

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) Whaley, Robert H.	2. Court or Organization United States District Court	3. Date of Report 04/06/2017
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 01/01/2016 to 12/31/2016
7. Chambers or Office Address United States District Court 920 W. Riverside, 8th Floor Spokane, WA 99201		
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

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.)

DATE

PARTIES AND TERMS

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. 2016	Eastern Washington University, Trustee Salary	\$2,137.00
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. 2016	Washington State Parks & Recreation Commission, State Board Commission Member
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.)

	SOURCE	DESCRIPTION	VALUE
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.)

	CREDITOR	DESCRIPTION	VALUE CODE
1.	Mass Mutual	Loan	K
2.	Mass Mutual	Loan	K
3.	Bank of America (See VIII)	Loan/Line of Credit	K
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. -4-NH Aggressive Growth Portfolio (Fidelity FDS) (no control)		None	K	T					
12.									
13. FIDELITY INVESTMENTS IRA:									
14. -Fidelity Total Mkt Ind Premium Class Mutual Fd (see VIII)	C	Dividend	M	T	Sold (part)	01/07/16	J	A	
15.					Sold (part)	02/08/16	J	A	
16.					Sold (part)	03/08/16	J	A	
17.					Sold (part)	04/06/16	J	A	

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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☐ 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.					Sold (part)	05/06/16	J	A	
19.					Sold (part)	06/08/16	J	A	
20.					Sold (part)	07/06/16	J	A	
21.					Sold (part)	08/08/16	J	A	
22.					Sold (part)	09/07/16	J	A	
23.					Sold (part)	10/06/16	J	A	
24.					Sold (part)	11/08/16	J	A	
25.					Sold (part)	12/07/16	J	A	
26.	-Fidelity Four in One Index Mutual Fund	D	Dividend	N T	Sold (part)	01/07/16	J	A	
27.					Sold (part)	02/08/16	J	A	
28.					Sold (part)	03/08/16	J	A	
29.					Sold (part)	04/06/16	J	A	
30.					Sold (part)	05/06/16	J	A	
31.					Sold (part)	06/08/16	J	A	
32.					Sold (part)	07/06/16	J	A	
33.					Sold (part)	08/08/16	J	A	
34.					Sold (part)	09/07/16	J	A	

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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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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35.					Sold (part)	10/06/16	J	A	
36.					Sold (part)	11/08/16	J	A	
37.					Sold (part)	12/07/16	J	A	
38. -First Eagle Global Class A Mutual Fund	C	Dividend	L	T	Sold (part)	01/11/16	J	A	
39.					Sold (part)	02/10/16	J	A	
40.					Sold (part)	03/10/16	J	A	
41.					Sold (part)	04/08/16	J	A	
42.					Sold (part)	05/10/16	J	A	
43.					Sold (part)	06/10/16	J	A	
44.					Sold (part)	07/08/16	J	A	
45.					Sold (part)	08/10/16	J	A	
46.					Sold (part)	09/09/16	J	A	
47.					Sold (part)	10/11/16	J	A	
48.					Sold (part)	11/10/16	J	A	
49.					Sold (part)	12/09/16	J	A	
50. -Vanguard Wellington Investor Mutual Fund	D	Dividend	M	T	Sold (part)	01/07/16	J	A	
51.					Sold (part)	02/08/16	J	A	

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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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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52.					Sold (part)	03/08/16	J	A	
53.					Sold (part)	04/08/16	J	A	
54.					Sold (part)	05/06/16	J	A	
55.					Sold (part)	06/08/16	J	A	
56.					Sold (part)	07/06/16	J	A	
57.					Sold (part)	08/08/16	J	A	
58.					Sold (part)	09/07/16	J	A	
59.					Sold (part)	10/06/16	J	A	
60.					Sold (part)	11/08/16	J	A	
61.					Sold (part)	12/07/16	J	A	
62. -Fidelity Cash Reserve	A	Dividend	J	T					
63.									
64. FIDELITY INVESTMENTS:									
65. -Amgen Inc. Common Stock	A	Dividend	K	T					
66. -Johnson & Johnson Common Stock	A	Dividend	J	T					
67. -Zimmer Holdings Inc. Common Stock	A	Dividend	J	T					
68. -Fidelity Total Mkt Index Premium Cl Mutual Fund (See VIII)	A	Dividend	K	T					

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69. -Fidelity Low-Priced Stock Mutual Fund	C	Dividend	M	T					
70. -Vanguard Balanced Index Investor Class Mutual Fund	C	Dividend	N	T					
71. -Vanguard Wellington Investor Mutual Fund	E	Dividend	N	T					
72. -Fidelity Cash Reserves	A	Interest	J	T					
73.									
74. FIDELITY INVESTMENTS IRA:									
75. -Fidelity Cash Reserves		Interest	J	T					
76. -Fidelity New Markets Income Mutual Fund	B	Dividend	K	T					
77. -Fidelity Total Market Index Premium Class Mutual Fund (see VIII)	B	Dividend	L	T					
78. -Fidelity Capital & Income Mutual Fund	A	Dividend	J	T					
79. -Fidelity Strategic Income Mutual Fund	A	Dividend	K	T					
80. -Dreyfus Int'l Bond Fund Mutual Fund	A	Dividend	K	T					
81.									
82. Bank of America Accounts (see VIII)	A	Interest	K	T					
83.									
84. MassMutual: GP Life at 69		None	L	T					
85.									

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86. MassMutual: Whole Life		None	L	T					
87.									
88. New York Life: Whole Life		None	J	T					
89.									
90. CBSSKII, LLC	D	Distribution	J	U					
91.									
92. WELLS FARGO:									
93. -American Balanced Fund Mutual Fund	C	Dividend	L	T					
94. -Capital Income Builder Mutual Fund	A	Dividend	K	T					
95. -Income Fund of America Mutual Fund	A	Dividend	K	T					
96. -Investment Company of American Mutual Fund	D	Dividend	M	T					
97. -Wells Fargo Cash Sweep Account	A	Interest	J	T					
98.									
99. Mineral Interest, Sutter County, CA		None	J	W					
100.									

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

Page 3, Section VI: Liabilities: The Bank of America loan/line of credit listed in the past will not be listed in the future because it is for a personal residence.

Page 4, Line 14: Fund name changed from Spartan Total Market Index FID Advantage Class Mutual Fund to Fidelity Total Market Index Premium Class Mutual Fund.

Page 7, Line 68: Fund name changed from Spartan Total Market Index FID Advantage Class Mutual Fund to Fidelity Total Market Index Premium Class Mutual Fund.

Page 8, Line 77: Fund name changed from Spartan Total Market Index FID Advantage Class Mutual Fund to Fidelity Total Market Index Premium Class Mutual Fund.

Page 8, Line 82: Bank of America accounts previously listed separately will be listed in aggregate in the future as all assets are held in the same financial institution.

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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/ 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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544