

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) LOKEN, JAMES B.	2. Court or Organization EIGHTH CIRCUIT	3. Date of Report 10/03/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) CIRCUIT JUDGE (Active)	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 U.S. Courthouse, Suite 11W 300 South Fourth Street Minneapolis, MN 55415		
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.	Past President	Federal Bar Association, Minnesota Chapter
2.	Member	American Law Institute
3.		
4.		
5.		

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

☒ NONE (No reportable agreements.)

	<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.		
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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

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. STOCKS (All Common)									
2. Zimmer Holdings, Inc.	A	Dividend	J	T					
3. Target Corp	C	Dividend	M	T					
4. Emerson Electric	D	Dividend	M	T					
5. Exxon Corp.	B	Dividend	K	T					
6. Wells Fargo & Co.	A	Dividend	K	T					
7. XCel Energy, Inc.	D	Dividend	M	T					
8. Vishay Precision Group		None	J	T					
9. Amkor Technology		None	K	T	Sold (part)	08/25/16	K	D	
10.					Sold (part)	12/13/16	K	D	
11. Oracle Corp.	B	Dividend	L	T	Donated (part)				
12. Cyberoptics Corp.		None	M	T	Sold (part)	05/25/16	K	E	
13.					Sold (part)	09/23/16	K	E	
14.					Sold (part)	10/19/16	K	E	
15. Valero Energy	C	Dividend	L	T					
16. Transocean Ltd.		None	J	T					
17. Cardiovascular Systems		None	L	T	Buy	05/25/16	K		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 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 = \$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	

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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)

18. Clearfield Inc.		None	J	T					
19. Datalink Corp.		None			Sold	05/25/16	K		
20. Cree Inc.		None			Sold	12/13/16	J		
21. General Motors Corp.	B	Dividend	K	T					
22. Brocade Communications					Sold	07/21/15	J	C	See Part VIII
23. Cisco Systems	A	Dividend	K	T					
24. Communications Systems	A	Dividend			Sold (part)	08/05/16	J		
25.					Sold	12/13/16	J		
26. MGC Diagnostics Corp.		None	L	T					
27. Bioscrip Inc.		None	J	T					
28. Sajan Inc.		None	K	T	Buy (add'l)	05/25/16	J		
29. Cypress Semiconductor		None	K	T					
30. Kinder Morgan	A	Dividend	K	T	Buy (add'l)	10/21/16	K		
31. Energy Transfer Partners LP	C	Dividend	L	T	Buy (add'l)	10/21/16	K		
32. Delta Airlines	A	Dividend	L	T	Buy (add'l)	08/05/16	K		
33.					Buy (add'l)	08/25/16	J		
34. Trinity Industries Inc.	A	Dividend	L	T	Buy (add'l)	05/25/16	K		

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

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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)

35. Intricon Corp.		None	J	T	Buy	11/01/16	J		
36. CVR Refining LP		None	K	T	Buy	12/13/16	K		
37. MUTUAL FUNDS									
38. Columbia Acorn Fund	F	Dividend	M	T	Sold (part)	01/19/16	M		
39. Fidelity Equity Income Fund II	D	Dividend	M	T					
40. Fidelity Mn. Tax Free Fund	A	Dividend	J	T	Sold (part)	08/01/16	J	A	
41. Fidelity Spartan Muni Income Fund	E	Dividend	O	T	Buy (add'l)	09/19/16	N		
42. Fidelity Real Estate Inv Trust	E	Dividend	P1	T	Sold (part)	04/15/16	L	D	
43.					Buy (add'l)	04/28/16	L		
44.					Buy (add'l)	09/19/16	O		
45. Fidelity 500 Index Prem Fund	D	Dividend	O	T	Buy	09/19/16	N		
46. Fidelity Balanced Fund	C	Dividend	M	T	Donated (part)				See Part VIII
47. Harbor International Fund	D	Dividend	M	T					
48. Investment Co Amer Fund	E	Dividend	N	T					
49. Mutual Beacon Fund	E	Dividend	N	T					
50. New Perspective Fund	C	Dividend	L	T					
51. Oppenheimer Capital Inc Fund	D	Dividend	M	T	Sold (part)	12/02/16	L	C	

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
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52.					Donated (part)				
53. Oppenheimer Strategic Income	C	Dividend	L	T					
54. Vanguard Fixed Inc Fund GNMA	B	Dividend	J	T	Sold (part)	11/08/16	K	A	
55. Washington Mutual Fund	E	Dividend	N	T					
56. Vanguard Windsor Fund	D	Dividend	M	T					
57. Vanguard Hi-Yield Corp. Fund	D	Dividend	L	T					
58. Vanguard Prime MM Fund	A	Dividend	J	T					
59. Vanguard Long Term Tax Exempt Fund	A	Dividend	K	T					
60. Vanguard Wellington Fund	D	Dividend	N	T					
61. Vanguard Capital Value Fund	B	Dividend	K	T					
62. Vanguard REIT Index Fund	A	Dividend	K	T	Buy	11/08/16	K		
63. Artisan International Fund	B	Dividend	M	T					
64. Leuthold Core Inv. Fund	B	Dividend	N	T					
65. Selected American Shares Fund	E	Dividend	M	T					
66. Amer Century Equity Fund	E	Dividend	N	T					
67. Chase Growth Fund	D	Dividend	M	T					
68. Icon Health Care Fund	B	Dividend	M	T					

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69. Matthews Pacific Tiger Fund	C	Dividend	M	T					
70. Muhlenkamp Fund		None	M	T					
71. Matthews Asia Dividend Fund	C	Dividend	M	T					
72. Schwab Balanced Fund	D	Dividend	L	T					
73. MISC.									
74. F&B Building Partnership		None	J	W					
75. RBC Prime Money Market Fund	A	Dividend	J	T					
76. Schwab Advance Cash Reserve Fund	A	Dividend	J	T					
77. Wells Fargo Bank	A	Interest	J	T					
78. Fidelity Govt Cash Reserve Fund	A	Interest	K	T					
79. STOCKS (All Common)									
80. Zimmer Holdings, Inc.	A	Dividend	J	T					
81. Target Corp	C	Dividend	M	T					
82. Emerson Electric	D	Dividend	M	T					
83. Exxon Corp.	B	Dividend	K	T					
84. Wells Fargo & Co.	A	Dividend	K	T					
85. Xcel Energy, Inc.	D	Dividend	M	T					

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86. Vishay Precision Group		None	J	T					
87. Amkor Technology		None	K	T	Sold (part)	08/25/16	K	D	
88.					Sold (part)	12/13/16	K	D	
89. Oracle Corp.	B	Dividend	L	T	Donated (part)				
90. Cybertoptics Corp.		None	M	T	Sold (part)	05/25/16	K	E	
91.					Sold (part)	09/23/16	K	E	
92.					Sold (part)	10/19/16	K	E	
93. Valero Energy	C	Dividend	L	T					
94. Transocean Ltd.		None	J	T					
95. Cardiovascular Systems		None	L	T	Buy	05/25/16	K		
96. Clearfield Inc.		None	J	T					
97. Datalink Corp.		None			Sold	05/25/16	K		
98. Cree Inc.		None			Sold	12/13/16	J		
99. General Motors Corp.	B	Dividend	K	T					
100. Cisco Systems	A	Dividend	K	T					
101. Communications Systems	A	Dividend			Sold (part)	08/05/16	J		
102.					Sold	12/13/16	J		

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103. MGC Diagnostics Corp.		None	L	T					
104. Bioscrip Inc.		None	J	T					
105. Sajan Inc.		None	K	T	Buy (add'l)	05/25/16	J		
106. Cypress Semiconductor		None	K	T					
107. Kinder Morgan	A	Dividend	K	T	Buy (add'l)	10/21/16	K		
108. Energy Transfer Partners LP	C	Dividend	L	T	Buy (add'l)	10/21/16	K		
109. Delta Airlines	A	Dividend	L	T	Buy (add'l)	08/05/16	K		
110.					Buy (add'l)	08/25/16	J		
111. Trinity Industries Inc.	A	Dividend	L	T	Buy (add'l)	05/25/16	K		
112. Intricon Corp.		None	J	T	Buy	11/01/16	J		
113. CVR Refining LP		None	K	T	Buy	12/13/16	K		
114. MUTUAL FUNDS									
115. Columbia Acorn Fund	F	Dividend	M	T	Sold (part)	01/19/16	M		
116. Fidelity Equity Income Fund II	D	Dividend	M	T					
117. Fidelity Mn. Tax Free Fund	A	Dividend	J	T	Sold (part)	08/01/16	J	A	
118. Fidelity Spartan Muni Income Fund	E	Dividend	O	T	Buy (add'l)	09/19/16	N		
119. Fidelity Real Estate Inv Trust	E	Dividend	P1	T	Sold (part)	04/15/16	L	D	

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120.					Buy (add'l)	04/28/16	L		
121.					Buy (add'l)	09/19/16	O		
122. Fidelity 500 Index Prem Fund	D	Dividend	O	T	Buy	09/19/16	N		
123. Fidelity Balanced Fund	C	Dividend	M	T	Donated (part)				See Part VIII
124. Harbor International Fund	D	Dividend	M	T					
125. Investment Co Amer Fund	E	Dividend	N	T					
126. Mutual Beacon Fund	E	Dividend	N	T					
127. New Perspective Fund	C	Dividend	L	T					
128. Oppenheimer Capital Inc Fund	D	Dividend	M	T	Sold (part)	12/02/16	L	C	
129.					Donated (part)				
130. Oppenheimer Strategic Income	C	Dividend	L	T					
131. Vanguard Fixed Inc Fund GNMA	B	Dividend	J	T	Sold (part)	11/08/16	K	A	
132. Washington Mutual Fund	E	Dividend	N	T					
133. Vanguard Windsor Fund	D	Dividend	M	T					
134. Vanguard Hi-Yield Corp. Fund	D	Dividend	L	T					
135. Vanguard Prime MM Fund	A	Dividend	J	T					
136. Vanguard Long Term Tax Exempt Fund	A	Dividend	K	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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Name of Person Reporting

LOKEN, JAMES B.

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10/03/2017

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)
137. Vanguard Wellington Fund	D	Dividend	N	T					
138. Vanguard Capital Value Fund	B	Dividend	K	T					
139. Vanguard REIT Index Fund	A	Dividend	K	T	Buy	11/08/16	K		
140. Artisan International Fund	B	Dividend	M	T					
141. Leuthold Core Inv. Fund	B	Dividend	N	T					
142. Selected American Shares Fund	E	Dividend	M	T					
143. Amer Century Equity Fund	E	Dividend	N	T					
144. Chase Growth Fund	D	Dividend	M	T					
145. Icon Health Care Fund	B	Dividend	M	T					
146. Matthews Pacific Tiger Fund	C	Dividend	M	T					
147. Muhlenkamp Fund		None	M	T					
148. Matthews Asia Dividend Fund	C	Dividend	M	T					
149. Schwab Balanced Fund	D	Dividend	L	T					
150. MISC.									
151. F&B Building Partnership		None	J	W					
152. RBC Prime Money Market Fund	A	Dividend	J	T					
153. Schwab Advance Cash Reserve Fund	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	

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LOKEN, JAMES B.

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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)
154. Wells Fargo Bank	A	Interest	J	T					
155. Fidelity Govt Cash Reserve Fund	A	Interest	K	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.)*

IRA transaction overlooked on 2015 Report:

Fidelity Balanced Fund A Dividend M T Buy 05/05/15 M

Part VII, Line 22: Brocade Communications was inadvertently reported as Sold (part), rather than Sold, on Part VII, Line 22, of my 2015 Report. Column C, gross value at the end of the 2015 reporting period, was zero.

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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/ JAMES B. LOKEN

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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