AO 10
Rev. 3/2023

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2023

Report Required by the Ethics in Government Act of 1978 (5 U.S.C. app. §§ 13101-13111)

1. Person Reporting (last name, first, middle initial)	2. Court or Organization	3. Date of Report
Broomes, John W.	U.S. District Court, Kansas	5/2/2024
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)	**5a. Report Type (check appropriate type)**	**6. Reporting Period**
U.S. District Judge - Active	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2023 **to** 12/31/2023
7. Chambers or Office Address		
232 United States Courthouse 401 N. Market Street Wichita, Kansas 67202		

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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 345 Trustees, Executors, Administrators, and Custodians; § 350 Power of Attorney; § 355 Outside Positions.)*

☐ NONE *(No reportable positions.)*

POSITION	NAME OF ORGANIZATION/ENTITY
1.	
2.	
3. Trustee	Trust #1
4. Trustee	Trust #2 (no reportable assets)
5.	

II. AGREEMENTS. *(Reporting individual only; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 340 Agreements and Arrangements.)*

☑ NONE *(No reportable agreements.)*

DATE	PARTIES AND TERMS
1.	
2.	
3.	

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 320 Income; § 360 Spouses and Dependent Children.)*

A. Filer's Non-Investment Income

☑ NONE *(No reportable non-investment income.)*

	DATE	SOURCE AND TYPE	INCOME (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.)*

	DATE	SOURCE
1.		
2.		
3.		
4.		

IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.*

(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)

☑ NONE *(No reportable reimbursements.)*

	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.					
2.					
3.					
4.					
5.					

V. GIFTS. *(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable gifts.)*

	SOURCE	DESCRIPTION	VALUE
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 335 Liabilities; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable liabilities.)*

	CREDITOR	DESCRIPTION	VALUE CODE
1.			
2.			
3.			
4.			
5.			

Name of Person Reporting	Date of Report
Broomes, John W.	5/2/2024

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ 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)	
1.	Intrust Bank cash account	A	Interest	K	T					
2.	Brokerage Account #1 (H)									
3.	E-Trade Cash account	A	Interest	K	T					
4.	SPDR GOLD TR GOLD SHS		None	J	T					
5.	ISHARES SILVER SHARES		None	J	T					
6.	Retirement Account #2 (H)									
7.	EQ/International Equity mutual fund		None	J	T					
8.	EQ/AB Small Cap Growth mutual fund		None	J	T					
9.	EQ/International Core Volatility mutual fund		None	J	T					
10.	EQ/Equity Managed Volatility mutual fund		None	J	T					
11.	EQ/Large Cap Growth mutual fund		None	K	T					
12.	EQ/International Value Volatility mutual fund		None	J	T					
13.	EQ/Janus Enterprise mutual fund		None	J	T					
14.	EQ/Aggressive Growth Strategy		None	J	T					
15.	Retirement Account #3 (H)									
16.	EQ/International Equity mutual fund		None	J	T					
17.	EQ/AB Small Cap Growth mutual fund		None	J	T					

1. Income Gain Codes: (See Columns B1 and D4)	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	
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000		
	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 (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market		
	U =Book Value	V =Other	W =Estimated			

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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 (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	
18. EQ/International Core Volatility mutual fund		None	J	T					
19. EQ/Equity Managed Volatility mutual fund		None	J	T					
20. EQ/Large Cap Growth mutual fund		None	J	T					
21. EQ/Janus Enterprise mutual fund		None	J	T					
22. EQ/Aggressive Growth Strategy		None	J	T					
23. Retirement Account #4 (H)									
24. Financial Square Tr Government Institutional Class Fd #465 (Cash Acct)	A	Int./Div.	J	T					
25. SPDR Bloomberg Barclays 1-3 Month T-Bill ETF (Y)									
26. Artisan Mid Cap Fund-Ins	A	Dividend	J	T	Buy (add'l)	01/05/23	J		
27.					Sold (part)	07/06/23	J		
28. Commerce Growth Fund Institutional Fund #337	A	Dividend	J	T	Buy (add'l)	01/05/23	J		
29.					Sold (part)	04/06/23	J		
30.					Sold (part)	07/06/23	J		
31. Commerce Midcap Growth Fund Institutional # 339	A	Dividend	J	T					
32. Commerce Value Fund Institutional Fund #346	A	Dividend	J	T	Buy (add'l)	04/05/23	J		
33.					Buy (add'l)	10/04/23	J		
34. DFA US Large Cap Value Portfolio	A	Dividend	J	T					

1. Income Gain Codes: (See Columns B1 and D4) — 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; 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 (See Columns C1 and D3) — J =$15,000 or less; K =$15,001 - $50,000; L =$50,001 - $100,000; M =$100,001 - $250,000; 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
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35. Fidelity Mid Cap Value Index Fund	A	Dividend	K	T	Buy (add'l)	10/04/23	J		
36. Invesco Main Street Small Cap Fund R6	A	Dividend	J	T					
37. T Rowe Price Growth Stock Fund-I	A	Dividend	J	T	Buy (add'l)	01/05/23	J		
38.					Sold (part)	04/05/23	J		
39.					Sold (part)	07/06/23	J	A	
40. TIAA-CREF Large-Cap Growth Index Fund	A	Dividend	J	T	Buy (add'l)	01/05/23	J		
41.					Sold (part)	04/05/23	J	A	
42.					Sold (part)	07/06/23	J	A	
43. TIAA-CREF Large-Cap Value Index Fund	A	Dividend	J	T					
44. DFA Emerging Markets Portfolio	A	Dividend	J	T	Buy	07/06/23	J		
45. DFA International Small Company Portfolio	A	Dividend	J	T					
46. MFS Research International Fund R6	A	Dividend	J	T	Sold (part)	04/05/23	J		
47. Northern Funds Active M Emerging Markets Equity Fund	A	Dividend			Sold	07/06/23	J		
48. T Rowe Price Overseas Stock Fund-I	A	Dividend	J	T	Sold (part)	01/05/23	J	A	
49.					Buy (add'l)	04/05/23	J		
50. Schwab Short Term US Treasury ETF	A	Dividend			Buy (add'l)	01/04/23	J		
51.					Sold	07/05/23	J		

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52. Commerce Bond Fund Fund #333	A	Dividend	K	T	Buy (add'l)	01/05/23	J		
53.					Buy (add'l)	07/06/23	J		
54. Dodge & Cox Income Fund	A	Dividend	K	T	Buy (add'l)	01/05/23	J		
55.					Buy (add'l)	04/05/23	J		
56.					Buy (add'l)	07/06/23	J		
57. Retirement Account #5 (H)									
58. Financial Square Tr Government Institutional Class Fd #465 (Cash Acct)	A	Int./Div.	J	T					
59. Artisan Mid Cap Fund-Ins	A	Dividend	J	T					
60. Commerce Growth Fund Institutional Fund #337	A	Dividend	J	T					
61. Commerce Midcap Growth Fund Institutional # 339	A	Dividend	J	T					
62. Commerce Value Fund Institutional Fund #346	A	Dividend	J	T					
63. DFA US Large Cap Value Portfolio	A	Dividend	J	T					
64. Fidelity Mid Cap Value Index Fund	A	Dividend	J	T					
65. Invesco Main Street Small Cap Fund R6	A	Dividend	J	T					
66. T Rowe Price Growth Stock Fund-I	A	Dividend	J	T	Buy (add'l)	01/04/23	J		
67.					Sold (part)	07/06/23	J	A	
68. TIAA-CREF Large-Cap Growth Index Fund	A	Dividend	J	T					

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69. TIAA-CREF Large-CAp Value Index Fund	A	Dividend	J	T					
70. DFA Emerging Markets Portfolio	A	Dividend	J	T	Buy	07/06/23	J		
71. DFA International Small Company Portfolio	A	Dividend	J	T					
72. MFS Research International Fund R6	A	Dividend	J	T	Sold (part)	04/04/23	J		
73. Northern Funds Active M Emerging Markets Equity Fund	A	Dividend			Sold	07/06/23	J		
74. T Rowe Price Overseas Stock Fund-I	A	Dividend	J	T					
75. Schwab Short Term US Treasury ETF	A	Dividend			Sold	07/05/23	J		
76. Commerce Bond Fund Fund #333	A	Dividend	J	T	Buy (add'l)	07/06/23	J		
77. Dodge & Cox Income Fund	A	Dividend	J	T					
78. [redacted] Trust #1 (H)									
79. Intrust Bank cash account	A	Interest	M	T					
80. [redacted] Trust #3 (H)									
81. Financial Square Trust Treasury Obligation Fund cash equivalent	A	Int./Div.	J	T					
82. Fidelity Mid Cap Index Fund - Fai	A	Dividend	J	T	Sold (part)	04/24/23	J	A	
83.					Sold (part)	06/22/23	J	A	
84.					Sold (part)	12/08/23	J	A	
85. Fidelity 500 Index Fund - Ai	A	Dividend	J	T	Sold (part)	04/24/23	J	A	

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86.					Sold (part)	06/22/23	J	A	
87.					Buy (add'l)	12/08/23	J		
88. Commerce Kansas Taxfree Intermediate Bond Fund #1399	A	Dividend	J	T	Sold (part)	04/24/23	J		
89.					Sold (part)	06/22/23	J		
90.					Buy (add'l)	12/08/23	J		
91. Commerce Natl Tax-Free Bd Fd #334	A	Dividend	J	T	Sold (part)	04/24/23	J		
92.					Sold (part)	06/22/23	J		
93.					Buy (add'l)	12/08/23	J		
94. [redacted] Trust #5 (H)									
95. Financial Square Trust Treasury Obligation Fund cash equivalent	B	Int./Div.	K	T					
96. American Century Small Cap Growth Fund-Y	A	Int./Div.	J	T	Buy (add'l)	03/07/23	J		
97.					Sold (part)	11/28/23	J		
98. Artisan Mid Cap Fund	A	Dividend	J	T	Sold (part)	11/28/23	J		
99. Clearbridge Small Cap Growth Fund Is	A	Dividend	J	T	Sold (part)	11/28/23	J		
100. Commerce Growth Fund Institutional Fund #337	A	Dividend	K	T	Buy (add'l)	11/28/23	J		
101. Commerce Midcap Growth Fund Institutional # 339	A	Dividend	J	T	Sold (part)	11/28/23	J		
102. Commerce Value Fund Institutional Fund #346	B	Dividend	K	T	Buy (add'l)	11/28/23	J		

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103. DFA US Large Cap Value Portfolio	A	Dividend	K	T	Buy (add'l)	11/28/23	J		
104. DFA US Targeted Value Portfolio	A	Dividend	J	T	Buy (add'l)	03/07/23	J		
105.					Sold (part)	11/28/23	J		
106. Fidelity Large Cap Growth Index Fund	A	Dividend	J	T	Buy (add'l)	11/28/23	J		
107. Fidelity Large Cap Value Index Fund - Ins PR	A	Dividend	K	T	Buy (add'l)	11/28/23	J		
108. Fidelity Mid Cap Value Index Fund	A	Dividend	K	T	Sold (part)	11/28/23	J	A	
109. T Rowe Price Growth Stock Fund-I	A	Dividend	K	T	Buy (add'l)	01/26/23	J		
110.					Buy (add'l)	11/28/23	J		
111. T Rowe Price New Horizons Fund	A	Dividend	J	T	Sold (part)	11/28/23	J		
112. Causeway Emerging Markets mutual fund	A	Dividend			Buy (add'l)	01/26/23	J		
113.					Sold	03/07/23	J		
114. DFA International Small Company Portfolio	A	Dividend	J	T	Buy (add'l)	03/07/23	J		
115.					Sold (part)	11/28/23	J		
116. Fidelity Emerging Markets Index Fund - Fai	A	Dividend	J	T	Buy (add'l)	01/26/23	J		
117. Invesco Eqv Emerging Markets All Cap Fund-R6	A	Dividend	J	T	Buy	03/07/23	J		
118. MFS Research International Fund	A	Dividend	K	T	Buy (add'l)	11/28/23	J		
119. T Rowe Price Overseas Stock Fund	A	Dividend	K	T	Buy (add'l)	03/07/23	J		

1. Income Gain Codes: (See Columns B1 and D4) 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; 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 (See Columns C1 and D3) J =$15,000 or less; K =$15,001 - $50,000; L =$50,001 - $100,000; M =$100,001 - $250,000; 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 (See Column C2) Q =Appraisal; R =Cost (Real Estate Only); S =Assessment; T =Cash Market; U =Book Value; V =Other; W =Estimated

Name of Person Reporting	Date of Report
Broomes, John W.	5/2/2024

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ 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 (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	
120.					Buy (add'l)	11/28/23	J		
121. Commerce Kansas Taxfree Intermediate Bond Fund #1399	D	Dividend	N	T	Buy (add'l)	11/28/23	K		
122. Commerce Natl Tax-Free Bd Fd #334	B	Dividend	L	T					
123. Fidelity Advisor Intermediate Municipal Income Fund Z	B	Dividend	L	T					
124. Nuveen Short Duration High Yield Municipal Bond Fund I	A	Dividend			Sold	11/28/23	J		
125. T Rowe Price Tax Free High Yield I	A	Dividend			Sold	11/28/23	J		
126. Vanguard High Yield Tax Exempt Fund Adm	A	Dividend			Sold	11/28/23	J		
127. Blackrock Systematic Multi-Strategy Fund K	A	Dividend			Sold	03/23/23	K		
128. Jpmorgan Hedged Equity Fund - R6	A	Dividend	K	T	Buy (add'l)	03/23/23	K		
129.					Sold (part)	11/28/23	J	A	
130.									
131.									
132.									
133.									
134.									
135.									
136.									

1. Income Gain Codes: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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	
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3. Value Method Codes (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
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Name of Person Reporting	Date of Report
Broomes, John W.	5/2/2024

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ 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 (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	
137.									
138.									

1. Income Gain Codes: (See Columns B1 and D4) 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; F =$50,001 - $100,000; G =$100,001 - $1,000,000; H1 =$1,000,001 - $5,000,000; H2 =More than $5,000,000
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3. Value Method Codes (See Column C2) Q =Appraisal; R =Cost (Real Estate Only); S =Assessment; T =Cash Market; U =Book Value; V =Other; W =Estimated

Name of Person Reporting	Date of Report
Broomes, John W.	5/2/2024

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

Although I am a trustee of [redacted] Trust #2, there are no reportable assets in the trust.

Name of Person Reporting	Date of Report
Broomes, John W.	5/2/2024

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. § 13141 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: s/ John W. Broomes

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. § 13106)

Committee on Financial Disclosure
Administrative Office of the United States Courts
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Washington, D.C. 20544