	T	Buy	12/04/20	K		
57. Guggenheim Enhanced Equity Income Fund	A	Dividend	J	T	Buy	12/04/20	J		
58. Nuveen Real Asset Income and Growth Fund	B	Dividend	J	T	Buy	12/04/20	J		
59. Tekla Life Sciences	A	Dividend	K	T	Buy	11/06/20	K		
60. Tekla Healthcare	B	Dividend	K	T	Buy	12/04/20	K		
61. Invesco Exchange Traded Trust S&P Midcap Momentum	A	Dividend	L	T	Buy	10/03/20	L		
62. SPDR Series Trust S&P 400 Midcap ETF	A	Dividend	M	T	Buy	11/09/20	M		
63. Wisdom Tree U.S. Midcap Fund	A	Dividend	L	T	Buy	11/23/20	L		
64. Cohen and Steers Quality Income Realty Fund	A	Dividend	J	T	Buy	06/18/20	J		
65. First Trust Unit 8720 Dow Target	B	Dividend	K	T	Buy	06/19/20	K		
66. Goldman Sachs Trust Access Treasury ETF	A	Dividend	L	T	Buy	06/18/20	L		
67. SPDR Series Tr S & P Dividend EFT	B	Dividend	L	T	Buy	11/16/20	L		
68. First Trust Exchange Traded Fund VI Rising Dividend Achievers	B	Dividend	M	T	Buy	11/04/20	M		

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69. SPDR Series TR Bloomberg Barclays US Conversion Bond Index	B	Dividend	L	T	Buy	10/27/20	L		

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

In Part VII, line 16 of my 2019 Annual Report, I listed Federated Capital Reserves as one of my holdings. It combined with Dreyfus Government Cash Management during 2020, so that combined holding is reported as Dreyfus Government Cash Management on line 16 of this 2020 Annual Report.

Part V, line 1: The aggregate gift amount shown on this line was provided by a close personal friend and the appearance by him (or any of his companies or associated foundations) in any matter assigned to me would require that I take no official action with respect to the matter. Both the individual and his associated entities are listed on my recusal list and have been so listed since I was appointed. The amount shown in part V consists of the value of outings to college sporting events, some together and others involving use of tickets he holds. Some but not all of these outings included [REDACTED], who are personal friends of Mr. Kiersznowski and his children.

Part V, line 2: The aggregate gift amount shown on this line was provided by a close personal friend and the appearance by her (or any of her companies or associated foundations) in any matter assigned to me would require that I take no official action with respect to the matter. Both the individual and her associated entities are listed on my recusal list and have been so listed since I was appointed. The amount shown in part V consists of the value of sharing a cabin with Ms. Lloyd and her daughter at a YMCA Camp where [REDACTED] (who are close friends of Ms. Lloyd and her daughter) and I vacationed as guests of Ms. Lloyd and her daughter. While we contributed supplies to help defray the cost of this shared experience, I do not believe they offset our share of this cabin and so I have made this disclosure.

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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/ **Daniel D. Crabtree**

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