

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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 (Kansas)	3. Date of Report 05/15/2015
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Magistrate Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2014 to 12/31/2014
7. Chambers or Office Address Robert J. Dole United States Courthouse 500 State Ave, Rm 208 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.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Board Member	Kansas Appleseed Foundation
2.	Board Member	Kansas Continuing Legal Education Commission
3.		
4.		
5.		
6.		

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.)*

DATE

SOURCE AND TYPE

INCOME

(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.)*

DATE

SOURCE AND TYPE

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.)*

SOURCE

DATES

LOCATION

PURPOSE

ITEMS 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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE 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. Vanguard Sep-IRA									
2. 500 Index Fund (VFIAX)	A	Dividend	K	T	Buy	04/10/14	J		
3. Emerging Markets Stock Index Fund (VEIEX)	A	Dividend	J	T					
4. Extended Market Index Fund Admiral (VEXAX)	A	Dividend	K	T					
5. Intermediate-Term Investment-Grade (VFICX)	A	Dividend	J	T					
6. Prime Money Market (VMMXX)	A	Interest	M	T					
7. REIT Index (VGSIX)	A	Dividend	J	T					
8. Strategic Equity Fund (VSEQX)	B	Dividend	K	T					
9. Vanguard Windsor II Fund (VWNFX)	C	Dividend	K	T					
10. AT&T(T)	A	Dividend	J	T	Buy (add'l)	07/31/14	J		
11. Cerner(CERN)		None	K	T	Buy (add'l)	04/10/14	J		
12.					Buy (add'l)	03/19/14	K		
13. ConocoPhillips (COP)	B	Dividend	K	T					
14. Google(GOOG)		None	J	T	Buy (add'l)	10/09/14	J		
15.					Buy (add'l)	08/14/14	K		
16.					Buy (add'l)	07/31/14	K		
17.					Buy (add'l)	04/10/14	J		

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

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18. Microsoft(MSFT)	A	Dividend	J	T					
19. Phillips 66(PSX)	A	Dividend	J	T	Buy (add'l)	10/09/14	J		
20.					Sold (part)	04/17/14	J		
21. Exxon Mobil(XOM)	B	Dividend	L	T					
22. Apple(AAPL)	A	Dividend			Sold	05/29/14	J		
23.					Sold (part)	05/27/14	J		
24.					Sold (part)	05/19/14	K		
25.					Buy (add'l)	04/10/14	J		
26. Johnson & Johnson (JNJ)	A	Dividend			Sold	05/13/14	J		
27. Williams Companies (WMB)	A	Dividend			Sold	05/13/14	J		
28. Ameritrade-General Brokerage									
29. Google(Goog)		None	J	T					
30. Google(Googl)		None	J	T	Buy (add'l)	07/31/14	J		
31.					Donated (part)				
32. Atlas Pipeline(APL)	A	Distribution	J	T	Buy (add'l)	01/31/14	J		
33. Kinder Morgan, Inc (KMI)	A	Distribution	J	T	Buy (add'l)	07/31/14	J		
34.					Buy (add'l)	02/06/14	J		

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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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35. Money Market	A	Interest	J	T					
36.									
37. Nationwide-IRA									
38. SDBA Apple(aapl)	A	Dividend	J	T					
39. SDBA Google(Googl)		None	L	T					
40. SDBA Google(Goog)		None	J	T					
41. SDBA Money Market	A	Interest	K	T					
42. American Funds Income Fd Am R6		None	L	T					
43. JPM MdCap Val A		None	M	T					
44. Oppenheimer Devel arket A		None	M	T					
45.									
46.									

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

Notes re Section VII Investments and Trusts:

The Nationwide IRA listed in this section is part of my former employer/law firm Martin, Pringle, Oliver, Wallace & Bauer, LLP's retirement plan. To avoid any potential conflict of interest as a result of this IRA or as a result of the compensation mentioned in the above Note re Section II., all members of the Martin Pringle firm are on my recusal list and will be for at least 2 years from when I came on the Bench. I am in the process of rolling over the Nationwide IRA to a self-directed IRA; that process will be completed well before the recusal period runs.

All assets listed on lines 2 - 27 are or were held in my Vanguard Sep-IRA. All assets listed on lines 29 - 35 are held in my Ameritrade General Brokerage account. And, all assets listed on lines 38-44 are held in my Nationwide IRA. Further, all stocks listed are common stocks.

The Kinder Morgan, Inc. (KMI) stock listed on line 33 replaces the Kinder Morgan Energy Partners (KMP) stock listed on my previous report, due to a merger/exchange of the two entities

Similarly, the Google (Goog) stock added on line 40 is the result of a spin off from Google (Googl).

Regarding the Sells reflected in Column D, there would be "unrealized (and uncalculated) capital gains, because these transactions occurred within my IRA and were not taxable at the time.

I owned the Lot adjacent to our home, which I did not list on my previous report because it was not held for income or investment purposes (rather it was held simply as a buffer and for aesthetic purposes). However, we are moving to a new home and so I did sell the Lot in 2014 with a capital gain of approximately \$20,000. Again, I have not listed this transaction on this year's report, as I did not consider it to be income generating or investment property.

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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
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