

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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) Dalton, Jr., Roy B.	2. Court or Organization U.S. District Court, Middle District of Florida	3. Date of Report 05/09/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge (Active)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2015 to 12/31/2015
7. Chambers or Office Address 401 West Central Blvd. Suite 4750 Orlando, FL 32801		
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.	Partner	Rugby Property, LLC
2.		
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 10

Name of Person Reporting

Dalton, Jr., Roy B.

Date of Report

05/09/2016

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. 2015

Rugby Property, LLC - Management Fee

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. _____

FINANCIAL DISCLOSURE REPORT

Page 3 of 10

Name of Person Reporting

Dalton, Jr., Roy B.

Date of Report

05/09/2016

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 10

Name of Person Reporting

Dalton, Jr., Roy B.

Date of Report

05/09/2016

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. Rugby Property, LLC: (Passive Investment as General Partner)									
2. - Seaside Bank Account		None	J	T					
3. - Rental Property #2 (Pensacola, FL)	E	Rent	N	W					
4. - Installment Note on Sale of Rental Property #1 (Orlando, FL)	D	Interest			Matured	08/03/15	M		
5. Rental Property, Orlando, FL (X)	D	Rent	M	W					
6. Government Personnel Mutual Whole Life	A	Interest	J	T					
7. Seaside Bank Accounts		None	J	T					
8. John Hancock Guaranteed Universal Life Policy		None	M	T					
9. Lord Abbett (IRA #1) (Money Market Account)	A	Interest			Distributed	11/16/15	K		
10. Limited Partnership Interest in ITB Premium Fund II, LTD (IRA #2)		None	M	U					
11. Working Interest - Baker, Fisher County, TX	A	Royalty	J	W					
12. Working Interest - Baldwin, Clay County, TX	A	Royalty	J	W					
13. Working Interest - Cato #11, Hardeman County, TX	C	Royalty	J	W					
14. Working Interest - Gibson 1, Cottle County, TX	A	Royalty	J	W					
15. Working Interest - Hamilton #2, Palo Pinto County, TX	A	Royalty	J	W					
16. Working Interest, Lytle Unit, Hardeman County, TX	A	Royalty	J	W					
17. Working Interest, Mayfield - Clay County, TX	A	Royalty	J	W					

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 5 of 10

Name of Person Reporting

Dalton, Jr., Roy B.

Date of Report

05/09/2016

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 I (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. Working Interest - McLellan-Swofford, Hardeman County, TX	A	Royalty	J	W					
19. Working Interest - McNeese West, Hardeman County, TX	A	Royalty	J	W					
20. Working Interest - Minshew Unit, Hardeman County, TX	A	Royalty	J	W					
21. Working Interest - Smith Eagle Creek #1, Nolan County, TX	A	Royalty	J	W					
22. Working Interest - Smith Eagle Creek #2, Nolan County, TX		None	J	W					
23. Working Interest - Southern Cotton, Hardeman County, TX	D	Royalty	K	W					
24. Working Interest - Stell #2, Clay County, TX	A	Royalty	J	W					
25. Working Interest - Word #5, Hardeman County, TX	A	Royalty	J	W					
26. Working Interest - Word #A-2, Hardeman County, TX	A	Royalty	J	W					
27. Working Interest - Young, Hardeman County, TX	B	Royalty	J	W					
28. Working Interest - Word #4, Hardeman County, TX		None	J	W					
29. Working Interest - Johnson #1, King County, TX	A	Royalty	J	W					
30. Working Interest - Word #6, Hardeman County, TX	B	Royalty	J	W					
31. Working Interest - Southern Cotton A-1, Hardeman County, TX	B	Royalty	J	W	Buy	06/30/15	J		Corda Corporation
32. Three Shores Bancorporation, Common Stock		None	N	T					
33. GK Aviation, LLC (Passive Investment as a Limited Partner)		None	K	U	Buy	07/22/15	K		
34. GK Aviation, Inc. (Passive Investment as a Limited Shareholder)	A	Distribution	K	U	Buy	07/22/15	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	P1 –\$1,000,001 - \$5,000,000 P4 –More than \$5,000,000	L –\$50,001 - \$100,000 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 10

Name of Person Reporting

Dalton, Jr., Roy B.

Date of Report

05/09/2016

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. Brokerage Account #1:									
36. - Seaside Bank Account Sweep Fund	A	Interest	J	T					
37. - Seaside Bank Account Sweep Fund		None	J	T					
38. - Three Shores Bancorporation		None	M	T					
39. Brokerage Account #2:									
40. - Seaside Bank Account Sweep Fund		None	J	T					
41. - Seaside Bank Account Sweep Fund	A	Interest	J	T					
42. - Carrizo Springs TX Cons Dept	A	Interest	K	T					
43. - Eagle Mtn & Saginaw Tex Indpt Uld Tax Ref Bds		None	K	T	Buy	08/20/15	K		
44. - Florida St Brd Ed Cap Outlay Cap Outlay Bds	A	Interest	K	T	Buy	05/11/15	K		
45. - Delaware Transn Auth Transn Sys Sr Rev Bds Municipal Bond		None			Sold	05/04/15	K	A	
46. - Franklin Ind Cmnty Multi Sch B First Municipal Bond	B	Interest	L	T					
47. - Indiana Fin Autho Hwy Rev Municipal Bond	A	Interest	L	T					
48. - Lauderdale Fla Wtr & Swr Rev Municipal Bond	A	Interest	L	T					
49. - Maine Mun Bd Bk Serial Bond	A	Interest	K	T					
50. - New Jersey St CTFS Partn Equip Lease Municipal Bond	A	Interest	L	T					
51. - New York NY City Transitional Fin Auth Municipal Bond		None			Sold	05/01/15	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	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 7 of 10

Name of Person Reporting

Dalton, Jr., Roy B.

Date of Report

05/09/2016

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)
52. - New York St Dorm Auth Revs Ref Secd Municipal Bond		None			Sold	02/17/15	K	A	
53. - Old Saybrook Conn GO Bds	A	Interest	K	T					
54. - Seattle Wash RFDG Municipal Bond	B	Interest	L	T					
55. - Wheelerville NY Un Free Sch D GO Sch Dist Bds	A	Interest	K	T	Buy	08/18/15	K		
56. - Cohen & Steers Preferred Securities	B	Dividend	K	T	Buy (add'l)	08/05/15	K		
57. - First Eagle High Yield Fund Class I #818 Mutual Fund	A	Dividend			Sold	01/27/15	J	A	
58. - Lord Abbett Investment Trust	B	Dividend	L	T	Buy (add'l)	05/07/15	K		
59. - Metropolitan West Total Return Fund	B	Dividend	K	T	Buy (add'l)	08/05/15	J		
60. - T Rowe Price Institutional Floating Rate Fund #170 Mutual Fund	B	Dividend	K	T	Buy (add'l)	05/07/15	K		
61.					Sold (part)	09/25/15	J	A	
62. - Thompson Bond Fund #160	A	Dividend			Sold	05/07/15	K	A	
63. - Wells Fargo Advantage Adjustable Rate Govt Fund	A	Dividend			Buy (add'l)	02/20/15	K		
64.					Sold (part)	03/17/15	J	A	
65.					Sold (part)	04/17/15	J	A	
66.					Sold	05/07/15	K	A	
67. - Vanguard Limited-Term Tax-Exempt Fund #531 (Y)									
68. - AMG Yacktman Fund Service Class		None			Sold	05/18/15	K	D	

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 8 of 10

Name of Person Reporting

Dalton, Jr., Roy B.

Date of Report

05/09/2016

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)
69. - Eagle MLP Strategy Fund Class I #445	A	Dividend			Sold	10/15/15	J	A	
70. - Federated Strategic Value Dividend Fund IS #662 Mutual Fund	D	Dividend	L	T					
71. - Thornburg Investment Income Builder Fund Class I #261	A	Dividend	K	T	Buy (add'l)	08/05/15	J		
72. - Touchstone Sands Capital Select Growth Fund Class Y #342 Mutual Fund		None			Sold	08/26/15	K	D	
73. - Vanguard Dividend Growth Fund #57 Mutual Fund	A	Dividend			Sold	05/18/15	K	D	
74. - Vanguard Total Stock Market Index Fund-ADM #585 Mutual Fund	B	Dividend	L	T					
75. - Pimco Short Term Fund Inst #37	A	Dividend	K	T	Buy	08/05/15	K		
76. - Vanguard High Yield Corp Fd ADM #529	B	Dividend	K	T	Buy	01/27/15	J		
77.					Buy (add'l)	08/05/15	J		
78. - Catalyst Hedged Futures Strategy Fund Class I #217	A	Dividend	J	T	Buy	10/15/15	J		
79. - Delaware Value Fund Class I #459	B	Dividend	L	T	Buy	05/18/15	L		
80. - T Rowe Price New America Growth Fund #60	C	Dividend	K	T	Buy	08/26/15	K		
81. -Threeshores Bancorporation Common Stock		None	L	T					
82. Tapiture Common Stock (X) (Y) (see note 2 in part VIII)									

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 9 of 10

Name of Person Reporting

Dalton, Jr., Roy B.

Date of Report

05/09/2016

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

1) Part VII (Investments and Trusts): The royalty income disclosed in Column B for each working interest is gross income from the specific oil well.

2) Part VII (Investments and Trusts): On January 4, 2014, Judge Dalton invested in Tapiture (common stock). This investment was inadvertently omitted from his 2014 FDR. No income was received from this investment in 2014, and the value code of this investment would have been K based on the book value of the investment at 12/31/2014. No income was received from this investment in 2015, and it is no longer reportable on the FDR.

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

Dalton, Jr., Roy B.

Date of Report

05/09/2016

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/ Roy B. Dalton, Jr.

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