

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)

|                                                                                                                                                                                            |                                                                                                                                                                                                                                                                                          |                                                                  |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting</b> (last name, first, middle initial)<br><br>Johnson, Alan B.                                                                                                      | <b>2. Court or Organization</b><br><br>District Court - Wyoming                                                                                                                                                                                                                          | <b>3. Date of Report</b><br><br>08/08/2019                       |
| <b>4. Title</b> (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)<br><br>Active Judge, U.S. Dist Court                                  | <b>5a. Report Type</b> (check appropriate type)<br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final<br><b>5b.</b> <input type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br><br>01/01/2018<br>to<br>12/31/2018 |
| <b>7. Chambers or Office Address</b><br><br>2120 Capitol Avenue., Suite 2018<br>Cheyenne, WY 82003                                                                                         |                                                                                                                                                                                                                                                                                          |                                                                  |
| <p><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</p> |                                                                                                                                                                                                                                                                                          |                                                                  |

## 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. | Member, Advisory Board         | Cheyenne Regional Medical Center, Home Health Services              |
| 2. | Trustee                        | Trust #2, See Explanation and Description at Part VIII and Part VII |
| 3. | Trustee                        | Trust #3 See Explanation and Description at Part VIII and Part VII  |
| 4. | Trustee                        | Trust #1, See Explanation and Description at Part VIII and Part VII |
| 5. | Member, Local Discussion Group | Young Men's Literary Club                                           |
| 6. | Member, Advisory Board         | The American Heritage Center of the University of Wyoming           |

## 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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Name of Person Reporting

Johnson, Alan B.

Date of Report

08/08/2019

**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><br>(yours, not spouse's) |
|-------------|---------------------------------------|----------------------------------------|
| 1. 2018     | Wyoming Judicial Retirement - Monthly | \$5,269.11                             |
| 2. 2018     | State Employers Retirement - Monthly  | \$406.71                               |
| 3. 2018     | DFAS - Retirement - Monthly           | \$1,508.65                             |
| 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.)*

| <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.              |                    |                   |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

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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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 1. TRUST #1 "PARENTS TRUST" (H)                                                                                             |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 2. - CHASE BANK ACCOUNT                                                                                                     | A                                       | Int./Div.                                     | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 3. - CHASE BANK ACCOUNT                                                                                                     | A                                       | Int./Div.                                     | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 4. CHASE INVESTMENT SERVICES<br>MONEY MARKET ACCT.                                                                          | A                                       | Int./Div.                                     | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 5. TRUST #2 "ALAN B. JOHNSON<br>PREMARITAL REVOCABLE<br>TRUST" (H)                                                          |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 6. - ANB BANK                                                                                                               | A                                       | Int./Div.                                     | N                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 7. -WELLS FARGO                                                                                                             | A                                       | Int./Div.                                     | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 8. - ANB BANK (Y)                                                                                                           |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 9. ANB BANK - [REDACTED] ACCT.                                                                                              | A                                       | Int./Div.                                     | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 10. TRUST #3 [REDACTED] TRUST" (H)                                                                                          |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 11. - FIDELITY BROKERAGE ACCT.<br>MONEY MARKET ACCT.                                                                        | A                                       | Int./Div.                                     | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 12. - CREDIT SUISSE COMMON RETURN<br>STRATEGY A                                                                             | A                                       | Int./Div.                                     | J                                               | T                                         | Buy<br>(add'l)                                  | 01/11/18                | J                               |                                |                                                                   |
| 13.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 08/09/18                | J                               |                                |                                                                   |
| 14.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 09/06/18                | J                               |                                |                                                                   |
| 15. - DFA INTERNATIONAL VECTOR<br>EQUITY PORT                                                                               | B                                       | Int./Div.                                     | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 16. - DFA COMMODITY STRATEGY PORT<br>INSTL                                                                                  | A                                       | Int./Div.                                     | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                  | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$5,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                          | T = Cash Market                                              |                         |

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Name of Person Reporting

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08/08/2019

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                                 |   |           |   |   |                          |          |   |   |  |
|-------------------------------------------------|---|-----------|---|---|--------------------------|----------|---|---|--|
| 17. -DFA US CORE EQUITY II                      | B | Int./Div. | L | T | Buy<br>(add'l)           | 12/28/18 | J |   |  |
| 18. - DFA EMERGING MRKTS CORE EQU<br>PORTF      | A | Int./Div. | K | T |                          |          |   |   |  |
| 19. - DFA INVESTMENT GRADE<br>PORTFOLIO INSTL   | B | Int./Div. |   |   | Buy                      | 11/08/18 | M |   |  |
| 20.                                             |   |           |   |   | Sold                     | 12/12/18 | M | B |  |
| 21. - FIDELITY REAL ESTATE INDEX<br>PREMIUM CL  | A | Int./Div. |   |   | Buy<br>(add'l)           | 04/26/18 | J |   |  |
| 22.                                             |   |           |   |   | Merged<br>(with line 23) | 07/01/18 | J |   |  |
| 23. - FIDELITY REAL ESTATE INDEX<br>FUND        | A | Int./Div. | J | T |                          |          |   |   |  |
| 24. - FIDELITY EMERGING MKTS INDEX<br>PREMIUM   | A | Int./Div. |   |   | Buy                      | 06/21/18 | J |   |  |
| 25.                                             |   |           |   |   | Buy<br>(add'l)           | 07/06/18 | J |   |  |
| 26.                                             |   |           |   |   | Buy<br>(add'l)           | 10/04/18 | J |   |  |
| 27.                                             |   |           |   |   | Merged<br>(with line 28) | 11/01/18 | J |   |  |
| 28. - FIDELITY EMERGING MARKETS<br>INDEX FUND   | A | Int./Div. | J | T |                          |          |   |   |  |
| 29. - FIDELITY INTERNATL INDEX<br>PREMIUM CLASS |   |           |   |   | Buy                      | 05/03/18 | J |   |  |
| 30.                                             |   |           |   |   | Buy<br>(add'l)           | 07/06/18 | J |   |  |
| 31.                                             |   |           |   |   | Buy<br>(add'l)           | 10/04/18 | J |   |  |
| 32.                                             |   |           |   |   | Buy<br>(add'l)           | 10/11/18 | J |   |  |
| 33.                                             |   |           |   |   | Buy<br>(add'l)           | 10/18/18 | 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 |                         |
|                         | 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                  |                                 |                         |

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Name of Person Reporting

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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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                               |   |           |   |   |                          |          |   |   |  |
|-----------------------------------------------|---|-----------|---|---|--------------------------|----------|---|---|--|
| 34.                                           |   |           |   |   | Merged<br>(with line 35) | 10/31/18 | J |   |  |
| 35. - FIDELITY INTERNATL INDEX FUND           | A | Int./Div. | J | T | Buy                      | 11/23/18 | J |   |  |
| 36. - FIDELITY INTERMEDIATE MUNI<br>INCOME    | A | Int./Div. | J | T | Buy<br>(add'l)           | 01/11/18 | J |   |  |
| 37.                                           |   |           |   |   | Buy<br>(add'l)           | 03/19/18 | J |   |  |
| 38.                                           |   |           |   |   | Sold<br>(part)           | 05/03/18 | J | A |  |
| 39.                                           |   |           |   |   | Buy<br>(add'l)           | 06/07/18 | J |   |  |
| 40.                                           |   |           |   |   | Buy<br>(add'l)           | 08/09/18 | J |   |  |
| 41.                                           |   |           |   |   | Buy<br>(add'l)           | 09/06/18 | J |   |  |
| 42.                                           |   |           |   |   | Buy<br>(add'l)           | 10/04/18 | J |   |  |
| 43.                                           |   |           |   |   | Buy<br>(add'l)           | 09/07/18 | J |   |  |
| 44.                                           |   |           |   |   | Buy<br>(add'l)           | 10/05/18 | J |   |  |
| 45. - FIDELITY US BOND INDEX PREMIUM<br>CLASS |   |           |   |   | Buy<br>(add'l)           | 01/11/18 | J |   |  |
| 46.                                           |   |           |   |   | Buy<br>(add'l)           | 02/08/18 | J |   |  |
| 47.                                           |   |           |   |   | Buy<br>(add'l)           | 02/23/18 | J |   |  |
| 48.                                           |   |           |   |   | Buy<br>(add'l)           | 03/08/18 | J |   |  |
| 49.                                           |   |           |   |   | Buy<br>(add'l)           | 04/26/18 | J |   |  |
| 50.                                           |   |           |   |   | Buy<br>(add'l)           | 05/03/18 | J |   |  |

|                                                  |                                                                                                                                          |                                                                                                                |                                                                                                                                                      |                                                                                                                      |                         |
|--------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000<br>J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000<br>K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000<br>L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$50,000,000 | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000<br>M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | Q = Appraisal<br>U = Book Value                                                                                                          | R = Cost (Real Estate Only)<br>V = Other                                                                       | S = Assessment<br>W = Estimated                                                                                                                      | T = Cash Market                                                                                                      |                         |

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| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 51.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 05/17/18                | J                               |                                |                                                                   |
| 52.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 06/07/18                | J                               |                                |                                                                   |
| 53.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 07/12/18                | J                               |                                |                                                                   |
| 54.                                                                                                                         |                                         |                                               |                                                 |                                           | Merged<br>(with line 59)                        | 07/31/18                | M                               |                                |                                                                   |
| 55. - FIDELITY US BOND INDEX<br>INSTITUTIONAL                                                                               | A                                       | Int./Div.                                     |                                                 |                                           | Buy                                             | 08/09/18                | J                               |                                |                                                                   |
| 56.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 09/06/18                | J                               |                                |                                                                   |
| 57.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 10/04/18                | J                               |                                |                                                                   |
| 58.                                                                                                                         |                                         |                                               |                                                 |                                           | Merged<br>(with line 59)                        | 10/31/18                | J                               |                                |                                                                   |
| 59. - FIDELITY US BOND INDEX FUND                                                                                           | A                                       | Int./Div.                                     |                                                 |                                           | Sold                                            | 11/08/18                | M                               | A                              |                                                                   |
| 60.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy                                             | 12/12/18                | M                               |                                |                                                                   |
| 61. - FIDELITY TOTAL MKT INDEX<br>PREMIUM                                                                                   | A                                       | Int./Div.                                     |                                                 |                                           | Buy<br>(add'l)                                  | 04/26/18                | J                               |                                |                                                                   |
| 62.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 05/03/18                | J                               |                                |                                                                   |
| 63.                                                                                                                         |                                         |                                               |                                                 |                                           | Merged<br>(with line 64)                        | 05/31/18                | J                               |                                |                                                                   |
| 64. - FIDELITY TOTAL MARKET INDEX<br>FUND                                                                                   | A                                       | Int./Div.                                     | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 65. - ISHARES TR IBOXX HI YD ETF                                                                                            | A                                       | Int./Div.                                     |                                                 |                                           | Buy                                             | 11/09/18                | L                               |                                |                                                                   |
| 66.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold                                            | 12/21/18                | K                               | A                              |                                                                   |
| 67. - ISHARES TR INTL. DEVELOPED<br>REAL ESTATE ETF                                                                         | A                                       | Int./Div.                                     | J                                               | T                                         | Buy<br>(add'l)                                  | 09/07/18                | J                               |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                              |                                                                                          |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|--------------------------------------------------------------|------------------------------------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000      | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000                                     | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$5,000,000 | L = \$50,001 - \$100,000<br>M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                              | T = Cash Market                                                                          |                         |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Johnson, Alan B.

Date of Report

08/08/2019

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 68. - PIMCO HIGH YIELD<br>ADMINISTRATIVE SHS                                                                                | A                                       | Int./Div.                                     | J                                               | T                                         | Buy<br>(add'l)                                  | 01/18/18                | J                               |                                |                                                                   |
| 69.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 03/08/18                | J                               |                                |                                                                   |
| 70.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 05/03/18                | J                               |                                |                                                                   |
| 71.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 06/07/18                | J                               |                                |                                                                   |
| 72.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 09/06/18                | J                               |                                |                                                                   |
| 73. - VANGUARD INDEX FDS VANGUARD<br>REIT ETF                                                                               | A                                       | Int./Div.                                     | J                                               | T                                         | Buy<br>(add'l)                                  | 01/12/18                | J                               |                                |                                                                   |
| 74. - VANGUARD GLOBAL REAL                                                                                                  | A                                       | Int./Div.                                     | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 75. - VANGUARD HI YIELD CORPORATE<br>ADMIRAL                                                                                | C                                       | Int./Div.                                     | K                                               | T                                         | Sold<br>(part)                                  | 11/08/18                | L                               | A                              |                                                                   |
| 76.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 12/20/18                | K                               |                                |                                                                   |
| 77. - VANGAURD INTERMEDIATE TAX<br>EXEMPT ADMIRAL                                                                           | A                                       | Int./Div.                                     | L                                               | T                                         | Buy<br>(add'l)                                  | 05/03/18                | J                               |                                |                                                                   |
| 78. - VANGUARD WHITEHALL FUNDS<br>EMERGING MKT                                                                              | C                                       | Int./Div.                                     | L                                               | T                                         | Buy<br>(add'l)                                  | 01/12/18                | J                               |                                |                                                                   |
| 79.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 03/09/18                | J                               |                                |                                                                   |
| 80.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 05/04/18                | J                               |                                |                                                                   |
| 81.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 06/08/18                | J                               |                                |                                                                   |
| 82.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 09/14/18                | J                               |                                |                                                                   |
| 83. - PWRSHRS RAFI US 1000                                                                                                  | A                                       | Int./Div.                                     | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 84. - PWRSHRS RAFI US 1500                                                                                                  | A                                       | Int./Div.                                     | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                  | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$5,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                          | T = Cash Market                                              |                         |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Johnson, Alan B.

Date of Report

08/08/2019

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                            |   |           |   |   |                    |          |   |  |                  |
|--------------------------------------------|---|-----------|---|---|--------------------|----------|---|--|------------------|
| 85. NEW YORK LIFE INS WHOLE LIFE           | A | Int./Div. | M | T |                    |          |   |  |                  |
| 86. WYOMING DEFERRED COMP (H)              |   |           |   |   |                    |          |   |  |                  |
| 87. - WRS LARGE CAP US EQUITY FUND         | A | Int./Div. | K | T | Redeemed<br>(part) | 12/31/18 | J |  | RETIREMENT DIST. |
| 88. - WRS INTERNATIONAL EQUITY<br>FUND     | A | Int./Div. | K | T | Redeemed<br>(part) | 12/31/18 | J |  | RETIREMENT DIST. |
| 89. - WRS SMALL/MID CAP US EQUITY<br>FUND  | A | Int./Div. | N | T | Redeemed<br>(part) | 12/31/18 | K |  | RETIREMENT DIST. |
| 90. WYOMING STATE RET. SYSTEM BEN<br>ACCT. | A | Int./Div. | J | T |                    |          |   |  |                  |
| 91. XCEL ENERGY                            | B | Int./Div. | L | T |                    |          |   |  |                  |
| 92. AXA EQUITABLE LIFE INS COMPANY         | A | Int./Div. | J | T |                    |          |   |  |                  |
| 93. UNITED STATES AUTOMOBILE<br>ASSOC.     | A | Int./Div. | J | T |                    |          |   |  |                  |
| 94. LOAN OAK FUND, LLC                     | D | Int./Div. | N | T |                    |          |   |  |                  |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|-------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                   | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$50,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                           | T = Cash Market                                              |                         |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Johnson, Alan B.

Date of Report

08/08/2019

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

Cheyenne Regional Medical Center is the local hospital organization. The provision of nursing and care services to patients in their home is one of the services provided through Cheyenne Regional Medical Center. As part of the concern for the quality of patient care, members of the public as well as medical professionals have been placed on an advisory board, which meets periodically.

Young Mens' Literary Club is a small organization (less than 50 including honoray and emeriti) that meets weekly during the fall, winter and spring to discuss current events and review assigned papers. The organization has existed for the past 110 years. The Secretary/Treasurer receives nominal dues for rent of the meeting room and keeps meeting minutes that are deposited and preserved in the State Archives.

The American Heritage Center of the University of Wyoming functions as a public trust to collect, preserve and make accessible "a clearly defined set of primary sources and rare books - reflecting the written image, and audio history of Wyoming, the Rocky Mountain region, and selected aspects of the American past." (From mission statement of AHC) Reporting party was invited to serve a 4 year term.

Trust #1 is a trust that was established by my parents. It contains financial investments listed on schedule VII that I believe are the sole financial interest of the trust. No portion of the trust is derived from my assets, income or activities. During 2010 I became successor trustee of the trust and have therefore listed on Schedule VII. I am not an income or principal beneficiary of the trust, however, [REDACTED] are beneficiaries. During the reporting period I did not derive or expect to derive a benefit from the trust.

Trust #2 and Trust #3 were created to implement premarital and estate planning. It is anticipated that additional assets will be placed in the trusts in the future. Trust #2 holds and controls items listed on Schedule VII, bank accounts at ANB Bank and Wells Fargo National Bank. Trust #3 holds and controls items listed on Schedule VII.

Trust #3 Fidelity Real Estate Index Premium CL merged into Fidelity Real Estate Index Fund. Fidelity Emerging Mkts Index Premium merged into Fidelity Emerging Markets Index Fund. Fidelity Internatl Index Premium Class merged into Fidelity Internatl Index Fund. Fidelity US Bond Index Premium Class and Fidelity US Bond Index Institutional merged into Fidelity US Bond Index Fund. Fidelity Total Mkt Index Premium CL merged into Fidelity Total Market Index Fund.

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Johnson, Alan B.

Date of Report

08/08/2019

## 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 B. Johnson

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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One Columbus Circle, N.E.  
Washington, D.C. 20544