

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) Johnston, John T.	2. Court or Organization United States District Court, Montana	3. Date of Report 05/03/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States Magistrate Judge - Full Time	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address United States Courthouse 125 Central Avenue West, Suite 311 Great Falls, Montana 59404		
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	Joyce & MacDonald Retirement Plan with former law firm, no control.
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. 2016	United States District Court, Montana - Salary	\$186,897.01
2. 2016	72(t) distributions from Rollover IRA #1	\$30,540.00
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. 2016	Montana Tech of the University of Montana - 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.				

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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.			
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.			

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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. First Montana Bank Savings and Checking Account	A	Interest	K	T					
2. Brokerage Account #1									
3. - Abbott (common stock)	A	Dividend	J	T					
4. - Abbvie (common stock)	A	Dividend	J	T					
5. - Apple (common stock)	A	Dividend	K	T					
6. - Chevron (common stock)	A	Dividend			Sold	04/20/16	J	B	
7. - Coca-Cola (common stock)	A	Dividend	J	T					
8. - Intel (common stock)	A	Dividend	J	T					
9. - Stifel Insured Bank Program	A	Interest	J	T	Distributed (part)	04/20/16	J	A	
10. Roth IRA #1									
11. - Clearbridge Aggressive Growth (mutual fund)		None	J	T					
12. Roth IRA #2									
13. - Clearbridge Aggressive Growth (mutual fund)		None	J	T					
14. Brokerage Account #2									
15. - Apple (common stock)	A	Dividend	K	T					
16. - Royal Alliance Associates Money Market	A	Int./Div.	J	T	Distributed (part)	01/08/16	J	A	
17. - Goldman Sachs (common stock)	A	Dividend	K	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		

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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 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. - Ishares TR Core S&P 500 (mutual fund)	A	Dividend	J	T					
19. - Ishares Russell 2000 (mutual fund)	A	Dividend	J	T					
20. - Ishares TR S&P 100 (mutual fund)	A	Dividend	J	T					
21. - Ishares Select Dividend (mutual fund)	A	Dividend	J	T					
22. - Microsoft (common stock)	A	Dividend	J	T					
23. 401K #1									
24. - Oakmark International II (mutual fund)		None			Sold	03/17/16	L	D	
25. - ClearBridge Small Cap A (mutual fund)		None			Sold	03/17/16	L	E	
26. - Thompson Bond Fund (mutual fund)		None			Sold	03/17/16	L	B	
27. - Great-West Templeton Global Bond Fund (mutual fund)		None			Sold	03/17/16	L	A	
28. - Invesco International Growth Fund (mutual fund)		None			Sold	03/17/16	K	C	
29. - American Century Mid Cap Value	A	Dividend			Sold	03/17/16	M	A	
30. - Alger Capital Appreciation Inst. I (mutual fund)		None			Sold	03/17/16	M	E	
31. - BlackRock Equity Dividend A (mutual fund)		None			Sold	03/17/16	L	E	
32. - Franklin High Income R (mutual fund)	B	Dividend			Sold	03/17/16	L	A	
33. - Prudential Jennison Mid Cap Growth A (mutual fund)		None			Sold	03/17/16	K	D	
34. - RidgeWorth Large Cap Value Equity I (mutual fund)		None			Sold	03/17/16	M	E	

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	
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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) 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. - Great-West Lifetime 2035 Fund II (mutual fund)		None			Sold	03/17/16	M	E	
36. 403(b) #1									
37. - TIAA Traditional (mutual fund)	A	Interest	J	T					
38. - CREF Stock (mutual fund)		None	K	T					
39. - CREF Growth (mutual fund)		None	K	T					
40. - CREF Equity Index (mutual fund)		None	K	T					
41. - CREF Global Equities (mutual fund)		None	K	T					
42. - T-C Small Cap Blend (mutual fund)	A	Dividend	J	T					
43. - T-C Mid Cap Value (mutual fund)	A	Dividend	J	T					
44. - CREF Bond Fund		None	J	T					
45. 403(b) #2									
46. - Valic Blue Chip Growth Fund (mutual fund)		None	K	T					
47. - Valic Large Cap Core (mutual fund)		None	K	T					
48. - Vanguard Windsor II (mutual fund)		None	K	T					
49. - Valic Small Cap Fund (mutual fund)		None	K	T					
50. - Valic Emerging Economies Fund (mutual fund)		None	J	T					
51. - Valic International Growth Fund (mutual fund)		None	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	

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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				
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52. - Vanguard Wellington Fund (mutual fund)		None	K	T					
53. - Valic Strategic Bond Fund (mutual fund)		None	J	T					
54. Rollover IRA #1									
55. - Royal Alliance Brokerage Money Market	A	Interest	J	T	Buy	03/23/16	P1		
56.					Distributed (part)	04/20/16	M		
57.					Distributed (part)	04/20/16	M		
58.					Distributed (part)	05/25/16	J		
59.					Distributed (part)	06/07/16	N		
60.					Distributed (part)	06/07/16	L		
61.					Distributed (part)	06/07/16	K		
62.					Distributed (part)	06/07/16	L		
63.					Distributed (part)	06/07/16	L		
64.					Distributed (part)	06/07/16	K		
65.					Buy (add'l)	08/16/16	J		
66.					Distributed (part)	08/25/16	J		
67.					Buy (add'l)	11/15/16	J		
68.					Distributed (part)	11/25/16	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. - Vanguard Wellesley Income Fund Investor Shares (mutual fund)	C	Int./Div.	N	T	Buy	06/07/16	N		
70.					Sold (part)	11/10/16	J		
71. - Vanguard Growth Index Fund Investor Shares (mutual fund)	B	Int./Div.	L	T	Buy	06/07/16	L		
72.					Sold (part)	08/12/16	J		
73. - T Rowe Price Small Cap Value Shares (mutual fund)	A	Int./Div.	M	T	Buy	06/07/16	L		
74. - Pioneer Bond Fund Class A (mutual fund)	B	Int./Div.	K	T	Buy	06/07/16	K		
75. - Oakmark Global Select Fund Class I	A	Int./Div.	M	T	Buy	06/07/16	L		
76. - Nicholas Equity Income Fund Class I	B	Int./Div.	L	T	Buy	06/07/16	L		
77. - American Funds New World Class F-1	A	Int./Div.	K	T	Buy	06/07/16	K		
78. - American Funds American Balanced Fund Class F-1	C	Int./Div.	M	T	Buy	06/07/16	M		
79.					Sold (part)	11/10/16	J		
80. Rollover IRA #2									
81. - Ascent Bancorp		None	L	T	Buy	04/20/16	M		
82.									
83.									
84.									
85.									

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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86.									
87.									
88.									
89.									
90.									
91.									
92.									
93.									
94.									
95.									

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

In Part VII, in relation to the 401K #1, 403(b) #1, 403 (b) #2, Roth IRA #1 and Roth IRA #2, these retirement and investment funds, with the exception of the fund listed on line 37, do not credit income to the individual accounts but instead report a "unit value" to participants. For those funds where no income is reported as having been credited to my accounts, Column B(1) is blank and "None" is entered on Column B(2).

In Part VII, 401K #1 was rolled over to form Rollover IRA #1. Part of Rollover IRA #1 was then transferred to establish Rollover IRA #2. 401K #1 no longer has any assets.

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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/ **John T. Johnston**

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