

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) James, Teresa J.	2. Court or Organization U.S. District Court for the District of Kansas	3. Date of Report 08/09/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Magistrate Judge (FT)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2020 to 12/31/2020
7. Chambers or Office Address Robert J. Dole United States Courthouse 500 State Ave Kansas City, KS 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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Board Member and President Elect	Federal Bar Association, Kansas Chapter
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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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	Asbury United Methodist Church (salary)
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.				

Name of Person Reporting	Date of Report
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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) 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. Individual Assets (H)									
2. Commerce Bank Accounts (cash)	A	Interest	J	T					
3. Goldman Sachs (cash)	A	Interest	K	T					
4. Account #1 (H)									
5. Vanguard Prime Money Market Fund (VMMXX) (cash equiv)	A	Dividend	J	T					
6. Vanguard Balanced Index Admiral Cl (VBIAX)	A	Dividend	L	T	Buy	11/23/20	K		
7. Vanguard Intermediate Term Bond Index Admiral Cl (VBILX)	A	Dividend	K	T	Buy	11/23/20	K		
8. Vanguard Total Bond Market Index Fund (VBTIX)	C	Dividend	M	T					
9. Vanguard 500 Index Fund Admiral (VFIAX)	D	Dividend	N	T					
10. Vanguard Intermediate Term Invest Grade Investor Cl (VFICX)	A	Dividend	K	T	Buy	11/23/20	K		
11. Vanguard Long Term Treasury Index Admiral Cl (VLGSX)	A	Dividend	K	T	Buy	11/23/20	K		
12. Vanguard Total International Bond Index Admiral (VTABX) (X)	A	Dividend	J	T	Sold (part)	11/23/20	L		
13. Vanguard Total Intl Stock Index Adm (VTIAX)	C	Dividend	M	T					
14. Account #2 (H)									
15. Vanguard Federal Money Market Fund (VMFXX) (cash)	A	Dividend	L	T					
16. Alphabet Inc Cl C (GOOG)		None			Sold (part)	01/09/20	J		
17.					Buy (add'l)	02/24/20	K		

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	

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)
18.					Buy (add'l)	04/14/20	K		
19.					Sold (part)	07/13/20	K		
20.					Sold (part)	10/21/20	K		
21.					Sold (part)	11/02/20	J		
22.					Sold	11/04/20	K		
23. Alphabet Inc Cl A (GOOGL)		None			Sold (part)	01/09/20	J		
24.					Buy (add'l)	02/24/20	K		
25.					Buy (add'l)	04/14/20	K		
26.					Sold (part)	06/23/20	J		
27.					Sold (part)	10/21/20	K		
28.					Sold (part)	11/02/20	J		
29.					Sold	11/04/20	K		
30. Amazon.Com Inc (AMZN)		None	N	T	Sold (part)	01/09/20	K		
31.					Sold (part)	02/07/20	K		
32.					Buy (add'l)	02/24/20	K		
33.					Sold (part)	03/18/20	K		
34.					Sold (part)	03/19/20	K		

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	
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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)	(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.					Sold (part)	04/13/20	K		
36.					Sold (part)	04/23/20	J		
37.					Sold (part)	06/09/20	K		
38.					Sold (part)	06/11/20	J		
39.					Sold (part)	06/23/20	K		
40.					Sold (part)	07/13/20	J		
41.					Buy (add'l)	07/23/20	M		
42.					Buy (add'l)	09/23/20	K		
43.					Buy (add'l)	11/02/20	K		
44. Apple Inc (AAPL)	A	Dividend	K	T	Buy	04/14/20	J		
45.					Sold (part)	06/10/20	J		
46.					Sold (part)	06/22/20	J		
47.					Sold (part)	06/23/20	J		
48.					Sold (part)	07/07/20	J		
49.					Sold (part)	07/13/20	J		
50.					Buy (add'l)	09/23/20	J		
51. AT&T Inc (T)	B	Dividend	J	T					

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☐ NONE (No reportable income, assets, or transactions.)

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52. Duke Energy Corp New (DUK)	A	Dividend	K	T					
53. Exxon Mobil Corp (XOM)	B	Dividend	J	T	Sold (part)	11/02/20	J		
54. Facebook Inc (FB)		None	J	T	Buy	04/14/20	J		
55.					Sold (part)	06/09/20	J		
56.					Sold (part)	06/23/20	J		
57.					Sold (part)	07/07/20	J		
58. Oneok Inc New (OKE)	B	Dividend	J	T					
59. Account #3 (H)									
60. Vanguard 500 Index Admiral CI (VFIAX)	B	Dividend	L	T					
61. Account #4 (H)									
62. American Funds American Balanced Fund A (ABALX)		None	K	T					
63. Account #5 (H)									
64. Stable Value Fund (SVF) (cash equiv)	A	Interest	K	T					
65. Fixed Income Fund (FIF)		None	M	T	Sold (part)	03/31/20	J		
66.					Buy (add'l)	06/19/20	J		
67.					Buy (add'l)	12/18/20	J		
68. Extended Term Fixed Income Fund (ETFIF)		None	L	T	Sold (part)	03/31/20	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
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69.					Buy (add'l)	06/19/20	J		
70.					Buy (add'l)	12/18/20	J		
71. Multiple Asset Fund (MAF)		None	L	T					
72. U.S. Equity Fund (USEF)		None	M	T	Buy (add'l)	03/31/20	J		
73.					Sold (part)	06/19/20	J		
74.					Sold (part)	12/18/20	J		
75. International Equity Fund (IEF)		None	M	T	Buy (add'l)	03/31/20	J		
76.					Sold (part)	06/19/20	J		
77.					Sold (part)	12/18/20	J		
78. Account #6 (H)									
79. Apple Inc Com (AAPL)	A	Dividend	J	T					
80. AT&T Inc Com (T)	A	Dividend	J	T					
81. Duke Energy Holdings Corp Com (DUK)	A	Dividend	J	T					
82. Energy Transfer LP (ET)	A	Dividend	J	T	Buy (add'l)	04/14/20	J		
83. Magellan Midstream Partners (MMP)	A	Dividend	J	T					
84. Williams Companies Inc Com (WMB)	A	Dividend	J	T	Buy (add'l)	03/11/20	J		
85. Account #7 (H)									

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3 Value Method Codes (See Column C2)					

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86. Vanguard Target Retirement 2025 Investor CI (VTTVX)	A	Dividend	J	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
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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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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value, per page 42 of the filing instructions.

Part VII, line 3: This item was inadvertently omitted from my prior 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/ **Teresa J. James**

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