

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) Freudenthal, Nancy D.	2. Court or Organization District Court - Wyoming	3. Date of Report 04/20/2015
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Active	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 Office of Judge Freudenthal 2120 Capitol Ave. Cheyenne, WY 82001		
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.	Trustee	Trust #1
2.	President	Ewing T. Kerr Inn of Court
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. 2003	State of Wyoming Retirement Plan with former employer, no control, agreement signed in 2003.
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 10

Name of Person Reporting

Freudenthal, Nancy D.

Date of Report

04/20/2015

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. 2014	Crowell & Moring - salary
2. 2014	Arch Coal, Inc. - director income
3. 2014	State of Wyoming - retirement distribution
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. Federal Judges Association	May 3-6, 2014	Washington, DC	Board meeting	transportation, lodging, food
2. Tri-State Federal Bar Association	October 9-11, 2014	Jackson, WY	Tri-State Federal Bar Convention	transportation, lodging, food
3. George Mason University School of Law	September 7-12, 2014	Arlington, VA	Economic Institute for Judges	transportation, lodging, food
4. University of Wyoming Foundation	March 5-8, 2014	Houston, TX	Exploratory meetings attended by [REDACTED] (former governor) for new Institute at UW.	transportation, lodging, food
5. National Governor's Association	November 14-16, 2014	Denver, CO	Attend conference for new governor's [REDACTED].	transportation, lodging, food

FINANCIAL DISCLOSURE REPORT

Page 3 of 10

Name of Person Reporting	Date of Report
Freudenthal, Nancy D.	04/20/2015

6.	State of Wyoming	December 29-30, 2014	Jackson, WY	Attend event [REDACTED] honoring former Tourism Board member.	transportation, lodging, food
----	------------------	-------------------------	-------------	---	-------------------------------

FINANCIAL DISCLOSURE REPORT

Page 4 of 10

Name of Person Reporting

Freudenthal, Nancy D.

Date of Report

04/20/2015

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.	Cheyenne Family YMCA	membership	\$605.00
2.	Maurice Brown	Transportation, food, beverages to attend, as a guest, Denver Bronco game on 12/28/14	\$750.00
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.			

FINANCIAL DISCLOSURE REPORT

Page 5 of 10

Name of Person Reporting

Freudenthal, Nancy D.

Date of Report

04/20/2015

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. Meridian Trust FCU cash account #1	A	Interest	L	T					
2. Ameriprise cash equivalents	A	Int./Div.	K	T					
3. INDZX	A	Dividend	K	T					
4. INUTX	A	Dividend	K	T					
5. RiverSource Life Annuity Non-Qual	A	Int./Div.	M	T					
6. RiverSource Life Annuity IRA	A	Int./Div.	M	T					
7. RiverSource Life Annuity IRA	A	Int./Div.	O	T					
8. Mass Mutual Life Insurance	D	Dividend	M	T					
9. ING Life Insurance	B	Interest	L	T					
10. Stifel Nicolaus Cash Equivalents (Trust #1)	A	Interest	J	T					
11. BMY Stock (Trust #1)	A	Dividend	J	T					
12. GE Stock (Trust #1)	A	Dividend	J	T					
13. HD Stock (Trust #1)?	A	Dividend			Sold	10/23/14	J	C	
14. INTC Stock (Trust #1)	A	Dividend	J	T					
15. PEP Stock (Trust #1)?	A	Dividend			Sold	10/23/14	K	E	
16. TWX Stock (Trust #1)	A	Dividend	J	T					
17. MMM Stock (Trust #1)	A	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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 10

Name of Person Reporting

Freudenthal, Nancy D.

Date of Report

04/20/2015

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)

18. BGR Mutual Fund (Trust #1)	B	Dividend	J	T					
19. EOI Mutual Fund (Trust #1)	B	Dividend	K	T					
20. EOS Mutual Fund (Trust #1)	B	Dividend	K	T					
21. EXG Mutual Fund (Trust #1)	A	Dividend	J	T					
22. ETJ Mutual Fund (Trust #1)	C	Dividend	K	T					
23. KYE Mutual Fund (Trust #1)	B	Dividend	K	T					
24. CWGIX Mutual Fund (Trust #1)	A	Dividend	J	T					
25. TEPLX (Trust #1)	A	Dividend	K	T					
26. ITHAX Mutual Fund (Trust #1)	A	Int./Div.	K	T					
27. LAGWX (Trust #1)	A	Int./Div.	K	T	Sold (part)	10/28/14	J	C	
28. TVAFX (Trust #1)	A	Int./Div.	J	T	Sold (part)	10/23/14	J	A	
29. DOM investment (Trust #1)	A	Dividend			Sold	06/18/14	J	A	
30. UBS Pathfinders treasury & Growth Stock Series 31 (Trust #1)	A	Dividend	K	T					
31. TPINX (Trust #1)	A	Dividend			Sold	10/23/14	J	D	
32. RBSPRM Securities (Trust #1)	A	Dividend	J	T					
33. RBSPRQ Securities (Trust #1)	A	Dividend	J	T					
34. WFCPRJ Securities (Trust #1)	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 \$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 10

Name of Person Reporting

Freudenthal, Nancy D.

Date of Report

04/20/2015

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. Residential property, [REDACTED] Park County, Wyoming (Trust #1)		None	M	S					
36. Rental property, [REDACTED] Park County, Wyoming (Trust #1)	C	Rent	K	S					
37. North Carolina HSG Fin Agy Bonds (Trust #1)	A	Int./Div.			Closed	03/27/14	J		
38. CAIBX mutual fund (Trust #1)	B	Dividend			Closed	03/27/14	J		
39. FITAX mutual fund (Trust #1)	A	Int./Div.			Closed	03/27/14	K		
40. FKINX mutual fund (Trust #1)	B	Dividend			Closed	03/27/14	J		
41. AMECX mutual fund (Trust #1)	A	Int./Div.			Closed	03/27/14	K		
42. Edward Jones Money Market (Trust #1)	A	Interest			Closed	03/27/14	J		
43. Meridian Trust FCU cash account #2	A	Interest	J	T					
44. Ameriprise Active Diversified Alternatives Moderate Portfolio	D	Int./Div.	N	T					
45. HFLAX Mutual Fund (Trust #1)	A	Int./Div.	K	T					
46. Casper WY Cmnty Col. Rev Bonds (Trust #1)	A	Interest			Closed	03/27/14	J		
47. Oregon Trail Bank cash account	A	Interest	J	T					
48. Fid Freedom K 2015	B	Interest	L	T					
49. Arch Coal, Inc. Retirement Account		None	K	T					
50. Jefferies Group Inc New Senior Note (Trust #1)	A	Int./Div.	K	T					
51. Carbon Cty School Dist. GO Bonds (Trust #1)	A	Int./Div.			Closed	03/27/14	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 \$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 8 of 10

Name of Person Reporting

Freudenthal, Nancy D.

Date of Report

04/20/2015

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)

52.	Ameriprise Cash Reserve Certificate	A	Interest	L	T	Buy	01/23/14	K	
53.	Ameriprise DF Active Diversified Alternatives Moderate Portfolio	C	Int./Div.	N	T	Buy	03/03/14	L	
54.					Buy (add'l)	05/15/14	L		
55.					Buy (add'l)	06/15/14	L		
56.					Buy (add'l)	08/15/14	K		
57.									

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 9 of 10

Name of Person Reporting

Freudenthal, Nancy D.

Date of Report

04/20/2015

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

Part V, #1 - I have received an opinion from the Judicial Ethics Committee allowing receipt and use of this membership gift.

Part VII, #35 - The value of the residential property located in [REDACTED] Park County, Wyoming has been estimated using the Park County Assessor's 2015 estimate of fair market value of \$206,802.

Part VII, #36 - The value of the rental property located in [REDACTED] Park County, Wyoming has been estimated using the Park County Assessor's 2015 estimate of fair market value of \$47,174.

Part VII, #37,38,39,40,41, 42, 46 & 51 - These accounts were closed and the investments were transferred out of the trust to an investment account over which I have no trust authority or obligation.

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

Freudenthal, Nancy D.

Date of Report

04/20/2015

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/ **Nancy D. Freudenthal**

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