

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

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) O'HARA, JAMES P.	2. Court or Organization U.S. DISTRICT COURT	3. Date of Report 04/19/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) MAGISTRATE JUDGE, FULL-TIME	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 1/1/2012 to 12/31/2012
7. Chambers or Office Address 208 U.S. COURTHOUSE 500 STATE AVENUE 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.		
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 8

Name of Person Reporting

O'HARA, JAMES P.

Date of Report

04/19/2013

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. 2012	UNIVERSITY OF KANSAS LAW SCHOOOL - TEACHING	\$1,500.00
2.		
3.		
4.		

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

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1.	
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.	American Conference Institute	4/29/2012 - 5/1/2012	New York, NY	Educational seminar	meals, lodging, transportation
2.	American Conference Institute	5/31/2012 - 6/1/2012	New York, NY	Educational seminar	meals, lodging, transportation
3.	George Mason University School of Law	09/23-2012 - 9/28/2012	Arlington, VA	Educational seminar	meals, lodging, transportation
4.	American Conference Institute	10/16/12 - 10/18/2012	Philadelphia, PA	Educational seminar	meals, lodging, transportation
5.					

FINANCIAL DISCLOSURE REPORT

Page 3 of 8

Name of Person Reporting

O'HARA, JAMES P.

Date of Report

04/19/2013

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

Page 4 of 8

Name of Person Reporting

O'HARA, JAMES P.

Date of Report

04/19/2013

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. Valley View State Bank (savings & checking accounts)	A	Interest	J	T					
2. Fidelity Rollover IRA No. 1 (formerly AG Edwards Rollover									
3. IRA No. 1)									
4. - Fidelity Cash Reserves	A	Interest	J	T					
5. - Fidelity Advisor Small Cap Class I		None			Sold	07/06/12	J	B	
6. - Vanguard Index Fds Reit ETF	A	Dividend	J	T					
7. - Eagle Sm Cap Growth Fd Cl 1	A	Dividend	J	T					
8. - Harding Loevner Int'l Equity Port Inst'l	A	Dividend	J	T					
9. - Metropolitan West Tot Return Bond Cl M	A	Dividend	K	T	Buy	07/06/12	J		
10. - Oppenheimer Int'l Bond Class A	A	Dividend	J	T					
11. - Oppenheimer Dev Markets Fd Class A		None			Sold	07/06/12	J	A	
12. Convergence Core Plus Fd Inst'l Cl (f/k/a Mariner I 30/30	A	Dividend	K	T	Sold (part)	04/30/12	K	C	
13. Fund Institutional Cl Shares)									
14. - Wasatch Emerging Mkt Sm Cap Fd	A	Dividend	J	T					
15. - Powershares DB Commodity Index Tracking		None			Sold	02/15/12	J	A	
16. - Palmer Square Absolute Return Cl 1	A	Dividend	K	T	Buy	07/06/12	J		
17. - Nuance Concentrated Value Fd Inst'l	A	Dividend	J	T					

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 J = \$15,000 or less (See Columns C1 and D3)	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000	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	P4 = More than \$50,000,000 S = Assessment W = Estimated	T = Cash Market

FINANCIAL DISCLOSURE REPORT

Page 5 of 8

Name of Person Reporting

O'HARA, JAMES P.

Date of Report

04/19/2013

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

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

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

18. - Tortise MLP Pipeline Fd Inst'l		None	K	T					
19. - Cullen High Dividend Equity Class 1	A	Dividend	K	T					
20. - Dodge & Cox Income	A	Dividend	J	T					
21. - Ishares Gold Trust		None	J	T	Buy	02/15/12	J		
22.					Buy	07/10/12	J		
23.					Buy	09/27/12	J		
24.					Buy	10/02/12	J		
25. - Pimco High Yield Inst'l	A	Dividend	J	T	Buy	07/06/12	J		
26. Fidelity Rollover IRA No. 2 (formerly AG Edwards)									
27. Rollover IRA No. 2)									
28. - Fidelity Cash Reserves	A	Interest	J	T					
29. - Fidelity Advisor Small Cap Class I		None			Sold	07/06/12	J	A	
30. - Vanguard Index Fds Reit ETF	A	Dividend	J	T					
31. - Eagle Sm Cap Growth Fd Cl I	A	Dividend	J	T					
32. - Harding Loevner Int'l Equity Port Inst'l	A	Dividend	J	T					
33. - Metropolitan West Tot Return Bond Cl M	A	Dividend	J	T	Buy	07/06/12	J		
34. - Oppenheimer Int'l Bond Class A	A	Dividend	J	T					

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

FINANCIAL DISCLOSURE REPORT

Page 6 of 8

Name of Person Reporting

O'HARA, JAMES P.

Date of Report

04/19/2013

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

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

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

35. - Oppenheimer Dev Markets Fd Class A		None			Sold	07/06/12	J	A	
36. - Convergence Core Plus Fd Inst'l Cl (f/k/a Mariner I 30/30	A	Dividend	J	T	Sold (part)	04/30/12	J	A	
37. Fund Institutional Cl Shrs)									
38. - Wasatch Emerging Mkts Sm Cap Fd	A	Dividend	J	T					
39. - Powershares DB Commodity Index Tracking		None			Sold	02/15/12	J	A	
40. - Palmer Square Absolute Return Cl 1	A	Dividend	J	T	Buy	07/06/12	J		
41. - Nuance Concentrated Value Fd Inst'l	A	Dividend	J	T					
42. - Tortise MLP Pipeline Fd Inst'l		None	J	T					
43. - Cullen High Dividend Equity Class 1	A	Dividend	J	T					
44. - Dodge & Cox Income	A	Dividend	J	T					
45. - Ishares Gold Trust		None	J	T	Buy	02/15/12	J		
46.					Buy	07/10/12	J		
47.					Buy	09/27/12	J		
48.					Buy	10/02/12	J		
49. - Pimco High Yield Inst'l	A	Dividend	J	T	Buy	07/06/12	J		
50. Fidelity U.S. Gov't Reserves (frmly Cent. Money Mkt Trust)	A	Dividend	J	T	Sold	04/24/12	K	A	

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	P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 7 of 8

Name of Person Reporting

O'HARA, JAMES P.

Date of Report

04/19/2013

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

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

O'HARA, JAMES P.

Date of Report

04/19/2013

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/ JAMES P. O'HARA**

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544