

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) James, Teresa J.	2. Court or Organization U.S. District Court (Kansas)	3. Date of Report 05/10/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Magistrate Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address Robert J. Dole United States Courthouse 500 State Ave, Rm 208 Kansas City, KS 66101		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. President-elect	Earl E. O'Connor Inn of Court
2.	
3.	
4.	
5.	

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.	
2.	
3.	

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***A. Filer's Non-Investment Income**NONE *(No reportable non-investment income.)*DATESOURCE AND TYPEINCOME
(yours, not spouse's)

1. _____

2. _____

3. _____

4. _____

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*NONE *(No reportable non-investment income.)*DATESOURCE AND TYPE

1. _____

2. _____

3. _____

4. _____

IV. REIMBURSEMENTS *— transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*NONE *(No reportable reimbursements.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. _____

2. _____

3. _____

4. _____

5. _____

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*

<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.		
2.		
3.		
4.		
5.		

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*NONE *(No reportable liabilities.)*

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.		
2.		
3.		
4.		
5.		

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VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. VANGUARD SEP-IRA ACCOUNT									
2. 500 Index Fund (VFIAX)	B	Dividend	L	T					
3. Emerging Markets Stock Index Fund (VEIEX)	A	Dividend	J	T					
4. Extended Market Index Fund Admiral (VEXAX)	A	Dividend	K	T					
5. Intermediate-Term Investment-Grade (VFICX)	A	Dividend	J	T					
6. Prime Money Market (VMMXX)	A	Interest	J	T					
7. REIT Index (VGSIX)	A	Dividend	J	T					
8. Strategic Equity Fund (VSEQX)	B	Dividend	K	T					
9. Vanguard Windsor II Fund (VWNFX)	D	Dividend	L	T					
10. AT&T(T)	A	Dividend	K	T					
11. Cerner(CERN)		None	J	T					
12. ConocoPhillips (COP)	A	Dividend	K	T					
13. Alphabet Class C, formerly Google(GOOG)		None	M	T	Buy (add'l)	02/08/16	K		
14.					Buy (add'l)	02/02/16	K		
15.					Buy (add'l)	01/15/16	J		
16.					Buy (add'l)	01/04/16	L		
17. Alphabet Class A, formerly Google(GOGL)		None	M	T	Buy (add'l)	02/08/16	K		

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	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	F = \$50,001 - \$100,000 (See Columns C1 and D3)	J = \$15,000 or less 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	N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market

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18.					Buy (add'l)	02/02/16	K		
19. Microsoft(MSFT)	A	Dividend	J	T					
20. Phillips 66(PSX)	A	Dividend	K	T					
21. Exxon Mobil(XOM)	B	Dividend	K	T	Sold (part)	06/21/16	J		
22. Apple(AAPL)	A	Dividend	L	T					
23. Amazon(AMZN)		None	L	T	Buy	09/13/16	L		
24. Nike(NKE)	A	Dividend	K	T	Buy	01/04/16	K		
25. Wells Fargo(WFC)	A	Dividend	K	T	Buy	01/07/16	K		
26.									
27. AMERITRADE BROKERAGE ACCOUNT									
28. Apple(AAPL)	A	Dividend	J	T					
29.					Buy (add'l)	01/04/16	J		
30. Cerner (CERN)		None			Sold	08/11/16	J		
31. Google(Goog)		None	K	T					
32.					Buy (add'l)	09/13/16	J		
33.					Buy (add'l)	06/29/16	J		
34.					Buy (add'l)	01/04/16	J		

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3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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35.					Buy (add'l)	11/11/16	J		
36.					Buy (add'l)	12/01/16	J		
37.					Donated (part)				
38. Google(Googl)		None			Donated				
39. Targa Resources (NGLS), formerly Atlas Pipeline(APL)	A	Distribution	J	T					
40. Kinder Morgan, Inc (KMI)	A	Distribution	J	T					
41. Money Market (in Ameritrade Brokerage Acct, Line 27)	A	Interest	J	T					
42.									
43.									
44.									

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

Notes re Section VII Investments and Trusts:

The decrease in the Gross Value of the Prime Money Market Account listed in Column C(1), Line 6, compared to the Gross Value reflected in my 2015 Disclosure for this Account, is the result of use of funds from this account to purchase (i.e. Buy and Buy additional) stocks shown in Column D(1), Lines 13 - 18 and 23 - 25.

Regarding the Sells reflected in Column D, there would be "unrealized" (and uncalculated) capital gains, because these transactions occurred within my IRA and were not taxable at the time.

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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/ Teresa J. James**

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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