

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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 12/03/2018
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 01/01/2017 to 12/31/2017
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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. University Trustee	Eastern Washington University (term expired 9-30-17)
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.)*

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. 2017	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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
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.

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 (H):									
2. -Core Cash Account	A	Interest	J	T					
3.									
4. FRANKLIN TEMPLETON (H):									
5. -Templeton Developing Mkts Trust Mut Fd		None			Sold	04/13/17	J	B	
6.									
7. BNY MELLON (H):									
8. -Occidental Petroleum Corp. Common Stock	A	Dividend			Sold	08/03/17	J		
9.									
10. FIDELITY EDUCATION ACCOUNT (H):									
11. -4-NH Aggressive Growth Portfolio (Fidelity FDS) (no control)		None	L	T					
12.									
13. FIDELITY INVESTMENTS IRA (H):									
14. -Fidelity Total Mkt Ind Premium Class Mutual Fd	D	Dividend	M	T	Sold (part)	03/30/17	J	A	
15.					Sold (part)	04/26/17	J	A	
16.					Sold (part)	05/30/17	J	A	
17.					Sold (part)	06/28/17	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	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
(See Column C2)	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
	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 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)	07/28/17	J	A	
19.					Sold (part)	08/30/17	J	A	
20.					Sold (part)	09/28/17	J	A	
21.					Sold (part)	10/12/17	J	A	
22.					Sold (part)	11/14/17	J	A	
23.					Sold (part)	12/11/17	J	A	
24. -Fidelity Four in One Index Mutual Fund	D	Dividend	N	T	Sold (part)	03/30/17	J	A	
25.					Sold (part)	04/27/17	J	A	
26.					Sold (part)	05/30/17	J	A	
27.					Sold (part)	06/28/17	J	A	
28.					Sold (part)	07/28/17	J	A	
29.					Sold (part)	08/30/17	J	A	
30.					Sold (part)	09/28/17	J	A	
31.					Sold (part)	10/12/17	J	A	
32.					Sold (part)	11/14/17	J	A	
33.					Sold (part)	12/11/17	J	A	
34. -First Eagle Global Class A Mutual Fund	C	Dividend	L	T	Sold (part)	04/03/17	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	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000	R = Cost (Real Estate Only)	P4 = More than \$50,000,000	S = Assessment	T = Cash Market
(See Column C2)	Q = Appraisal	V = Other	W = Estimated		
	U = Book Value				

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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)

35.					Sold (part)	05/01/17	J	A	
36.					Sold (part)	06/01/17	J	A	
37.					Sold (part)	06/30/17	J	A	
38.					Sold (part)	08/01/17	J	A	
39.					Sold (part)	09/01/17	J	A	
40.					Sold (part)	09/29/17	J	A	
41.					Sold (part)	10/13/17	J	A	
42.					Sold (part)	11/15/17	J	A	
43.					Sold (part)	12/12/17	J	A	
44.	-Vanguard Wellington Investor Mutual Fund	D	Dividend	M	T	Sold (part)	03/30/17	J	A
45.					Sold (part)	04/27/17	J	A	
46.					Sold (part)	05/30/17	J	A	
47.					Sold (part)	06/28/17	J	A	
48.					Sold (part)	07/28/17	J	A	
49.					Sold (part)	08/30/17	J	A	
50.					Sold (part)	09/28/17	J	A	
51.					Sold (part)	10/13/17	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	P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	L = \$50,001 - \$100,000 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.					Sold (part)	11/14/17	J	A	
53.					Sold (part)	12/11/17	J	A	
54. -Fidelity Cash Reserve	A	Dividend	J	T					
55.									
56. FIDELITY INVESTMENTS (H) (see VIII):									
57. -Fidelity Govt Cash Reserves	A	Interest	M	T					
58. -Fidelity Total Mkt Index Premium CI Mutual Fund	C	Dividend	M	T	Sold (part)	09/29/17	J	A	
59.					Sold (part)	10/31/17	J	A	
60.					Sold (part)	11/24/17	J	C	
61.					Sold (part)	11/30/17	J	A	
62.					Sold (part)	12/29/17	J	A	
63. -Vanguard Bal'd Index Investor CI Mutual Fund	D	Dividend	N	T					
64. -Vanguard Wellington Investor Mutual Fund	E	Dividend	N	T					
65. -Vanguard High Dividend Index Fd Investor CI Mutual Fund	D	Dividend	M	T					
66. -Fidelity Capital & Income Mutual Fund	A	Dividend	J	T					
67. -Fidelity Strategic Income Mutual Fund	A	Dividend	K	T					
68. -Amgen Inc. Common Stock	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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = More than \$50,000,000
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69. -Johnson & Johnson Common Stock	A	Dividend	K	T					
70. -Fidelity New Markets Income Mutual Fund	A	Dividend			Sold	06/09/17	K	D	
71. -Dreyfus Int'l Bond Fund Mutual Fund		None			Sold	06/09/17	K		
72. -Zimmer Holdings Inc. Common Stock	A	Dividend			Sold	06/13/17	J	A	
73.									
74. Bank of America Cash Accounts (See VIII)	A	Interest	K	T					
75.									
76. MassMutual: Paid-Up Whole Life (See VIII)	A	Interest	L	T					
77.									
78. MassMutual: Whole Life		None	L	T					
79.									
80. New York Life: Whole Life		None	J	T					
81.									
82. CBSSKII, LLC	B	Distribution	J	U					
83.									
84. WELLS FARGO (H):									
85. -American Balanced Fund Mutual Fund	C	Dividend	L	T	Sold (part)	06/09/17	J	A	

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86.					Sold (part)	08/03/17	J	B	
87. -Capital Income Builder Mutual Fund	A	Dividend	J	T	Sold (part)	02/06/17	J		
88.					Sold (part)	06/09/17	J		
89.					Sold (part)	08/03/17	J		
90. -Income Fund of America Mutual Fund	A	Dividend	K	T	Sold (part)	06/09/17	J	A	
91.					Sold (part)	08/03/17	J	A	
92. -Investment Company of American Mutual Fund	D	Dividend	M	T	Sold (part)	04/13/17	J	A	
93.					Sold (part)	06/09/17	J	A	
94.					Sold (part)	08/03/17	J	A	
95.					Sold (part)	11/29/17	K	B	
96. -Wells Fargo Cash Sweep Account	A	Interest	J	T					
97.									
98. Mineral Interest, Sutter County, CA		None	J	W					
99.									

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

- 1) Page 7, Line 56: Two Fidelity accounts were combined during the year 2017.
- 2) Page 8, Line 74: Name change - previously listed as Bank of America accounts. Now listed as Bank of America Cash Accounts.
- 3) Page 8, Line 76: Name change - previously listed as Mass Mutual: GP Life at 69. Now listed as Paid-Up Whole Life.
- 4) Page 8, Line 76: Interest earnings come from an interest-crediting rate paid in relationship to dividend accumulations in the general account of the life insurance company.
- 5) Re 9-17-18 Letter re Calendar Year 2017 Filing, Paragraph 2 (re Vanguard High Dividend Index Fd Investor CI Mutual Fund). A correction in Section VIII was inadvertently omitted on the 2017 filing, which is as follows: This fund should have been listed in the 2016 report as follows:

B(1): A, B(2): Dividend, C(1): M, C(2): T, D(1): Buy, D(2): 9-22-16.

It was inadvertently omitted on the 2016 report.

- 6) Re 9-17-18 Letter re Calendar Year 2017 Filing, Paragraph 3 (re Fidelity Low-Priced Stock Mutual Fund). A correction in Section VIII was inadvertently omitted on the 2017 filing. This fund should have been listed in the 2016 report as follows:

B(1): C, B(2): Dividend, C(1): blank, C(2): blank, D(1): Sold, D(2) 9-21-16, D(3): M, D(4): G.

It was inadvertently omitted on the 2016 report.

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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