

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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

1. Person Reporting (last name, first, middle initial) Johnson, Alan B.	2. Court or Organization District Court - Wyoming	3. Date of Report 8/18/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Active Judge, U.S. Dist. Court	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address 2120 Capitol Ave., Suite 2018 Cheyenne, WY 82003		
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.	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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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. 2013	Wyoming Judicial Retirement - Monthly	\$2,863.00
2. 2013	State Employers Retirement - Monthly	\$272.00
3. 2013	DFAS - Retirement - Monthly	\$1,440.00
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. 2013	Lockheed Martin Corp Master Retirement Trust - Monthly
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.		

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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. 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. TRUST #1 [REDACTED]									
2. - CHASE BANK ACCOUNT	A	Int./Div.	M	T					
3. - CHASE BANK ACCOUNT	A	Int./Div.	J	T					
4. CHASE INVESTMENT SERVICES MONEY MARKET ACCT.	A	Int./Div.	K	T					
5. TRUST #2 [REDACTED] [REDACTED] REVOCABLE TRUST"									
6. - AMERICAN NATIONAL BANK	A	Interest	K	T					
7. - WELLS FARGO	A	Interest	J	T					
8. AMERICAN NATIONAL BANK - [REDACTED] [REDACTED]	A	Interest	M	T					
9. TRUST #3 [REDACTED] RUST									
10. - FIDELITY BROKERAGE ACCT. MONEY MARKET ACCT.	A	Int./Div.	J	T					
11. - BARCLAYS BANK PLC IPATH ETN 12-6-36		None	J	T					
12. - CALAMOS GROWTH & INCOME CL A	A	Int./Div.	J	T	Buy (add'l)	01/10/13	J		
13. - CALAMOS GROWTH & INCOME CL A					Buy (add'l)	08/08/13	J		
14. - CALAMOS GROWTH & INCOME CL A					Buy (add'l)	10/04/13	J		
15. - CALAMOS GROWTH & INCOME CL I	A	Int./Div.			Sold	12/17/13	K	C	
16. - DODGE & COX INT'L STOCK	B	Int./Div.	J	T					
17. - FIDELITY ADVISOR NEW INSIGHTS I	B	Int./Div.	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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = \$50,001 - \$100,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$250,000.01 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	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				
	(1) Amount Code I (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. - ISHARES FTSE EPRA/NAREIT GLOBAL REAL ESTATE	A	Int./Div.	J		Buy	6/10/13	J		
19. - IPATH DJ-UBS COMMOD IDX TR	A	Int./Div.	J	T					
20. JP MORGAN US RE CLASS A (X)	A	Int./Div.			Sold	12/23/13	J	A	
21. - LOOMIS SAYLES BD INGTL	A	Int./Div.	K	T					
22. - LOOMIS SAYLES BOND RETAIL SHARES	A	Int./Div.	J	T	Buy (add'l)	03/7/13	J		
23. - LOOMIS SAYLES BOND RETAIL SHARES					Buy (add'l)	08/08/13	J		
24. - LOOMIS SAYLES BOND RETAIL SHARES					Buy (add'l)	12/17/13	J		
25. - MERGER FUND	A	Int./Div.	K	T	Buy (add'l)	01/10/13	J		
26. - MERGER FUND					Buy (add'l)	04/11/13	J		
27. - MERGER FUND					Buy (add'l)	09/12/13	J		
28. - MERGER FUND					Buy (add'l)	10/04/13	J		
29. - DFA US CORE EQUITY II	A	Int./Div.	K	T	Buy	12/17/13	K		
30. - PIMCO ALL ASSET ALL AUTHORITY INST CL	A	Int./Div.	K	T					
31. - PIMCO ALL ASSET AUTHORITY CL D	A	Int./Div.	K	T	Buy (add'l)	01/10/13	J		
32. - PIMCO ALL ASSET AUTHORITY CL D					Buy (add'l)	03/07/13	J		
33. - PIMCO ALL ASSET AUTHORITY CL D					Buy (add'l)	04/25/13	J		
34. - PIMCO ALL ASSET AUTHORITY CL D					Buy (add'l)	05/09/13	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	
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	(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. - PIMCO ALL ASSET AUTHORITY CL D					Buy (add'l)	08/08/13	J		
36. - PIMCO ALL ASSET AUTHORITY CL D					Buy (add'l)	09/12/13	J		
37. - PIMCO ALL ASSET AUTHORITY CL D					Buy (add'l)	11/29/13	J		
38. - PIMCO TOTAL RETURN ADMIN SHS	A	Int./Div.	K	T	Buy (add'l)	01/10/13	J		
39. - PIMCO TOTAL RETURN ADMIN SHS					Buy (add'l)	03/07/13	J		
40. - PIMCO TOTAL RETURN ADMIN SHS					Buy (add'l)	05/09/13	J		
41. - PIMCO TOTAL RETURN ADMIN SHS					Buy (add'l)	06/06/13	J		
42. - PIMCO TOTAL RETURN ADMIN SHS					Buy (add'l)	08/08/13	J		
43. - PIMCO TOTAL RETURN ADMIN SHS					Buy (add'l)	10/04/13	J		
44. - PIMCO TOTAL RETURN ADMIN SHS					Buy (add'l)	11/08/13	J		
45. - PIMCO TOTAL RETURN ADMIN SHS					Buy (add'l)	12/17/13	J		
46. -PIMCO EMERG MKTS CURRENCY	A	Int./Div.			Sold	07/08/13	K	A	
47. - PIMCO EMERG MKTS CURRENCY	A	Int./Div.			Buy (add'l)	03/07/13	J		
48. - PIMCO EMERG MKTS CURRENCY					Buy (add'l)	05/09/13	J		
49. - PIMCO EMERG MKTS CURRENCE					Sold	08/08/13	J	A	
50. - PIMCO REAL RETURN BOND INSTL (IX)	A	Int./Div.	J	T	Buy (add'l)	01/10/13	J		
51. - PIMCO TOT RET INSTL	A	Int./Div.	L	T	Buy (add'l)	04/25/13	J		

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52. - PIMCO COMMODITY REAL RET STRAT ADMIN CL	A	Int./Div.	J	T	Buy	04/05/13	J		
53. - PIMCO COMMODITY REAL RET STRAT ADMIN CL					Buy (add'l)	06/06/13	J		
54. - PIMCO COMMODITY REAL RET STRAT ADMIN CL					Buy (add'l)	09/12/13	J		
55. - PIMCO COMMODITY REAL RET STRAT ADMIN CL					Buy (add'l)	11/08/13	J		
56. - PIMCO EMERGING LOCAL BOND FD INST CL	A	Int./Div.	K	T	Buy	07/08/13	K		
57. - PIMCO EMERGING LOCAL BOND FUND ADMIN SH	A	Int./Div.	J	T	Buy	09/08/13	J		
58.					Buy (add'l)	12/17/13	J		
59. - PIMCO REAL RETURN ADMIN CLASS	A	Int./Div.	J		Buy	12/17/13	J		
60. - SPARTAN INTL INDEX FID ADV CLASS	A	Int./Div.	J	T	Buy	12/17/13	J		
61. - SPARTAN EMERGING MKT INDEX FUND	A	Int./Div.	J	T	Buy	12/17/13	J		
62. - VANGUARD ALL-WLD EX-US	A	Int./Div.	J	T					
63. - VANGUARD INDEX FDS VANGUARD REIT ETF	A	Int./Div.	J	T					
64. - VANGUARD UTILITIES ETF (IX)	B	Int./Div.			Sold	12/19/13	K	B	
65. - VANGUARD MSCI EMERGING	A	Int./Div.	J	T					
66. - VANGUARD GLOBAL REAL	A	Int./Div.	J	T					
67. - GATEWAY FUND	B	Int./Div.	K	T	Buy (add'l)	04/05/13	J		
68. - GATEWAY FUND					Buy (add'l)	05/09/13	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	P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	L = \$50,001 - \$100,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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69. - GATEWAY FUND					Buy (add'l)	10/04/13	J		
70. - MATTHEWS ASIA DIVIDEND	A	Int./Div.	J	T					
71. - PWRSHRS RAFI US 1000	B	Int./Div.	J	T					
72. - PWRSHRS RAFI US 1500	C	Int./Div.	J	T					
73. NEW YORK LIFE INS WHOLE LIFE	C	Int./Div.	M	T					
74. WYOMING DEFERRED COMP									
75. - OPPENHEIMER GLOBAL	D	Int./Div.	L	T	Redeemed (part)	11/15/13	J		RETIREMENT DIST.
76. - T ROWE PRICE NEW HORIZON	E	Int./Div.	M	T	Redeemed (part)	11/15/13	J		RETIREMENT DIST.
77. - ARTISAN MID CAP FUND	E	Int./Div.	M	T	Redeemed (part)	11/15/13	J		RETIREMENT DIST.
78. WYOMING STATE RET. SYSTEM BEN. ACCT (X)	A	Int./Div.	J	T					RETIREMENT DIST.
79. XCEL ENERGY	B	Int./Div.	K	T					
80. AXA EQUITABLE LIFE INS COMPANY	A	Interest	J	W					
81. UNITED STATES AUTO ASSOC.	A	Interest	J	W					
82. TRUST #4 -									
83. - BARCLAYS BANK PLCD IPATH ETN (X)	A	Int./Div.	J	T					
84. - DODGE & COX INTERNATL STOCK FUND	C	Int./Div.	J	T					
85. - AMERICAN CAPITAL WORLD GRWTH & INC	B	Int./Div.	J	T					

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86. - AMERICAN NEW WORLD CLASS F1	A	Int./Div.	J	T					
87. - BRIDGEWAY ULTRA SMALL CO MARKET	C	Int./Div.	J	T	Sold (part)	07/08/13	J	A	
88. - CALAMOS GROWTH & INCOME CL A	A	Int./Div.	J	T	Sold (part)	12/17/13	J	A	
89. - CALAMOS GROWTH & INCOME CL I	A	Int./Div.	J	T	Sold (part)	12/17/13	J	C	
90. - COHEN S STEERS INTL REALTY INC CL A (X)	A	Int./Div.	J	T					
91. - FIDELITY ADVISOR NEW INSIGHTS CL I	B	Int./Div.	J	T					
92. FIDELITY CASH CLEARING ACCOUNT (X)	A	Interest	J	T					
93. - FIDELITY CORE ACCOUNT	A	Interest	J	T					
94. - GATEWAY FUND CLASS A	A	Int./Div.	J	T					
95. - GATEWAY FUND CLASS Y	B	Int./Div.	K	T					
96. - ISHARES TR S&P 500/VALUE INDEX FD	A	Int./Div.	J	T	Buy	06/24/13	J		
97. - LOOMIS SAYLES BOND RETAIL SHARES	A	Int./Div.	K	T	Buy (add'l)	09/26/13	J		
98. - LOOMIS SAYLES BOND RETAIL SHARES					Sold (part)	07/08/13	J	A	
99. - MERGER FUND	A	Int./Div.	J	T					
100. - PIMCO ALL ASSETS ALL AUTHORITY CL D	A	Int./Div.	K	T	Buy (add'l)	08/08/13	J		
101. - PIMCO EMERGING MARKETS CY ADMN CL	A	Int./Div.			Sold	08/08/13	J	A	
102. - PIMCO EMERGING LOCAN BIND FUND ADMIN SH	A	Int./Div.	J	T	Buy	07/08/13	J		

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☐ 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)
103. - PIMCO EMERGING LOCAL BOND FD INST CL	A	Int./Div.	J	T	Buy	08/08/13	J		
104. -POWERSHARES FTSE RAFI US 1000	C	Int./Div.	J	T	Buy (add'l)	01/14/13	J		
105. - SPRTN TOTAL MKT INDX INVESTOR CLASS	A	Int./Div.	J	T	Buy	12/17/13	J		
106. - VANGUARD INTL EQUITY INDEX FD INC FTSE	B	Int./Div.	K	T					
107. - VANGUARD INTL EQUITY INDEX FDS MSCI	A	Int./Div.	J	T					
108. - VANGUARD SECTOR INDEX FDS VANGUARD UTILS	B	Int./Div.			Sold	12/19/13	J	C	
109. - VANGUARD ALL-WLD EX-US SM CP ET	B	Int./Div.	K	T					
110. - WILLIAM BLAIR INT'L GROWTH	B	Int./Div.	J	T					

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

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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 homes 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 honorary 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 [REDACTED]. It contains financial investments listed on schedule VII that I believe are the sole financial interests of the trust. No portion of the trust is derived from my assets, income or activities or those [REDACTED]. 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. [REDACTED]. 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 [REDACTED] 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 American National Bank now ANB Bank and Wells Fargo National Bank, Part VII. Trust #3 holds and controls items listed on schedule VII.

Trust #4 is another trust established [REDACTED]. I am not a trustee or beneficiary of this trust, the assets listed are listed due to the filing of a [REDACTED] income tax return in 2012.

Wyoming Deferred Compensation Plan is a program for State Employees to deposit earnings for deferred tax investment. I received reports entitled Wyoming Retirement System 457 Deferred Compensation Plan c/o Great West Retirement. There are various options that an employee may use for investment. In 2010, detailed assets (three mutual funds) were listed in total, however in this report they have been separately listed. Net investment gain is also listed. See following paragraph regarding 2010 changes that will be forthcoming. In 2010 it became incumbent upon undersigned to take distributions from this plan and pay tax on the income. If all goes as directed, a sum will be withdrawn each year and will be taxed.

[REDACTED] reported assets with [REDACTED] consists of the checking account at American National Bank now ANB Bank.

There were also two small reportable assets that were previously not reported, additional shares in Xcel Energy and an AXA Equitable Life Insurance Policy. The AXA Equitable Life Insurance Company whole life policy has a small cash value, barely over the reportable limit. This policy was originally established approximately thirty years ago when the law firm I was with converted a group term policy into whole life.

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Name of Person Reporting

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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/ 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)

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