

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) Bough, Stephen R.	2. Court or Organization U.S. District Court - Western District of Missouri	3. Date of Report 5/2/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Article III Judge, Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2017 to 12/31/2017
5b. ☐ Amended Report		
7. Chambers or Office Address U.S. Courthouse 400 E. 9th Street, Suite 7462 Kansas City, MO 64106		
IMPORTANT NOTES: <i>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>		

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. Vice President	Federal Bar Association - Western District of Missouri and District of Kansas
2. Board member	UMKC Law Foundation
3. Board member	Lawyers Encouraging Academic Performance
4. Advisory Board	Second Chance
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. 2014	Blake Heath purchased the assets of The Law Offices of Stephen R. Bough with a written agreement for 25% of the contingent fee at the end of the litigation
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 8

Name of Person Reporting

Bough, Stephen R.

Date of Report

5/2/2018

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. 2017	Blake Heath Trial Attorney LLC, pursuant to the written agreement referenced in Part II. The agreement is a fixed percentage of the contingent fee.	\$6,776.60
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. 2017	Lewis Rice, salary
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. Missouri Association of Trial Lawyers	June 22 - 24, 2017	Lake of the Ozarks, MO	Teach CLE	Hotel
2. Attorney's Information Exchange Group	November 8 - 10, 2017	Chicago, IL	Judge Mock Trial	Transportation, Hotel
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 8

Name of Person Reporting

Bough, Stephen R.

Date of Report

5/2/2018

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.	Pembroke Hill	Tuition Agreement	K
2.	Dept. of Educaiton - Direct Loan MOHELA	Student Loan	L
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 8

Name of Person Reporting

Bough, Stephen R.

Date of Report

5/2/2018

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. 529 Plan - (H)									
2. - Invest Ed Balanced PRT A	C	Dividend	K	T					
3. - Ivy Limited-Term Bond E	A	Dividend	K	T					
4. Roth IRA - (H)									
5. - Ivy Fund - High Income A	B	Dividend	K	T					
6. - Ivy Fund - Small Cap Fund A	A	Dividend	J	T					
7. - Ivy Global Income Alloc A	A	Dividend	K	T					
8. - Ivy Global Real Estate A	A	Dividend	K	T					
9. - Ivy Managed Inter Opp A	A	Dividend	K	T					
10. - Ivy Mid Cap Income Opp A	A	Dividend	J	T					
11. - Ivy Limited-Term Bond A	C	Dividend	M	T					
12. Simple 401K - (H)									
13. - Ivy Fund Dividend Opp A	B	Dividend	K	T					
14. - Ivy Fund High Income A	B	Dividend	K	T					
15. - Ivy Global Income Alloc A	A	Dividend	K	T					
16. - W & R Adv Core Invest A	B	Dividend			Sold	10/13/17	K		
17. - Ivy Euro Opp A	A	Dividend	J	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	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

FINANCIAL DISCLOSURE REPORT

Page 5 of 8

Name of Person Reporting

Bough, Stephen R.

Date of Report

5/2/2018

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. - Ivy Core Equity A	A	Dividend	K	T	Buy	10/13/17	K		
19. JTN TOD - (H)									
20. - Ivy Core Equity A	A	Dividend	K	T	Buy	10/13/17	K		
21. - Ivy Fund Small Cap A	A	Dividend	K	T					
22. - Ivy Managed Intern Opp A	A	Dividend	J	T					
23. - W & R Adv Core Invest A	C	Dividend			Sold	10/13/17	K		
24. - Ivy Tax-Managed Equity A	A	Dividend	J	T					
25. - Ivy Apollo Multi-Asset Income A	A	Dividend	J	T					
26. - Ivy Limited-Term Bond A	A	Dividend			Sold	01/26/17	K		
27. 529 Plan - (H)									
28. - Ivy Limited-Term Bond E	B	Dividend	K	T	Sold (part)	07/19/17	K		
29. Exclusive K - (H)									
30. - Ivy Fund Small Cap A	A	Dividend	K	T					
31. - Ivy Euro Opp A	A	Dividend	K	T					
32. - Ivy Apollo Multi-Asset Income A	B	Dividend	L	T	Buy	07/18/17	K		
33. - Ivy Limited-Term A	A	Dividend	J	T	Sold (part)	07/18/17	L		
34. - Ivy Science and Tech A	C	Dividend	K	T	Buy	07/18/17	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 = \$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 8

Name of Person Reporting

Bough, Stephen R.

Date of Report

5/2/2018

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. Roth IRA - (H)									
36. - W & R Adv Continental Inc A	A	Dividend	J	T					
37. - W & R Adv High Income A	A	Dividend	J	T					
38. - W & R Advisors New Concepts A	A	Dividend	J	T					
39. - W & R Advisors Science & Tech A	A	Dividend	J	T					
40. - W & R Advisors Small Cap A	A	Dividend	J	T					
41. UTMA - (H)									
42. - Ivy Limited-Term Bond A	A	Dividend	J	T	Sold (part)	10/04/17	J		
43. Individual TOD - (H)									
44. - Ivy Limited-Term Bond A	A	Dividend			Sold	11/10/17	J		
45. Missouri Bank & Trust	A	Int./Div.	K	T					
46. Lewis Rice Profit Sharing BOK Financial TRP Retire 2035	A	Dividend	K	T					
47. Lewis Rice 401K BOK Financial TRP Retire 2035	A	Dividend	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 7 of 8

Name of Person Reporting

Bough, Stephen R.

Date of Report

5/2/2018

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

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

Bough, Stephen R.

Date of Report

5/2/2018

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/ Stephen R. Bough**

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