

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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) Thompson, Ann E.	2. Court or Organization District Court-Western District of Missouri	3. Date of Report 05/02/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Court Executive	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address U.S. District Court Charles E. Whittaker Courthouse 400 East 9th Street Kansas City, Missouri 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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
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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Name of Person Reporting

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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.

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. IRA #1									
2. - Artio Total Return Bond Fund CL I (JBGIX)	A	Dividend			Sold	05/07/13	K	A	
3. -Pimco Total Return Fund I (PTTRX)	B	Dividend	K	T	Buy (add'l)	05/07/13	J		
4. - American Funds American High-Income Trust F2 (AHIFX)	A	Dividend			Sold	05/07/13	J	A	
5. - American Funds Capital World BD FD CL F2 (BFWFX)	A	Dividend			Sold	05/07/13	K	A	
6. - Pimco Foreign Bond FD Instl CL Unhedged (PFUIX)	A	Dividend			Buy (add'l)	05/07/13	K		
7.					Sold	07/01/13	K		
8. - Pimco Emerging Local Bond (PELBX)	A	Dividend			Sold	05/07/13	J	A	
9. - Vanguard Sector Index Fds Reit Viper Shs (VNQ)	B	Dividend	K	T					
10. - Dfa Intl Small Company (DFISX)	B	Dividend	K	T					
11. - Vanguard Emerging Markets ETF (VWO)	A	Dividend	K	T					
12. - Vanguard Energy ETF (VDE)	A	Dividend	J	T	Sold (part)	05/07/13	J	C	
13. - iShares Preferred Stock (PFF)	A	Dividend	J	T	Buy (add'l)	05/07/13	J		
14. - Vanguard MSCI EAFE Index (VEA)	A	Dividend	J	T					
15. - DFA International Real Estate (DFITX)	A	Dividend	J	T					
16. - PIMCO Unconstrained Bond (PFIUX)	A	Dividend			Sold	05/07/13	K	B	
17. - Vanguard IT Corporate Bond (VCIT)	B	Dividend	K	T	Buy	05/07/13	K		

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 ~\$250,001 - \$500,000	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	

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18.					Buy (add'l)	07/09/13	K		
19. - SPDR Barclays High Yield Bond (JNK)	A	Dividend	J	T	Buy	05/07/13	J		
20. - Wisdom Tree Emerging Local Debt (ELD)	A	Dividend	J	T	Buy	04/23/13	J		
21.					Buy (add'l)	05/07/13	J		
22. - Vanguard International Bond (BNDX)	A	Dividend	K	T	Buy	07/01/13	K		
23. - TD Ameritrade Money Market	A	Interest	J	T					
24. Roth IRA #1									
25. - Vanguard Emerging Markets EFT (VWO)	A	Dividend	J	T					
26. Brokerage Account #1									
27. - TD Ameritrade Money Market	A	Interest	J	T					
28. - Berkshire Hathaway Inc C1 (BRKB)		None	K	T					
29. - iShares Russell 1000 Index Fund (IWB)	B	Dividend	M	T					
30. - Vanguard World Fd Mega Cap 300 ETF (MGC)	A	Dividend	J	T	Sold (part)	05/07/13	J	C	
31. - Vanguard Index Funds Vanguard Mid-Cap Vipers (VO)	B	Dividend	M	T					
32. - iShares TR Russell Microcap Index Fd (IWC)	A	Dividend	K	T					
33. - Vanguard Index Funds Vanguard Small Cap-Vipers (VB)	A	Dividend	L	T					
34. - Vanguard Intl Eqty Index (VEU)	B	Dividend	L	T					

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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35. - iShares Trust MSCI Emerging Markets Index Fund (EEM)	A	Dividend	K	T	Buy (add'l)	01/14/13	J		
36.					Buy (add'l)	05/07/13	J		
37.					Sold (part)	06/24/13	J		
38. - Vanguard Energy ETF (VDE)	A	Dividend	K	T					
39. - Vanguard MSCI EAFE Index (VEA)	A	Dividend	K	T	Sold (part)	04/08/13	J	A	
40.					Buy (add'l)	05/07/13	J		
41. - Energy Transfer Partners LP (ETP)	A	Dividend	J	T					
42. - Enterprise Products Partners LP (EPD)	A	Dividend	J	T					
43. - Kinder Morgan Energy Partners LP (KMP)	A	Dividend	J	T					
44. - Magellan Midstream Partners LP (MMP)	A	Dividend	J	T					
45. - ONEOK Partners LP (OKS)	A	Dividend	J	T					
46. - Vanguard Emerging Markets (VWO)	A	Dividend	J	T	Buy	06/24/13	J		
47. Raytown-Lee's Summit Community Credit Union Accounts	A	Interest	K	T					
48. Commerce Bank Accounts		None	J	T					
49.									
50.									

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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 \$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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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/ Ann E. Thompson**

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
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