

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) Hardiman, Thomas M.	2. Court or Organization U. S. Court of Appeals	3. Date of Report 11/16/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. 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 2270 United States Courthouse 700 Grant Street Pittsburgh, PA 15219		
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.	Director	Big Brothers Big Sisters of Greater Pittsburgh, Inc.
2.	Adjunct Law Professor	Duquesne Law School
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.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 26

Name of Person Reporting

Hardiman, Thomas M.

Date of Report

11/16/2017

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. 2016

The First City Company

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. The Federalist Society

November 17, 2106

Washington, D.C.

Lecture

Transportation

2. _____

3. _____

4. _____

5. _____

FINANCIAL DISCLOSURE REPORT

Page 3 of 26

Name of Person Reporting

Hardiman, Thomas M.

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11/16/2017

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.	Academy of Trial Lawyers of Allegheny County	Honorary Membership	\$750.00
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 26

Name of Person Reporting

Hardiman, Thomas M.

Date of Report

11/16/2017

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)
1. PNC Checking Account	A	Interest	K	T					
2. PNC Money Market Acct.	A	Interest	N	T					
3. Vanguard Prmpcp Mut. Fund (MF)	D	Dividend	M	T	Buy (add'l)	01/26/16	J		
4.					Buy (add'l)	02/12/16	J		
5.					Buy (add'l)	04/13/16	J		
6.					Buy (add'l)	06/29/16	J		
7. Fulton Financial Stk (CS)	A	Dividend	K	T					
8. WELLS FARGO EQUITY ACCOUNT									
9. Wells Fargo MM	A	Interest	N	T					
10. Allergen PLC	A	Dividend	L	T	Buy	05/11/16	K		
11.					Buy (add'l)	05/23/16	J		
12.					Buy (add'l)	06/27/16	J		
13.					Buy (add'l)	10/24/16	J		
14.					Buy (add'l)	11/04/16	J		
15.					Buy (add'l)	11/30/16	J		
16. Alphabet Inc. Class A		None	L	T					
17. Alphabet Inc. Class C		None	L	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 = \$15,001 - \$50,000	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 \$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 5 of 26

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18. AIG Group	A	Dividend			Sold (part)	01/26/16	J	D	
19.					Sold (part)	02/16/16	K	C	
20.					Sold	08/03/16	K	D	
21. Apple	A	Dividend	K	T					
22. Bank New York Mellon CS	A	Dividend	L	T					
23. Berkshire Hathaway		None	M	T					
24. Citigroup	A	Dividend	L	T	Sold (part)	12/06/16	J	C	
25. Continental Building Products		None	L	T					
26. Cooper Standard		None	L	T	Sold (part)	08/01/16	J	C	
27.					Sold (part)	08/11/16	J	C	
28.					Sold (part)	08/25/16	J	C	
29. Cott Corporation		None			Sold (part)	03/31/16	J	C	
30.					Sold	07/12/16	K	D	
31. Dish Network CS		None	L	T					
32. Dow Chemical	A	Dividend			Buy	02/03/16	K		
33.					Sold	02/04/16	K	A	
34. DSW Class A	A	Dividend	K	T					

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FINANCIAL DISCLOSURE REPORT

Page 6 of 26

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35. Express Scripts		None	K	T	Sold (part)	12/08/16	J	C	
36. General Motors	C	Dividend	L	T	Sold (part)	07/19/16	J	A	
37. Goldman Sachs	A	Dividend	L	T					
38. JP Morgan Chase CS	C	Dividend	M	T	Sold (part)	12/06/16	J	D	
39. Kinross Gold Corp		None	J	T					
40. Market Vectors Gold -- Renamed Vaneck Vector EFT	A	Dividend	K	T					
41. Natural Grocers by Vitamin Cottage		None	K	T	Buy	11/15/16	J		
42. Netscout		None	L	T	Buy (add'l)	01/20/16	J		
43.					Sold (part)	01/28/16	J	A	
44.					Buy (add'l)	03/14/16	J		
45.					Buy (add'l)	05/06/16	J		
46.					Buy (add'l)	06/15/16	J		
47. Packaging Co. of America	B	Dividend	K	T	Buy (add'l)	01/20/16	J		
48.					Buy (add'l)	01/25/16	J		
49.					Buy (add'l)	02/12/16	J		
50.					Sold (part)	05/18/16	J	A	
51.					Sold (part)	08/04/16	J	B	

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FINANCIAL DISCLOSURE REPORT

Page 7 of 26

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52.					Sold (part)	09/06/16	J	B	
53.					Sold (part)	11/10/16	J	B	
54. Range Resources	A	Dividend	K	T	Sold (part)	02/17/16	J	A	
55.					Sold (part)	03/07/16	J	A	
56. Robert Half Int'l	A	Dividend	K	T	Buy	06/30/16	K		
57. Spirit Airlines		None	K	T	Buy (add'l)	04/13/16	J		
58.					Buy (add'l)	04/28/16	J		
59.					Buy (add'l)	05/04/16	J		
60.					Buy (add'l)	05/09/16	J		
61.					Buy (add'l)	08/03/16	J		
62. T. Mobile		None	L	T	Sold (part)	11/11/16	J	C	
63. Time Warner New	A	Dividend			Sold (part)	01/06/16	J	D	
64.					Sold	01/08/16	K	D	
65. Twenty-First Century CLA	A	Dividend	L	T					
66. US Bancorp CS	A	Dividend	K	T					
67. WELLS FARGO BOND ACCOUNT									
68. Wells Fargo MM	A	Interest	J	T					

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FINANCIAL DISCLOSURE REPORT

Page 8 of 26

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Hardiman, Thomas M.

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69. RBS Capital Funding f/k/a ABN Amro Cap VII	B	Dividend			Redeemed	06/13/16	K	A	
70. Abington PA School Dist.	B	Interest	K	T					
71. AmerisourceBergen Corp CS	A	Dividend			Donated				
72. Barclays Bank PLC Pfd. Stk (PF)	B	Dividend	K	T					
73. Duke Energy PF	A	Dividend	K	T					
74. Eaton Vance En. Equity MF	A	Dividend	J	T					
75. Eaton Vance Gr. India MF	A	Dividend	K	T					
76. Guggenheim Credit Allocation Fd	C	Dividend	K	T					
77. Investment Co. of America MF	B	Dividend	L	T					
78. Monroeville PA Mun.	A	Interest	K	T					
79. Mount Lebanon PA	B	Interest			Redeemed	02/16/16	K	A	
80. Octorara PA Area	B	Interest	K	T					
81. Pennsylvania HSG	A	Interest	K	T					
82. Spectra Energy Corp PF	A	Dividend	J	T					
83. University Area Jt.	A	Interest	K	T					
84. Garnet Valley PA School District Bond	A	Interest	K	T	Buy	03/31/16	K		
85. Carroll Twp PA Auth. Swr Bond	A	Interest	K	T	Buy	03/31/16	K		

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FINANCIAL DISCLOSURE REPORT

Page 9 of 26

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86. Washington Mutual Invest. MF	B	Dividend	L	T					
87. Capital World Income MF	A	Dividend	K	T					
88. Europacific Growth MF	A	Dividend	K	T					
89. New Perspective FDA MF	A	Dividend	K	T					
90. Lord Abbett Inv. Trust C Class	A	Dividend	J	T					
91. Lord Abbett Inv. Trust Class A	A	Dividend	K	T	Sold (part)	01/28/16	K	A	
92.					Sold (part)	02/29/16	K	A	
93.					Sold (part)	03/28/16	K	A	
94.					Sold (part)	04/28/16	K	A	
95.					Sold (part)	05/31/16	J	A	
96. Lord Abbett Equity Trust Calibrated Mid Cap	A	Dividend	L	T	Buy (add'l)	01/28/16	J		
97.					Buy (add'l)	02/29/16	J		
98.					Buy (add'l)	03/28/16	J		
99.					Buy (add'l)	04/28/16	J		
100.					Buy (add'l)	05/31/16	J		
101. Lord Abbett Secs Trust Growth Leaders Fund		None	L	T	Buy (add'l)	01/28/16	J		
102.					Buy (add'l)	02/29/16	J		

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FINANCIAL DISCLOSURE REPORT

Page 10 of 26

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103.					Buy (add'l)	03/28/16	J		
104.					Buy (add'l)	04/28/16	J		
105.					Buy (add'l)	05/31/16	J		
106. Flaherty & Crumrin	C	Dividend	L	T					
107. Dish Network Class A		None			Donated				
108. MFS SER Trust III Mun High Income Class A	A	Dividend	J	T					
109. MFS Global Total Rtn Fund Class A	B	Dividend	M	T					
110. MFS Growth Class A		None	N	T					
111. MFS Mid Cap Value	B	Dividend	M	T					
112. MFS Municipal Limited Maturity Fund	C	Dividend	M	T	Sold (part)	01/27/16	J	A	
113.					Sold (part)	02/29/16	J	A	
114.					Sold (part)	03/28/16	J	A	
115.					Sold (part)	04/27/16	J	A	
116.					Sold (part)	05/27/16	J	A	
117. MFS Utilities Fund	D	Dividend	M	T	Buy (add'l)	01/27/16	J		
118.					Buy (add'l)	02/29/16	J		
119.					Buy (add'l)	03/28/16	J		

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FINANCIAL DISCLOSURE REPORT

Page 11 of 26

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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)
120.					Buy (add'l)	04/27/16	J		
121.					Buy (add'l)	05/27/16	J		
122. MFS Global Equity Fund Class A	B	Dividend	M	T					
123. MFS International Growth Fund	B	Dividend	M	T					
124. MFS International Value Fund	B	Dividend	M	T					
125. Putnam Capital Spectrum		None	M	T	Buy (add'l)	01/28/16	J		
126.					Buy (add'l)	02/29/16	J		
127.					Buy (add'l)	03/28/16	J		
128.					Buy (add'l)	04/28/16	J		
129. Putnam Equity Spectrum		None	M	T	Buy (add'l)	01/28/16	J		
130.					Buy (add'l)	02/29/16	J		
131.					Buy (add'l)	03/28/16	J		
132.					Buy (add'l)	04/28/16	J		
133. AMCAP Fund		None	J	T	Buy	06/28/16	J		
134. Fundamental Investors	A	Dividend	J	T	Buy	06/28/16	J		
135. Growth Fund of America	A	Dividend	J	T	Buy	06/28/16	J		
136. 401(k) ACCOUNT #1A									

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 12 of 26

Name of Person Reporting

Hardiman, Thomas M.

Date of Report

11/16/2017

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. Lg. Value Equity MF (Dodge & Cox)	A	Dividend	K	T					
138. Lg. Value Growth (T. Rowe Price)	A	Dividend	K	T					
139. Mid Cap Value (Perkins Mid Cap Value)	A	Dividend	K	T					
140. International Value II (Dodge & Cox)	A	Dividend	K	T					
141. Invesco International Growth	A	Dividend	J	T					
142. 401(k) ACCOUNT #2									
143. Merrill Lynch	A	Interest	J	T					
144. Central Europe & Russia MF	A	Dividend	J	T					
145. Century Link	B	Dividend	K	T					
146. Citigroup CS	A	Dividend	J	T					
147. General Electric CS	A	Dividend	J	T					
148. Nektar Therapeutics CS		None			Sold	09/26/16	J	A	
149. Sirius CS		None			Sold	11/14/16	K	E	
150. TRUST #1									
151. Wells Fargo Account	A	Interest	K	T					
152. AMCAP MF		None	M	T					
153. Capital World Gr. & Income MF	B	Dividend	L	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 \$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 13 of 26

Name of Person Reporting

Hardiman, Thomas M.

Date of Report

11/16/2017

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)
154. Europacific Growth MF	A	Dividend	L	T					
155. Fundamental Inv. MF	B	Dividend	M	T					
156. Growth Fund of America MF	A	Dividend	M	T					
157. Investment Co. of America MF	B	Dividend	M	T	Buy (add'l)	01/12/16	J		
158. New Perspective MF	B	Dividend	M	T					
159. Washington Mutual Inv. MF	B	Dividend	M	T	Buy (add'l)	01/12/16	J		
160. TRUST #2									
161. Wells Fargo Account	A	Interest	K	T					
162. AMCAP MF		None	L	T					
163. Capital World Gr. & Income MF	B	Dividend	M	T					
164. Europacific Growth MF	A	Dividend	L	T					
165. Fundamental Inv. MF	A	Dividend	L	T					
166. Growth Fund of America MF	A	Dividend	L	T					
167. Investment Co. of America MF	B	Dividend	L	T	Buy (add'l)	01/12/16	J		
168. New Perspective MF	A	Dividend	L	T					
169. Washington Mutual Inv. MF	B	Dividend	L	T	Buy (add'l)	01/12/16	J		
170. TRUST #3									

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 14 of 26

Name of Person Reporting

Hardiman, Thomas M.

Date of Report

11/16/2017

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)
171. Wells Fargo Account	A	Interest	L	T					
172. AMCAP MF		None	L	T					
173. Capital World Gr. & Income MF	B	Dividend	L	T					
174. Europacific Growth MF	A	Dividend	L	T					
175. Fundamental Inv. MF	A	Dividend	L	T					
176. Growth Fund of America MF	A	Dividend	L	T					
177. Investment Co. of America MF	B	Dividend	L	T	Buy (add'l)	01/12/16	J		
178. New Perspective MF	A	Dividend	L	T					
179. Washington Mutual Inv. MF	B	Dividend	K	T	Buy (add'l)	01/12/16	J		
180. TRUST #4									
181. Wells Fargo Account	A	Interest	J	T					
182. AMCAP MF		None	M	T					
183. Fundamental Inv. MF	B	Dividend	M	T					
184. Growth Fund of America MF	A	Dividend	M	T					
185. Investment Co. of America MF	B	Dividend	M	T	Sold (part)	03/15/16	J	C	
186. New Perspective MF	A	Dividend	M	T					
187. Washington Mutual Inv. MF	B	Dividend	M	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 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 \$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 15 of 26

Name of Person Reporting

Hardiman, Thomas M.

Date of Report

11/16/2017

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)
188. TRUST #5									
189. Wells Fargo Bank Account	A	Interest	M	T					
190. AMCAP MF		None	K	T					
191. Capital Income Builder MF	B	Dividend	K	T					
192. Capital World Gr. & Income MF	A	Dividend	K	T					
193. Eaton Vance Gr. India MF	A	Dividend	L	T					
194. INTL Growth & Income MF	A	Dividend	K	T					
195. Fundamental INVS Inc. MF	A	Dividend	K	T					
196. Growth Fund of America MF	A	Dividend	K	T					
197. Investment Co. of America MF	A	Dividend	K	T					
198. JJ Lorick LLC		None	P1	T					
199. New Perspectives FD Inc. MF	A	Dividend	K	T					
200. Allergen PLC	A	Dividend	K	T	Buy	05/11/16	J		
201.					Buy (add'l)	05/23/16	J		
202.					Buy (add'l)	06/27/16	J		
203.					Buy (add'l)	10/24/16	J		
204.					Buy (add'l)	11/30/16	J		

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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FINANCIAL DISCLOSURE REPORT

Page 16 of 26

Name of Person Reporting

Hardiman, Thomas M.

Date of Report

11/16/2017

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

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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)
205. Short Term Bond Fund American Funds	A	Dividend	K	T	Buy	04/28/16	K		
206. Alphabet Inc. Class A		None	K	T					
207. Alphabet Inc. Class C		None	K	T					
208. AIG Group	A	Dividend			Sold (part)	01/27/16	J	C	
209.					Sold (part)	02/17/16	J	B	
210.					Sold	08/03/16	J	C	
211. Apple Inc.	A	Dividend	K	T					
212. Bank of NY Mellon	A	Dividend	K	T					
213. Berkshire Hathaway		None	K	T					
214. Citigroup	A	Dividend	K	T	Sold (part)	12/07/16	J	B	
215. Continental Building Products		None	K	T					
216. Cooper-Standard		None	K	T	Sold (part)	08/02/16	J	B	
217.					Sold (part)	08/12/16	J	B	
218. Cott	A	Dividend			Sold (part)	03/31/16	J	B	
219.					Sold	07/12/16	K	B	
220. Dish Network CS		None	K	T					
221. DSW	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
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FINANCIAL DISCLOSURE REPORT

Page 17 of 26

Name of Person Reporting

Hardiman, Thomas M.

Date of Report

11/16/2017

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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)
222. Dow Chemical	A	Dividend			Buy	02/03/16	J		
223.					Sold	02/04/16	J	A	
224. Express Scripts		None	K	T	Sold (part)	12/09/16	J	A	
225. General Motors	B	Dividend	K	T	Sold (part)	07/20/16	J	A	
226. Goldman Sachs	A	Dividend	K	T					
227. JPMorgan Chase CS	A	Dividend	K	T	Sold (part)	12/07/16	J	C	
228. Kinross		None	J	T					
229. Market Vectors Gold -- Renamed Vaneck Vectors ETF	A	Dividend	J	T					
230. Natural Grocers by Vitamin Cottage		None	J	T	Buy	11/15/16	J		
231. Netscout		None	K	T	Buy (add'l)	01/21/16	J		
232.					Sold (part)	01/29/16	J	A	
233.					Buy (add'l)	05/09/16	J		
234.					Buy (add'l)	06/16/16	J		
235. Packaging Corp.	A	Dividend	J	T	Buy (add'l)	01/21/16	J		
236.					Buy (add'l)	02/16/16	J		
237.					Sold (part)	05/17/16	J	A	
238.					Sold (part)	08/04/16	J	A	

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

FINANCIAL DISCLOSURE REPORT

Page 18 of 26

Name of Person Reporting

Hardiman, Thomas M.

Date of Report

11/16/2017

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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)

239.					Sold (part)	09/06/16	J	A	
240.					Sold (part)	11/10/16	J	A	
241. Range Resources	A	Dividend	J	T	Sold (part)	02/17/16	J	A	
242.					Sold (part)	03/07/16	J	A	
243. Robert Half Int'l	A	Dividend	J	T	Buy	06/30/16	J		
244. Kinross Gold Corp		None	J	T					
245. Spirit Airlines		None	K	T	Buy (add'l)	04/13/16	J		
246.					Buy (add'l)	04/28/16	J		
247.					Buy (add'l)	05/04/16	J		
248.					Buy (add'l)	05/09/16	J		
249.					Buy (add'l)	08/03/16	J		
250.					Buy (add'l)	09/16/16	J		
251. T Mobile		None	K	T	Sold (part)	02/02/16	J	B	
252. Time Warner, Inc. New	A	Dividend			Sold (part)	01/07/16	J	C	
253.					Sold	01/11/16	J	D	
254. Twenty First Century Fox	A	Dividend	K	T					
255. US Bancorp CS	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
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FINANCIAL DISCLOSURE REPORT

Page 19 of 26

Name of Person Reporting

Hardiman, Thomas M.

Date of Report

11/16/2017

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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)

256. United States Steel		None	J	T					
257. REAL ESTATE PARTNERSHIP									
258. West Moon Twp. Assoc.	E	Distribution	M	U					
259. FC Donegal Assoc.	G	Distribution	P1	U					
260. McIntyre Square Assoc.	D	Distribution	L	U					
261. Madison NM	E	Distribution	M	U	Buy	06/30/16	M		
262. WELLS FARGO ACCOUNT: REVOCABLE TRUST									
263. AMCAP MF		None	M	T	Buy (add'l)	01/04/16	J		
264.					Buy (add'l)	02/03/16	J		
265.					Buy (add'l)	03/03/16	J		
266.					Buy (add'l)	04/04/16	J		
267.					Buy (add'l)	05/03/16	J		
268.					Buy (add'l)	06/03/16	J		
269.					Buy (add'l)	10/06/16	J		
270.					Buy (add'l)	11/07/16	J		
271.					Buy (add'l)	12/06/16	J		
272. Capital World Growth & Income Fd	B	Dividend	L	T	Buy (add'l)	01/04/16	J		

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 \$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 20 of 26

Name of Person Reporting

Hardiman, Thomas M.

Date of Report

11/16/2017

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)

273.					Buy (add'l)	02/03/16	J		
274.					Buy (add'l)	03/02/16	J		
275.					Buy (add'l)	04/04/16	J		
276.					Buy (add'l)	05/03/16	J		
277.					Buy (add'l)	06/03/16	J		
278.					Buy (add'l)	10/06/16	J		
279.					Buy (add'l)	11/07/16	J		
280.					Buy (add'l)	12/06/16	J		
281. Fundamental Inv. MF	B	Dividend	M	T	Buy (add'l)	01/04/16	J		
282.					Buy (add'l)	02/03/16	J		
283.					Buy (add'l)	03/03/16	J		
284.					Buy (add'l)	04/04/16	J		
285.					Buy (add'l)	05/03/16	J		
286.					Buy (add'l)	06/03/16	J		
287.					Buy (add'l)	10/06/16	J		
288.					Buy (add'l)	11/07/16	J		
289.					Buy (add'l)	12/06/16	J		

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 \$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 21 of 26

Name of Person Reporting

Hardiman, Thomas M.

Date of Report

11/16/2017

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)

290. Growth Fund America	A	Dividend	M	T	Buy (add'l)	01/04/16	J		
291.					Buy (add'l)	02/03/16	J		
292.					Buy (add'l)	03/03/16	J		
293.					Buy (add'l)	04/04/16	J		
294.					Buy (add'l)	05/03/16	J		
295.					Buy (add'l)	06/03/16	J		
296.					Buy (add'l)	10/06/16	J		
297.					Buy (add'l)	11/07/16	J		
298.					Buy (add'l)	12/06/16	J		
299. Lord Abbett Inv't Tr	E	Dividend	P1	T					
300. New Perspective Fd	A	Dividend	L	T	Buy (add'l)	01/04/16	J		
301.					Buy (add'l)	02/03/16	J		
302.					Buy (add'l)	03/03/16	J		
303.					Buy (add'l)	04/04/16	J		
304.					Buy (add'l)	05/03/16	J		
305.					Buy (add'l)	06/03/16	J		
306. Smallcap World	A	Dividend	L	T	Buy (add'l)	01/04/16	J		

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 \$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 22 of 26

Name of Person Reporting

Hardiman, Thomas M.

Date of Report

11/16/2017

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)
307.					Buy (add'l)	02/03/16	J		
308.					Buy (add'l)	03/02/16	J		
309.					Buy (add'l)	04/04/16	J		
310.					Buy (add'l)	05/03/16	J		
311.					Buy (add'l)	06/03/16	J		
312. Short Term Bd Fd Amer	C	Dividend	N	T	Sold (part)	01/04/16	K	A	
313.					Sold (part)	02/03/16	K	A	
314.					Sold (part)	03/03/16	K	A	
315.					Sold (part)	04/04/16	K	A	
316.					Sold (part)	05/03/16	K	A	
317.					Sold (part)	06/03/16	K	A	
318.					Sold (part)	10/06/16	K	A	
319.					Buy (add'l)	10/06/16	J		
320.					Sold (part)	11/07/16	K	A	
321.					Sold (part)	12/06/16	K	A	
322. Wash Mut Invs Fd	B	Dividend	M	T	Buy (add'l)	01/04/16	J		
323.					Buy (add'l)	02/03/16	J		

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 \$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 23 of 26

Name of Person Reporting

Hardiman, Thomas M.

Date of Report

11/16/2017

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)

324.					Buy (add'l)	03/03/16	J		
325.					Buy (add'l)	04/04/16	J		
326.					Buy (add'l)	05/03/16	J		
327.					Buy (add'l)	06/03/16	J		
328.					Buy (add'l)	10/06/16	J		
329.					Buy (add'l)	11/07/16	J		
330.					Buy (add'l)	12/06/16	J		
331. TRUST #6									
332. Growth Fund America	A	Dividend	K	T	Buy	06/28/16	J		
333.					Buy (add'l)	08/01/16	J		
334.					Buy (add'l)	09/01/16	J		
335.					Buy (add'l)	10/03/16	J		
336.					Buy (add'l)	11/01/16	J		
337.					Buy (add'l)	12/01/16	J		
338. Fundamental Invs. Inc. Class A	A	Dividend	K	T	Buy	06/28/16	J		
339.					Buy (add'l)	08/01/16	J		
340.					Buy (add'l)	09/01/16	J		

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

FINANCIAL DISCLOSURE REPORT

Page 24 of 26

Name of Person Reporting

Hardiman, Thomas M.

Date of Report

11/16/2017

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)

341.					Buy (add'l)	10/03/16	J		
342.					Buy (add'l)	11/01/16	J		
343.					Buy (add'l)	12/01/16	J		
344. AMCAP Fund Inc. Class A	A	Dividend	K	T	Buy	06/28/16	J		
345.					Buy (add'l)	08/01/16	J		
346.					Buy (add'l)	09/01/16	J		
347.					Buy (add'l)	10/03/16	J		
348.					Buy (add'l)	11/01/16	J		
349.					Buy (add'l)	12/01/16	J		
350. Wells Fargo MM	A	Dividend	M	T	Buy	06/28/16	J		
351. ANNUITIES									
352. PNC Fixed Annuity (X)	A	Interest	J	T					
353. Security Benefit Fixed Annuity (X)	A	Interest	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 25 of 26

Name of Person Reporting

Hardiman, Thomas M.

Date of Report

11/16/2017

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

FINANCIAL DISCLOSURE REPORT

Page 26 of 26

Name of Person Reporting

Hardiman, Thomas M.

Date of Report

11/16/2017

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/ Thomas M. Hardiman**

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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Washington, D.C. 20544