

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) Maughmer, John T.	2. Court or Organization U.S.D.C., W.D. MO	3. Date of Report 5/3/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge - Full Time	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 Charles Evans Whittaker U.S. Courthouse 400 E. 9th St., Room 7662 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.	Power of attorney #3	POA 3
2.	Managing Member - Self	
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.	10/1/12	- Self - Operating Agreement
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.)*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. _____

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 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.)*

<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.		
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. AT&T, Inc.	A	Dividend	J	T					
2. MS Liquid Asset Fund	A	Dividend	L	T					
3. Farm House purchased 01/95 for \$76,000 in [REDACTED]	B	Rent	M	R					
4. Vodafone Group PLC Sponsor ADR	A	Dividend	J	T					
5. Verizon Communications	A	Dividend	J	T					
6. Northwestern Mutual Life Insurance Co. (whole life)	A	Dividend	L	T					
7. Eaton Vance Income Fund	A	Dividend			Sold (part)	03/01/17	J		
8.					Sold	03/14/17	J	A	
9. Metropolitan West Total Return Bond Fund	A	Dividend			Sold (part)	03/01/17	J		
10.					Sold	03/14/17	J	A	
11. AQR Managed Futures Strategy I	A	Dividend			Sold (part)	03/01/17	J		
12.					Sold	03/14/17	J	A	
13. Pimco Foreign Bond US Hedged P	A	Dividend			Buy (add'l)	03/01/17	J		
14.					Buy (add'l)	03/14/17	J		
15.					Sold	05/26/17	J	A	
16. [REDACTED] MO	B	Rent	M	U					
17. Blackrock Low Duration Bond Investment	A	Dividend			Sold (part)	03/01/17	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 H = \$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	

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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				
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18.					Sold	03/14/17	J	A	
19. Center Coast MLP Focus I	A	Dividend			Sold (part)	03/01/17	J		
20.					Sold	03/14/17	J	A	
21. Blackrock Inflat Prot Bond 1	A	Dividend			Sold (part)	03/01/17	J		
22.					Sold	03/14/17	J	A	
23. Blackstone Alt Mult-Strat Inst	A	Dividend			Sold (part)	03/01/17	J		
24.					Sold	03/14/17	J	A	
25. John Hancock Seaport I (X)	A	Dividend			Sold (part)	03/01/17	J		
26.					Sold	03/14/17	J	A	
27. Riverpark/Wedgewood Inst	A	Dividend			Sold (part)	03/01/17	J		
28.					Sold	03/14/17	J	A	
29. Cambiar Intl Equity Inv	A	Dividend			Sold (part)	03/01/17	J		
30.					Sold	03/14/17	J	A	
31. Causeway Emerging Mkts Inst	A	Dividend			Sold (part)	03/01/17	J		
32.					Sold	03/14/17	J	A	
33. Delaware Value Instl	A	Dividend	K	T	Buy (add'l)	03/01/17	J		
34.					Buy (add'l)	03/14/17	J		

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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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35.					Sold (part)	05/26/17	J	A	
36.					Buy (add'l)	12/13/17	J		
37.					Buy (add'l)	12/19/17	J		
38. Edgewood Growth Instl	A	Dividend			Sold (part)	03/01/17	J		
39.					Sold	03/14/17	J	A	
40. Harding Loevner Intl Eqty Inst	A	Dividend			Sold (part)	03/01/17	J		
41.					Sold	03/14/17	J	A	
42. Hartford Midcap I	A	Dividend			Sold (part)	03/01/17	J		
43.					Sold	03/14/17	J	A	
44. Lazard Intl Strat EQ Ptf Inst	A	Dividend			Sold (part)	03/01/17	J		
45.					Sold	03/14/17	J	A	
46. Lyrical US Value Equity Instrl	A	Dividend			Sold (part)	03/01/17	J		
47.					Sold	03/14/17	J	A	
48. Matthews Asian Japan Inv	A	Dividend	J	T	Buy (add'l)	03/01/17	J		
49.					Buy (add'l)	03/14/17	J		
50.					Sold (part)	05/26/17	J	A	
51. Neuberger Intrinsic Value Inst	A	Dividend			Sold (part)	03/01/17	J		

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52.					Sold	03/14/17	J	A	
53. Pimco Short Term P	A	Dividend	J	T	Sold (part)	03/01/17	J		
54.					Sold (part)	03/14/17	J		
55.					Buy (add'l)	05/26/17	J		
56. Touchstone Small Cap Growth Y	A	Dividend			Sold (part)	03/01/17	J		
57.					Sold	03/14/17	J	A	
58. Wells Fargo Special MDCP I	A	Dividend			Sold (part)	03/01/17	J		
59.					Sold	03/14/17	J	A	
60. AB HIGH INCOME ADV	A	Dividend			Buy	04/18/17	J		
61.					Sold (part)	05/26/17	J		
62.					Buy (add'l)	12/07/17	J		
63.					Sold (part)	12/11/17	J		
64.					Sold	12/12/17	J	A	
65. ALERIAN MLP ETF	A	Dividend	K	T	Buy	12/11/17	J		
66. BLACKROCK HI YIELD BD PTF INST	A	Dividend			Buy	03/01/17	J		
67.					Buy (add'l)	03/14/17	J		
68.					Sold	04/18/17	J	A	

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69. CALAMOS MARKET NEUTRAL INC I	A	Dividend	J	T	Buy	05/26/17	J		
70.					Buy (add'l)	12/13/17	J		
71.					Buy (add'l)	12/19/17	J		
72. CLEARBRIDGE LARGE CAP GWTH I	B	Dividend	K	T	Buy	03/01/17	J		
73.					Buy (add'l)	03/14/17	J		
74.					Buy (add'l)	05/26/17	J		
75. DIAMOND HILL LONG-SHORT	A	Dividend	J	T	Buy	03/01/17	J		
76.					Buy (add'l)	03/14/17	J		
77.					Sold (part)	05/26/17	J		
78.					Buy (add'l)	12/13/17	J		
79.					Buy (add'l)	12/19/17	J		
80. FEDERATED STRAT VAL DIV INST	B	Dividend	K	T	Buy	05/26/17	J		
81.					Buy (add'l)	12/08/17	J		
82.					Buy (add'l)	12/11/17	J		
83.					Buy (add'l)	12/13/17	J		
84.					Buy (add'l)	12/19/17	J		
85. LORD ABBETT SHT DURATION INC F	A	Dividend	J	T	Buy	12/11/17	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
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86.					Buy (add'l)	12/13/17	J		
87.					Buy (add'l)	12/19/17	J		
88. OPI STEELPATH MLP SELECT 40 Y	A	Dividend			Buy	05/26/17	J		
89.					Buy (add'l)	12/07/17	J		
90.					Buy (add'l)	12/08/17	J		
91.					Sold (part)	12/11/17	J		
92.					Sold (part)	12/12/17	J		
93.					Sold	12/13/17	J	A	
94. PIMCO INCOME P	A	Dividend	J	T	Buy	12/11/17	J		
95.					Buy (add'l)	12/13/17	J		
96.					Buy (add'l)	12/19/17	J		
97. PIONEER MLTI AST ULT SHT INC Y	A	Dividend			Buy	05/26/17	J		
98.					Buy (add'l)	12/07/17	J		
99.					Sold (part)	12/11/17	J		
100.					Sold	12/12/17	J	A	
101. PRINCIPAL MIDCAP INSTL	A	Dividend	K	T	Buy (add'l)	12/11/17	J		
102.					Buy (add'l)	12/13/17	J		

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103.					Buy (add'l)	12/19/17	J		
104. PRINCIPAL MIDCAP P	A	Dividend	K	T	Buy	03/01/17	J		
105.					Buy (add'l)	03/14/17	J		
106.					Sold (part)	05/26/17	J		
107. PUTNAM SHORT DURATION INCOME Y	A	Dividend			Buy	05/24/17	J		
108.					Buy (add'l)	12/06/17	J		
109.					Sold	12/08/17	J	A	
110. THORNBURG INTL GROWTH I	A	Dividend	J	T	Buy	05/26/17	J		
111.					Buy (add'l)	12/13/17	J		
112. TORTOISE MLP & PIPELINE INST	A	Dividend			Buy	03/01/17	J		
113.					Buy (add'l)	03/14/17	J		
114.					Sold (part)	05/26/17	J		
115.					Buy (add'l)	12/07/17	J		
116.					Buy (add'l)	12/08/17	J		
117.					Sold (part)	12/11/17	J		
118.					Sold (part)	12/12/17	J		
119.					Sold	12/13/17	J	A	

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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)

120. TWEEDY BROWN GLOBAL VALUE FD	A	Dividend	J	T	Buy	03/01/17	J		
121.					Buy (add'l)	03/14/17	J		
122.					Sold (part)	05/26/17	J		
123.					Buy (add'l)	12/13/17	J		
124.					Buy (add'l)	12/19/17	J		
125. WESTERN ASSET CORE PLUS BD I	A	Dividend	K	T	Buy	03/01/17	J		
126.					Buy (add'l)	03/14/17	J		
127.					Sold (part)	05/26/17	J		
128.					Buy (add'l)	12/11/17	J		
129.					Buy (add'l)	12/13/17	J		
130.					Buy (add'l)	12/19/17	J		
131.									
132.									
133.									
134.									
135.									
136.									

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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Name of Person Reporting

Maughmer, John T.

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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)
137.									
138.									
139.									

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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Name of Person Reporting

Maughmer, John T.

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

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Name of Person Reporting

Maughmer, John T.

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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/ **John T. Maughmer**

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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