

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) Wimes, Brian C.	2. Court or Organization District Court Judge for the Western District of Missouri	3. Date of Report 05/15/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. 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 U.S. Courthouse 400 E. 9th Street Room 7652 Kansas City, MO 64106		
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. Board Member	National Courts and Science Institute (NCSI)
2. Board Member	Lawyers Encouraging Academic Performance (L.E.A.P)
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 7

Name of Person Reporting

Wimes, Brian C.

Date of Report

05/15/2017

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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE AND TYPE

1. 2016

Ogltree, Deakins, Nash, Smoak & Stewart, PC - 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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED1. National Bar Association
Commercial Law Section

Febuary 18-20, 2016

Scottsdale, Arizona

Corporate Counsel meeting

Transportation, Hotel, Meal

2. _____

3. _____

4. _____

5. _____

FINANCIAL DISCLOSURE REPORT

Page 3 of 7

Name of Person Reporting

Wimes, Brian C.

Date of Report

05/15/2017

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.	Southwest Visa	Credit Card	K
2.	Marriott Rewards	Credit Card	K
3.	EdFinancial Services	Educational Loan	L
4.	American Education Service	Educational Loan	K
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 7

Name of Person Reporting

Wimes, Brian C.

Date of Report

05/15/2017

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. Mazuma Credit Union -Cash Account #1	A	Interest	J	T					
2. Mazuma Credit Union- Cash Account #2	A	Interest	J	T					
3. Community America Credit Union-Cash Account	A	Interest	J	T					
4. Missouri 2030	A	Dividend	J	T					
5. Vanguard 529- Aggressive Plan	A	Dividend	J	T					
6. Vanguard 529-Moderate Plan	A	Dividend	J	T					
7. AF Europac Growth -Mutual Fund	A	Dividend	K	T					
8. AF Fundamental Inve-Mutual Fund (see part VIII)		None							
9. AF Grth Fund Amer-Mutual Fund	B	Dividend	K	T					
10. Eagle SM Cap Grth-Mutual Fund	A	Dividend	J	T					
11. Fid Retire MMkt-Mutual Fund (see part VIII)		None							
12. Fid ToT Mkt idx Ins- Mutual Fund (see part VIII)	A	Dividend	K	T					
13. Harpor Cap Appr Inst- Mutual Fund	A	Dividend	J	T					
14. Opp Developing Mkt-Mutual Fund	A	Dividend	J	T					
15. Pimco Tot Return Admin-Mutual fund (see part VIII)		None	J	T					
16. Royce PA Mutual Inv-Mutual Fund (see part VIII)		None							
17. Sptn tot Mkt Idx Adv- Mutual Fund (see part VIII)		None	J	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 5 of 7

Name of Person Reporting

Wimes, Brian C.

Date of Report

05/15/2017

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. Vanguard Windsor II ADM_Mutual Fund	A	Dividend	J	T					
19. Vang Mid Cap Idx Sig-Mutual Fund (see part VIII)		None	J	S					
20. Hartford Cap App IA-Mutual Fund (see part VIII)	A	Dividend	J	T					
21. Vang Wellington ADM-Blend Fund (see part VIII)	D	Dividend	M	T					
22. Metwest TOT RTN BD-Bond (see part VIII)	A	Interest	J	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 7

Name of Person Reporting

Wimes, Brian C.

Date of Report

05/15/2017

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

Part VII Investments and Trust

Item #2 Inadvertantly left off the 2015 Report (First reported in 2014)

Item #8 Has reflected on my past reports incorrectly. The reported amounts were/are correct, but it should have been listed as AF Growth Fund Amer (See item #9)

Item# 11 This asset should only have been reflected up to and including the 2014 report. (seeking inquiry from investment firm on final disposition of the fund)

Item #12 I was unaware of this asset and it was inadvertantly left off my previous reports.

Item# 15 This asset should not have been reflected on the 2015 report. It was exchanged in August of 2014.

Item #16 This asset should only have been reflected on the 2012 and 2013 report. (seeking inquiry from the investment firm on the final disposition of the fund)

Item # 17 This asset should not have been reflected on the 2015 report. It was exchanged in August of 2014.

Item #19 This asset should not have been reflected on the 2015 report. It was exchanged in August of 2014.

Item#20 I was unaware of this asset and it was inadvertatly left off my previous reports.

Item #21 I was unaware of this asset and it was inadvertatly left off my previous reports.

Item #22 I was unaware of this asset and it was inadvertatly left off my previous reports.

FINANCIAL DISCLOSURE REPORT

Page 7 of 7

Name of Person Reporting

Wimes, Brian C.

Date of Report

05/15/2017

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/ **Brian C. Wimes**

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