

FINANCIAL DISCLOSURE REPORT INITIAL FILING

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) Cohen, Patricia L.	2. Court or Organization United States District Court, Missouri	3. Date of Report 12/29/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States Magistrate Judge-Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☒ Initial ☐ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2015 to 10/23/2016
7. Chambers or Office Address United States District Court Thomas F. Eagleton United States Courthouse 111 South Tenth Street, Room 9.152 St. Louis, Missouri 63102-1116		
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.	2016	MISSOURI STATE EMPLOYEES' RETIREMENT SYSTEM, WITH FORMER EMPLOYER, BOARDMANAGED ASSET SELECTION
2.		
3.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 8

Name of Person Reporting

Cohen, Patricia L.

Date of Report

12/29/2016

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. 2014	STATE OF MISSOURI, OFFICE OF ADMINISTRATION/DIVISION OF ACCOUNTING-COMPENSATION (MISSOURI COURT OF APPEALS)	\$138,545.09
2. 2015	STATE OF MISSOURI, OFFICE OF ADMINISTRATION/DIVISION OF ACCOUNTING-COMPENSATION (MISSOURI COURT OF APPEALS)	\$148,831.18
3. 2016	MISSOURI STATE EMPLOYEES' RETIREMENT SYSTEM	\$8,162.17
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. 2014-2016	[REDACTED], INC. (SALARY)
2. 2014-2016	[REDACTED], LLC (SELF-EMPLOYED PHYSICIAN)
3. 2014	CM GROUP, LLC (ALEXION PHARMACEUTICALS) (HONORARIUM) \$1500.00
4. 2015	PETERS MARKETING RESEARCH INC. (HONORARIUM) \$975.00
5. 5/31/16	CM GROUP, LLC (ALEXION PHARMACEUTICALS) (HONORARIUM) \$600.00

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. EXEMPT				
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 8

Name of Person Reporting

Cohen, Patricia L.

Date of Report

12/29/2016

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.	EXEMPT		
2.			
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.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 8

Name of Person Reporting

Cohen, Patricia L.

Date of Report

12/29/2016

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. STATE OF MISSOURI DEFERRED COMPENSATION PLAN (H)					Exempt				
2. -PUTNAM INVESTORS A	A	Dividend	K	T					
3. -VT/FIDELITY CONTRAFUND	A	Dividend	M	T					
4. -NEUBERGER BERMAN GENESIS R6	A	Dividend	M	T					
5. -JANUS GLOBAL RESEARCH	A	Dividend	K	T					
6.									
7. CHARLES SCHWAB-ROLLOVER IRA(H)									
8. -SCHWAB MONEY MARKET ACCOUNT	A	Interest	L	T					
9. -SCHWAB INVESTOR MONEY FD	A	Dividend	J	T					
10. -FORWARD SMALL CAP EQUITY	A	Dividend							
11. -WHITE OAK SELECT GROWTH	A	Dividend	L	T					
12.									
13. WELLS FARGO-IRA (H)									
14. -WELLS FARGO SWEEP ACCOUNT	A	Interest	K	T					
15. -GENERAL ELECTRIC COMPANY	B	Dividend	K	T					
16. -DODGE & COX STK FD	B	Dividend	L	T					
17. -PUTNAM INTERNATIONAL CAPITAL OPPORTUNITIES FUND CL C	A	Dividend	J	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		

FINANCIAL DISCLOSURE REPORT

Page 5 of 8

Name of Person Reporting

Cohen, Patricia L.

Date of Report

12/29/2016

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 I (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.									
19. WELLS FARGO ROTH IRA (H)									
20. -WELLS FARGO SWEEP ACCOUNT	A	Interest	J	T					
21.									
22. VANGUARD (H)									
23. VANGUARD PRIME MONEY MARKET FUND	A	Dividend	J	T					
24. -WELLINGTON FUND ADMIRAL	A	Dividend	M	T					
25. -500 INDEX FUND ADM	A	Dividend	M	T					
26.									
27. VANGUARD IRA (H)									
28. -MORGAN GROWTH FUND INV.	A	Dividend	J	T					
29. -VANGUARD PRIME MONEY MKT FD	A	Dividend	J	T					
30.									
31. VANGUARD ROTH IRA (H)									
32. -VANGUARD BALANCED INDEX FUND INV	A	Distribution	J	T					
33. -VANGUARD -STAR FUND	B	Dividend	M	T					
34.									

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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 8

Name of Person Reporting

Cohen, Patricia L.

Date of Report

12/29/2016

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)

35. US BANK IRA (H)									
36. -US BANK CERTIFICATE OF DEPOSIT	A	Interest	J	T					
37.									
38. COMMERCE BANK ACCOUNTS	A	Interest	L	T					
39.									
40.									

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 \$5,000,000	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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 8

Name of Person Reporting

Cohen, Patricia L.

Date of Report

12/29/2016

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

ALL REFERENCES TO 2016 ARE AS OF AND/OR THROUGH 6/30/16.

STATE OF MISSOURI DEFERRED COMP PLAN STATEMENT AS OF JUNE 30, 2016 WAS NOT YET AVAILABLE FOR REPORTING VALUES DUE TO TIMING BETWEEN REPORTING PERIOD DATE AND REPORT FILING DEADLINE. AS REPORTED IN PART VII, AMOUNT IS REPORTED ON ESTIMATED BASIS.

PART III-B HONORARIUM INCOME FOR SPOUSE IS REPORTED IN YEAR RECEIVED. EXACT DATE ASSOCIATED WITH HONORARIUM INCOME RECEIPTS WERE UNAVAILABLE.

PART VIII. IN RESPONSE TO THE STATUTORY CONDITIONS OF 5 U.S.C. APP. SEC 102 (E)(1)(E):

1. MY SPOUSE HAS SOLE FINANCIAL RESPONSIBILITY FOR VARIOUS ASSETS AND I HAVE NO KNOWLEDGE ABOUT THEM.
2. THE SEPARATE ASSETS ARE DERIVED SOLELY FROM MY SPOUSE'S EMPLOYMENT.
3. I DO NOT DERIVE, NOR EXPECT TO DERIVE, ANY FINANCIAL OR ECONOMIC BENEFIT FROM HIS ASSETS
4. WE DO NOT FILE JOINT INCOME TAX RETURNS

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

Cohen, Patricia L.

Date of Report

12/29/2016

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/ Patricia L. Cohen**

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