

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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) Whaley, Robert H.	2. Court or Organization United States District Court	3. Date of Report 06/12/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Senior District Court Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address United States District Court P.O. Box 283 Spokane, WA 99210-0283		
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. University Trustee	Eastern Washington University
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. 2013	Eastern Washington University, Trustee Salary	\$2,520.00
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.	
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.				

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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. Mass Mutual

Loan

K

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. FIDELITY INVESTMENTS ULTRA ACCOUNT:									
2. -Core Cash Account	A	Interest	J	T					
3.									
4. FRANKLIN TEMPLETON:									
5. -Templeton Developing Mkts Trust Mut Fd	A	Dividend	J	T					
6.									
7. BNY MELLON:									
8. -Occidental Petroleum Corp. Common Stock	A	Dividend	J	T					
9.									
10. FIDELITY EDUCATION ACCOUNT:									
11. -NH Aggressive Growth Portfolio (Fidelity FDS) (See VIII)		None	J	T	Buy (add'l)	01/31/13	J		
12.					Buy (add'l)	02/28/13	J		
13.					Buy (add'l)	04/01/13	J		
14.					Buy (add'l)	04/30/13	J		
15.					Buy (add'l)	05/30/13	J		
16.					Buy (add'l)	06/28/13	J		
17.					Buy (add'l)	07/31/13	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 \$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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18.					Buy (add'l)	08/30/13	J		
19.					Buy (add'l)	09/30/13	J		
20.					Buy (add'l)	10/31/13	J		
21.					Buy (add'l)	11/29/13	J		
22.					Buy (add'l)	12/31/13	J		
23.									
24. FIDELITY EDUCATION ACCOUNT:									
25. -NH Aggressive Growth Portfolio (Fidelity FDS) (See VIII)		None	J	T	Buy (add'l)	01/31/13	J		
26.					Buy (add'l)	02/28/13	J		
27.					Buy (add'l)	04/01/13	J		
28.					Buy (add'l)	04/30/13	J		
29.					Buy (add'l)	05/30/13	J		
30.					Buy (add'l)	06/28/13	J		
31.					Buy (add'l)	07/31/13	J		
32.					Buy (add'l)	08/30/13	J		
33.					Buy (add'l)	09/30/13	J		
34.					Buy (add'l)	10/31/13	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 \$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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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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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.					Buy (add'l)	11/29/13	J		
36.					Buy (add'l)	12/31/13	J		
37.									
38. FIDELITY EDUCATION ACCOUNT:									
39. -NH Aggressive Growth Portfolio (Fidelity FDS) (See VIII)		None	J	T	Buy (add'l)	01/31/13	J		
40.					Buy (add'l)	02/28/13	J		
41.					Buy (add'l)	04/01/13	J		
42.					Buy (add'l)	04/30/13	J		
43.					Buy (add'l)	05/30/13	J		
44.					Buy (add'l)	06/28/13	J		
45.					Buy (add'l)	07/31/13	J		
46.					Buy (add'l)	08/30/13	J		
47.					Buy (add'l)	09/30/13	J		
48.					Buy (add'l)	10/31/13	J		
49.					Buy (add'l)	11/29/13	J		
50.					Buy (add'l)	12/31/13	J		
51.									

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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52. FIDELITY EDUCATION ACCOUNT:									
53. -NH Aggressive Growth Portfolio (Fidelity FDS) (See VIII)		None	J	T	Buy (add'l)	01/31/13	J		
54.					Buy (add'l)	02/28/13	J		
55.					Buy (add'l)	04/01/13	J		
56.					Buy (add'l)	04/30/13	J		
57.					Buy (add'l)	05/30/13	J		
58.					Buy (add'l)	06/28/13	J		
59.					Buy (add'l)	07/31/13	J		
60.					Buy (add'l)	08/30/13	J		
61.					Buy (add'l)	09/30/13	J		
62.					Buy (add'l)	10/31/13	J		
63.					Buy (add'l)	11/29/13	J		
64.					Buy (add'l)	12/31/13	J		
65.									
66. FIDELITY INVESTMENTS IRA:									
67. -General Electric Common Stock	A	Dividend	K	T					
68. -Fidelity New Markets Income Mutual Fund	A	Dividend			Sold	07/23/13	K	E	

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	
3. Value Method Codes (See Column C2)					

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69. -Sprtn Total Mkt Indx FID Advantage Class Mutual Fund	B	Dividend	M	T	Buy	07/23/13	M		
70. -Fidelity Four in One Index Mutual Fund	D	Dividend	N	T					
71. -Dreyfus Internat'l Bond Fund Cl 1 Mutual Fund	A	Dividend			Sold	06/03/13	K	D	
72. -First Eagle Global Class A Mutual Fund	C	Dividend	M	T					
73. -Vanguard Star Investor Class Mutual Fund	A	Dividend			Sold	07/23/13	M	D	
74. -Vanguard Wellington Mutual Fund	D	Dividend	M	T					
75. -Fidelity Cash Reserve	A	Dividend	J	T					
76.									
77. FIDELITY INVESTMENTS:									
78. -Amgen Inc. Common Stock	A	Dividend	K	T					
79. -The Ben Franklin Fed S&L Ass'n Common Stock		None			Distributed	04/29/13	J		
80. -Johnson & Johnson Common Stock	A	Dividend	J	T					
81. -Zimmer Holdings Inc. Common Stock	A	Dividend	J	T					
82. -Fidelity Canada Mutual Fund		None			Sold	07/24/13	J		
83. -Fidelity New Markets Income Mutual Fund	A	Dividend			Sold	07/22/13	J		
84. -Fidelity Capital & Income Mutual Fund	A	Dividend			Sold	04/30/13	K		
85. -Sprtn Total Mkt Indx FID Advantage Class Mutual Fund	A	Dividend	K	T	Buy	07/24/13	K		

1. Income Gain Codes: (See Columns B1 and D4)	A –\$1,000 or less F –\$50,001 - \$100,000 J –\$15,000 or less N –\$250,001 - \$500,000 P1 –\$25,000,001 - \$50,000,000	B –\$1,001 - \$2,500 G –\$100,001 - \$1,000,000 K –\$15,001 - \$50,000 O –\$500,001 - \$1,000,000	C –\$2,501 - \$5,000 H1 –\$1,000,001 - \$5,000,000 L –\$50,001 - \$100,000 P1 –\$1,000,001 - \$5,000,000 P4 –More than \$50,000,000	D –\$5,001 - \$15,000 H2 –More than \$5,000,000 M –\$100,001 - \$250,000 P2 –\$5,000,001 - \$25,000,000	E –\$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	Q –Appraisal U –Book Value	R –Cost (Real Estate Only) V –Other	S –Assessment W –Estimated	T –Cash Market	

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86. -Fidelity Low-Priced Stock Mutual Fund	D	Dividend	M	T					
87. -Fidelity Strategic Income Mutual Fund	A	Dividend			Sold	04/30/13	J		
88. -Oakmark Global Fund I Mutual Fund	A	Dividend			Sold	04/30/13	J	A	
89. -Vanguard Balanced Index Investor Class Mutual Fund	C	Dividend	M	T					
90. -Vanguard Wellington Investor Mutual Fund	E	Dividend	N	T					
91. -Fidelity Cash Reserves	A	Interest	K	T					
92.									
93. FIDELITY INVESTMENTS IRA:									
94. -Fidelity Cash Reserves	A	Interest	J	T					
95. -Fidelity New Markets Income Mutual Fund	B	Dividend	K	T					
96. -Sprtn Total Mkt Indx FID Advantage Class Mutual Fund	A	Dividend	L	T	Buy	07/24/13	L		
97. -Fidelity Capital & Income Mutual Fund	A	Dividend	J	T					
98. -Fidelity Strategic Income Mutual Fund	B	Dividend	K	T					
99. -Dreyfus Int'l Bond Fund Mutual Fund	A	Dividend	K	T					
100. -Oakmark Equity & Income Mutual Fund		None			Sold	07/23/13	L	D	
101.									
102. Bank of America Money Market Fund	A	Interest	L	T					

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P1 = \$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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103. Ltd. Partner, Deming & Ass., Roswell, NM (HUD) Project)(See VIII)		None			Distributed		J		
104.									
105. MassMutual: GP Life at 69	A	Int./Div.	K	T					
106.									
107. MassMutual: Whole Life		None	L	T					
108.									
109. New York Life:		None	J	T					
110.									
111. CBSS, LLC		None			Sold	12/19/13	K		
112. CBSSKII, LLC		None	K	U	Buy	12/19/13	K		
113.									
114. FIDELITY ROTH IRA (Y):									
115. -Oakmark Global Fund Mutual Fund (Y)									
116. -Cash Reserves (Y)									
117.									
118.									
119.									

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120. FIDELITY GENERAL INVESTMENTS (Y):									
121. -Fidelity Canada Mutual Fund (Y)									
122. -Fidelity Total Bond Mutual Fund (Y)									
123. -Fidelity Strategic Income Mutual Fund (Y)									
124. -Vanguard Wellington Investor Mutual Fund (Y)									
125. -Cash (Y)									
126.									
127. WELLS FARGO:									
128. -American Balanced Fund Mutual Fund	B	Dividend	L	T					
129. -Capital Income Builder Mutual Fund	A	Dividend	K	T					
130. -Income Fund of America Mutual Fund	A	Dividend	K	T					
131. -Investment Company of America Mutual Fund	D	Dividend	M	T					
132. -Cash	A	Int./Div.	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 -\$250,000,001 - \$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

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Name of Person Reporting

Whaley, Robert H.

Date of Report

06/12/2014

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

Page 4, Line 11: Name of fund was corrected from 100% Equity Contribution to Aggressive Growth Portfolio.

Page 5, Line 25: Name of fund was corrected from 100 % Equity Contribution to Aggressive Growth Portfolio.

Page 6, Line 39: Name of fund was corrected from 100% Equity Contribution to Aggressive Growth Portfolio.

Page 7, Line 53: Name of fund was corrected from 100% Equity Contribution to Aggressive Growth Portfolio.

Page 10, Line 103, listing as Ltd Partner, Deming & Ass., Roswell, NM (HUD Project): This entry should have been listed in the 2012 report as distributed in December 2012, Value J, at a loss. It will not be listed next year.

FINANCIAL DISCLOSURE REPORT

Page 13 of 13

Name of Person Reporting

Whaley, Robert H.

Date of Report

06/12/2014

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/ **Robert H. Whaley**

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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