

FINANCIAL DISCLOSURE REPORT FINAL FILING

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) Lance Sr, Alan G.	2. Court or Organization Court of Appeals for Veterans Claim	3. Date of Report 05/10/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☐ Annual ☒ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 04/30/2017
7. Chambers or Office Address 625 Indiana NW Ste 900 Washington D.C., 2004		
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. President and Stockholder	Lance Land and Livestock, Ltd.
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. 01/01/91	State of Idaho - Pension upon retirement after age 55
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 11

Name of Person Reporting

Lance Sr, Alan G.

Date of Report

05/10/2017

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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2016	Rental income from parking space	\$900.00
2. 2016	PERSI - State of Idaho - Pension upon retirement after age 55	\$23,690.30
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. The American Legion	August 26-31, 2016	Cincinnati, Ohio	The National Convention	Airfare and Lodging
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 11

Name of Person Reporting

Lance Sr, Alan G.

Date of Report

05/10/2017

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.

FINANCIAL DISCLOSURE REPORT

Page 4 of 11

Name of Person Reporting

Lance Sr, Alan G.

Date of Report

05/10/2017

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. IRA #1 - Charles Schwab	C	Int./Div.	M	T					
2. -Schwab Money Market Fund	A	Interest	J	T					
3. -AT&T Inc Common Stock	A	Dividend	K	T	Buy (add'l)	02/02/16	J		
4.					Buy (add'l)	05/03/16	J		
5.					Buy (add'l)	08/02/16	J		
6.					Buy (add'l)	11/02/16	J		
7. -C S X Corp Common Stock	A	Dividend	J	T					
8. -GE Common Stock	A	Dividend	J	T					
9. -J M Smucker Company Common Stock	A	Dividend	J	T					
10. -Johnson & Johnson, Inc Common Stock	A	Dividend	J	T	Buy (add'l)	03/09/16	J		
11.					Buy (add'l)	06/08/16	J		
12.					Buy (add'l)	09/07/16	J		
13.					Buy (add'l)	12/07/16	J		
14. -Kraft Heinz Company	A	Dividend	J	T	Buy	04/06/16	J		
15.					Buy (add'l)	07/11/16	J		
16.					Buy (add'l)	10/10/16	J		
17.					Buy (add'l)	12/19/16	J		

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		

FINANCIAL DISCLOSURE REPORT

Page 5 of 11

Name of Person Reporting

Lance Sr, Alan G.

Date of Report

05/10/2017

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)

18. -Procter & Gamble Common Stock	A	Dividend	K	T	Buy (add'l)	02/17/16	J		
19.					Buy (add'l)	05/17/16	J		
20.					Buy (add'l)	08/16/16	J		
21.					Buy (add'l)	11/15/16	J		
22. -The Southern Company Common Stock	A	Dividend	J	T					
23. Lance Land & Livestock, LTD.	C	Distribution	L	U					
24. -Cash, Land, and Buildings	C	Distribution	L	U					
25. Common Stock Parks America! Inc.		None	J	T					
26. IRA #2 - Vanguard		None	M	T					
27. -Emerging Mkts Stock Index		None	J	T					
28. -Health Care Fund Inv		None	M	T					
29. Life Investors: Cash Value Life Insurance		None	K	T					
30. ING ReliaStar Life Insurance		None	J	T					
31. IRA #3 - Edward Jones	E	Dividend	N	T					
32. -Model Core Plus Balanced Toward Income	E	Dividend	N	T					
33. Capital One Bank Accounts	A	Interest	M	T					
34. Union First Market Bank Accounts	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 11

Name of Person Reporting

Lance Sr, Alan G.

Date of Report

05/10/2017

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)
35. Wells Fargo Bank Accounts	A	Interest	M	T					
36. USAA	A	Dividend	J	T					
37. -Mkt Vctrs Agribusn ETF	A	Dividend	J	T					
38. -Nuveen Energy MLP ETF	A	Dividend	J	T					
39. Idaho Central Credit Union	A	Interest	J	T					
40. US Series I Bonds	A	Interest	J	T					
41. Gold		None	J	T					
42. Waddell & Reed	D	Dividend	M	T					
43. -WR Advisors Core Investment A					Sold	06/24/16	J		
44. -WR Advisors Core Investment Y	A	Dividend	J	T	Buy	06/24/16	J		
45. -WR Advisors Dividend Opportunities A	A	Dividend			Sold	06/24/16	J		
46. -WR Advisors Dividend Opportunities Y	A	Dividend	J	T	Buy	06/24/16	J		
47. -WR Advisors Energy A					Sold	06/24/16	J		
48. -WR Advisors Energy Y			J	T	Buy	06/24/16	J		
49. -Ivy Large Cap Growth A					Sold	06/24/16	J		
50. -Ivy Large Cap Growth I	A	Dividend	J	T	Buy	06/24/16	J		
51. -Ivy Mid Cap Growth A					Sold	06/24/16	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
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 7 of 11

Name of Person Reporting

Lance Sr, Alan G.

Date of Report

05/10/2017

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)
52. -Ivy Mid Cap Growth I	A	Dividend	J	T	Buy	06/24/16	J		
53. -WR Advisors Science and Technology A					Sold	06/24/16	J		
54. -WR Advisors Science and Technology Y			J	T	Buy	06/24/16	J		
55. -Ivy Small Cap Value A					Sold	06/24/16	J		
56. -Ivy Small Cap Value I	A	Dividend	J	T	Buy	06/24/16	J		
57. -WR Advisors Tax-Managed Equity A					Sold	06/24/16	J		
58. -WR Advisors Tax-Managed Equity Y	A	Dividend	K	T	Buy	06/24/16	J		
59. -WR Advisors Value A					Sold	06/24/16	J		
60. -WR Advisors Value Y	A	Dividend	J	T	Buy	06/24/16	J		
61. -Ivy Micro Cap Growth A					Sold	06/24/16	J		
62. -Ivy Micro Cap Growth I	A	Dividend	J	T	Buy	06/24/16	J		
63. -Ivy Cundill Global Value A					Sold	06/24/16	J		
64. -Ivy Cundill Global Value I	A	Dividend	J	T	Buy	06/24/16	J		
65. -Ivy Global Equity Income A	A	Dividend			Sold	06/24/16	J		
66. -Ivy Global Equity Income I	A	Dividend	J	T	Buy	06/24/16	J		
67. -Ivy International Core Equity A					Sold	06/24/16	J		
68. -Ivy International Core Equity I	A	Dividend	J	T	Buy	06/24/16	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
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	
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 8 of 11

Name of Person Reporting

Lance Sr, Alan G.

Date of Report

05/10/2017

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)
69. -WR Advisors Asset Strategy A					Sold	06/24/16	K		
70. -WR Advisors Asset Strategy Y			K	T	Buy	06/24/16	K		
71. -WR Advisors Continental Income A	A	Dividend			Sold	06/24/16	J		
72. -WR Advisors Continental Income Y	A	Dividend	K	T	Buy	06/24/16	J		
73. -Ivy High Income A	A	Dividend			Sold	06/24/16	J		
74. -Ivy High Income I	A	Dividend	K	T	Buy	06/24/16	K		
75. -Ivy Limited - Term Bond A	A	Dividend			Sold	06/24/16	J		
76. -Ivy Limited - Term Bond I	A	Dividend	J	T	Buy	06/24/16	J		
77. -WR Advisors Municipal Bond A	A	Dividend			Sold	06/24/16	J		
78. -WR Advisors Municipal Bond Y	A	Dividend	K	T	Buy	06/24/16	K		
79. -WR Advisors Municipal High Income A	A	Dividend			Sold	06/24/16	J		
80. -WR Advisors Municipal High Income Y	A	Dividend	J	T	Buy	06/24/16	J		
81. -WR Advisors Cash Management A	A	Dividend	J	T					
82. Wells Fargo Advisors	B	Dividend	L	T					
83. -Ibbotson Strategic ETF - Conservative Growth & Income Fund	A	Dividend	M	T					
84. -Plains All American Pipeline, LP (Formerly Plains Marketing LP)	A	Royalty	J	W					
85. First-Third Bank Account	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 \$5,000,000	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 9 of 11

Name of Person Reporting

Lance Sr, Alan G.

Date of Report

05/10/2017

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)
86. Vanguard - Equity Income Fund Inv	A	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 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 10 of 11

Name of Person Reporting

Lance Sr, Alan G.

Date of Report

05/10/2017

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

1. Part VII - Lines 31-32: The funds in this account are not directed by the account holder. The account holder selects a model (Model selected: Model Core Plus Balanced Toward Income) and then has no control of securities or funds held in the account.
2. Part VII - Lines 82-83: The funds in this account are not directed by the account holder. The account holder selects an investment strategy (Ibbotson Strategic ETF - Conservative Growth & Income Fund), and then has no control of securities or funds held in the account.
3. Part VII - Lines 42-81: These funds have dividends and capital gains that are reinvested in additional shares automatically throughout the year. The funds were moved from "A" shares to "Y" or "I" shares during the year.

FINANCIAL DISCLOSURE REPORT

Page 11 of 11

Name of Person Reporting

Lance Sr, Alan G.

Date of Report

05/10/2017

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/ Alan G. Lance Sr

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