

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) KERN, TERENCE C.	2. Court or Organization USDC/NDOK	3. Date of Report 04/18/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge (Senior)	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 The Federal Building 224 South Boulder Ave., Rm 241 Tulsa, OK 74103		
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.		
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.		
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. _____

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. Oil & Gas Leases:									Heading for lines 2-17
2. ----L Tuley, Garvin Co, OK	A	Royalty	J	W					
3. ----Lash, Murray Co, OK	A	Royalty	J	W					
4. ----Crump, Murray Co, OK	A	Royalty	J	W					
5. ----Floyd, Garvin Co, OK	B	Royalty	J	W					
6. ----Gibson, Garvin Co, OK	A	Royalty	J	W					
7. ----Muncrief, Garvin Co, OK	A	Royalty	J	W					
8. ----Beers Lite, Dewey Co, OK	C	Royalty	J	W					
9. ----Kenneth, Dewey Co, OK	A	Royalty	J	W					
10. ----Edna, Dewey Co, OK	A	Royalty	J	W					
11. ----Stanton, Dewey Co, OK	A	Royalty	J	W					
12. ----Kimball, Major Co, OK	A	Royalty	J	W					
13. ----Miller, Major Co, OK	B	Royalty	J	W					
14. ----Spark, Bensch, Major Co, OK	A	Royalty	J	W					
15. ----BeWk, Logan Co, OK	A	Royalty	J	W					
16. ----Royalty Int, Custer Co, OK	D	Royalty	J	W					
17. ----Royalty Int, Stephens Co, OK	A	Royalty	J	W					

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				
	(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. BROKERAGE ACCOUNT # 1									Heading for lines 19-25
19. --UBS Bank USA Dep Acct	A	Interest	K	T					(Active Asset Money Fund)
20. --Breitburn	A	Distribution	J	T					
21. --Dow Chemical	A	Dividend			Sold	09/14/16	J	A	
22. --Enterprise Products Partner LP MLP	B	Distribution	K	T					
23. --Gilead Science	A	Dividend	K	T					
24. --ONEOK Partners Lp	B	Distribution	K	T					
25. --Williams Partners LP MLP	B	Distribution	K	T					
26. BROKERAGE ACCOUNT # 2									Heading for lines 27-33
27. --UBS Bank USA Deposit Acct	A	Interest	L	T					(Active Asset Money Fund)
28. --Apple, Inc.	C	Dividend	L	T	Buy	04/28/16	K		
29. --CVR Refining	A	Distribution	J	T					
30. --General Electric	D	Dividend	K	T					
31. --Intel Corp.	A	Dividend	J	T					
32. --Plains All American Pipeline	C	Distribution	K	T					
33. Bank of America Corp	A	Dividend	K	T	Buy	9/14/16	K		
34. BROKERAGE ACCOUNT # 3									Heading for lines 41-73

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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	
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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35. --Fidelity Investment Fund Deposit Acct	A	Interest	J	T					(Active Asset Money Fund)
36. --Active Power					Merged (with line 48)	12/01/16	J		Now P10 Inds Inc Com New
37. --Advanced Semiconductor	A	Dividend			Sold	01/14/16	J	A	
38. --AU Optronics Corp	A	Dividend			Sold	08/01/16	J	A	
39. --Breitburn		None			Sold	08/01/16	J	A	
40. --General Electric	A	Dividend			Sold	01/12/16	J	A	
41. --Jones Energy	A	Dividend			Sold	12/22/16	J	A	
42. --Lucas Energy Inc		None			Sold	01/12/16	J	A	
43. --Profire		None			Sold	12/28/16	J	A	
44. --Rex Energy		None	J	T					
45. --Sonus Networks		None			Sold	08/01/16	J	A	
46. --Vanguard	A	Distribution			Sold	12/23/16	J	A	
47. --Vantage Drilling	A	Dividend	J	T					
48. P10 Inds Inc Com New	A	Interest	J	T					See Line 36
49. Bank of America Corp	A	Dividend	J	T	Buy	02/05/16	J		
50.	A	Dividend	J	T	Buy (add'l)	02/05/16	J		
51.	A	Dividend	J	T	Buy (add'l)	06/30/16	J		

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52. Gilead Sciences Inc	A	Dividend			Buy	05/06/16	J		
53.	A	Dividend			Buy (add'l)	05/12/16	J		
54.	A	Dividend			Buy (add'l)	06/30/16	J		
55.	A	Dividend			Sold	08/05/16	K	C	
56.	A	Dividend			Buy	10/14/16	J		
57.	A	Dividend			Sold	12/19/16	J	C	
58. Comfort Systems USA	A	Dividend	J	T	Buy	05/09/16	J		
59.	A	Dividend	J	T	Buy (add'l)	08/10/16	J		
60. OK 529 College Savings Plan Aggressive Managed Allocat-no control	A	Interest	K	T	Buy	02/05/16	J		
61.					Buy (add'l)	09/15/16	J		
62. Chambers-BIP Kodiak	E	Distribution	M	T					
63. Direct Access Capital Holdings	B	Distribution	K	T					
64. Bank of Oklahoma accounts	A	Interest	M	T					-

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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of 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/ **TERENCE C. KERN**

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