

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) Schwab, Arthur J.	2. Court or Organization Western District of Pennsylvania	3. Date of Report 06/14/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) District 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 700 Grant Street, Suite 7280 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. Secretary and member of the Board of Trustees (non-compensated)	Grove City College
2. Faculty member (non-compensated)	University of Virginia School of Law - Trial Advocacy Program
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. 07/11/91	Single life annuity through a life insurance company through prior employer, Reed Smith LLP, beginning monthly on 01/01/2012.
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.)*

<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.		

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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. ROLLOVER IRA NO. 1:	E	Int./Div.	O	T					
2. -Fidelity Gov't Money Market	A	Int./Div.			Sold	03/16/16	M	A	
3. -Baron Small Cap Fund	A	Int./Div.			Sold	03/16/16	K	D	
4. -Artisan Small Cap Vale	A	Int./Div.			Sold	03/16/16	J	A	
5. -Harbor International Fund	A	Int./Div.			Sold	03/16/16	K	D	
6. -Dodge & Cox Int'l Fund	A	Int./Div.			Sold	03/16/16	K	A	
7. -iShares US Treasury	A	Int./Div.			Sold	03/16/16	L	D	
8. -(a) JP Morgan US Large Cap	A	Int./Div.			Sold	03/16/16	K	D	
9. -AT&T	A	Int./Div.			Sold	03/16/16	K	C	
10. -(a) Chevron Corp	A	Int./Div.			Sold	03/16/16	K	B	
11. -(b) Chevron Corp	A	Int./Div.			Sold	03/16/16	K	B	
12. -Coca Cola	A	Int./Div.			Sold	03/16/16	J	D	
13. -(a) ConocoPhillips	A	Int./Div.			Sold	03/16/16	J	A	
14. -(b) Conoco Phillips	A	Int./Div.			Sold	03/16/16	J	A	
15. -Consolidated Edison	A	Int./Div.			Sold	03/16/16	J	D	
16. -(a) Exxon Mobil	A	Int./Div.			Sold	03/16/16	K	C	
17. -(b) Exxon Mobil	A	Int./Div.			Sold	03/16/16	K	C	

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes	F = \$50,001 - \$100,000 (See Columns C1 and D3)	J = \$15,001 - \$50,000 K = \$15,001 - \$50,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes	N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	O = \$500,001 - \$1,000,000 R = Cost (Real Estate Only)	P4 = More than \$50,000,000 S = Assessment	T = Cash Market	
(See Column C2)	Q = Appraisal 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		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. -(a) Intel Corp	A	Int./Div.			Sold	03/16/16	K	D	
19. -(b) Intel Corp	A	Int./Div.			Sold	03/16/16	K	D	
20. -(a) Johnson & Johnson	A	Int./Div.			Sold	03/16/16	K	E	
21. -(b) Johnson & Johnson	A	Int./Div.			Sold	03/16/16	K	E	
22. -(c) Johnson & Johnson	A	Int./Div.			Sold	03/16/16	K	E	
23. -Kimberly-Clark Corp.	A	Int./Div.			Sold	03/16/16	K	D	
24. -Lilly Eli & Co.	A	Int./Div.			Sold	03/16/16	K	D	
25. -McDonalds Corp.	A	Int./Div.			Sold	03/16/16	K	D	
26. -(a) Microsoft Corp.	A	Int./Div.			Sold	03/16/16	K	D	
27. -(b) Microsoft Corp.	A	Int./Div.			Sold	03/16/16	K	D	
28. -Pepsico Inc.	A	Int./Div.			Sold	03/16/16	K	D	
29. -(a) Procter & Gamble Co.	A	Int./Div.			Sold	03/16/16	K	C	
30. -(b) Procter & Gamble Co.	A	Int./Div.			Sold	03/16/16	K	C	
31. -(a) United Technologies Corp.	A	Int./Div.			Sold	03/16/16	K	D	
32. -(b) United Technologies Corp.	A	Int./Div.			Sold	03/16/16	K	D	
33. -Verizon Communications Inc.	A	Int./Div.			Sold	03/16/16	K	E	
34. -JP Morgan Chase & Co.	A	Int./Div.			Sold	03/16/16	K	D	

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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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35. -United Health Group	A	Int./Div.			Sold	03/16/16	K	E	
36. -Fidelity Advisor Floating High Income Fund	A	Int./Div.			Sold	03/16/16	J	A	
37. -Goldman Sachs Grth Oppor	A	Int./Div.			Sold	03/16/16	J	A	
38. -Morgan Stanley Bond - due 05/13/19	A	Int./Div.			Sold	03/16/16	K	A	
39. -Merck	A	Int./Div.			Sold	03/16/16	J	C	
40. -Templeton Global Bond Fund	A	Int./Div.			Sold	03/16/16	K	A	
41. -iShares IBOXX Investment Grade Corp Bd Fd	A	Int./Div.			Sold	03/16/16	K	A	
42. -Harding Loevner Emerging Mkt Fund	A	Int./Div.			Sold	03/16/16	J	A	
43. -Pfizer Inc.	A	Int./Div.			Sold	03/16/16	K	A	
44. -Apple Inc.	A	Int./Div.			Sold	03/16/16	K	A	
45. -Lockheed Martin Corp.	A	Int./Div.			Sold	03/16/16	K	B	
46. -Wells Fargo Co.	A	Int./Div.			Sold	03/16/16	K	A	
47. -Metropolitan West Bond Fund	A	Int./Div.			Sold	03/16/16	K	A	
48. -Fidelity 500 Index Fund	B	Int./Div.	M	T	Buy	03/29/16	M		
49. -Fidelity Contrafund	C	Int./Div.	M	T	Buy	03/29/16	M		
50. -Fidelity Small Cap Index Fund	A	Int./Div.	K	T	Buy	03/29/16	K		
51. -Fidelity Mid Cap Index Fund	A	Int./Div.	K	T	Buy	03/29/16	K		

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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	
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52. -Morgan Stanley Bond	B	Int./Div.	K	T	Buy	04/11/16	K		
53. -Potash Corp Bond	A	Int./Div.	J	T	Buy	04/11/16	J		
54. -Bank Amer Corp Bond	A	Int./Div.	J	T	Buy	04/11/16	J		
55. -Lincoln Natl Corp Bond	A	Int./Div.	J	T	Buy	04/11/16	J		
56. -Halliburton Co Bond	A	Int./Div.	J	T	Buy	04/11/16	J		
57. -AT&T Bond	A	Int./Div.	J	T	Buy	04/11/16	J		
58. -Lincoln Natl Corp Bond	B	Int./Div.	K	T	Buy	04/11/16	K		
59. -Cigna Corp Bond	B	Int./Div.	K	T	Buy	04/11/16	K		
60. -Carnival Corp Bond	A	Int./Div.	K	T	Buy	04/11/16	K		
61. -CSX Corp Bond	A	Int./Div.	K	T	Buy	04/11/16	K		
62. -Dominion Gas Bond	A	Int./Div.	K	T	Buy	04/11/16	K		
63. -Tyco Electronics Bond	A	Int./Div.	K	T	Buy	04/11/16	L		
64. -American Intl Group Bond	A	Int./Div.	K	T	Buy	04/11/16	K		
65. -AT&T Inc Bond	A	Int./Div.	K	T	Buy	04/11/16	K		
66. -Nordstrom Inc Bond	A	Int./Div.	K	T	Buy	04/11/16	K		
67. -Kerncity Bond	A	Int./Div.	K	T	Buy	04/11/16	K		
68. INVESTMENT ACCOUNT NO. 1	C	Int./Div.	M	T					

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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	
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69. -Oneok Partners Bond	A	Int./Div.	J	T	Buy	08/05/16	J		
70. -Humana Inc Bond	A	Int./Div.	J	T	Buy	08/05/16	J		
71. -Cardinal Health Bond	A	Int./Div.	J	T	Buy	08/05/16	J		
72. -Xerox Corp Bond	A	Int./Div.	J	T	Buy	08/05/16	J		
73. -Potash Corp Bond	A	Int./Div.	J	T	Buy	08/05/16	J		
74. -EMC Corp Bond	A	Int./Div.	J	T	Buy	08/05/16	J		
75. -Purdential Fin Bond	A	Int./Div.	J	T	Buy	08/05/16	J		
76. -Stifel Fin Bond	A	Int./Div.	J	T	Buy	08/05/16	J		
77. -Amer Int'l Grp Bond	A	Int./Div.	J	T	Buy	08/05/16	J		
78. -Kinder Morgan Energy Bond	A	Int./Div.	J	T	Buy	08/05/16	J		
79. -Best Buy Bond	A	Int./Div.	J	T	Buy	08/05/16	J		
80. -Rio Tinto Finance Bond	A	Int./Div.	J	T	Buy	08/05/16	J		
81. -Carnival Corp Stock (CCL)	A	Int./Div.	J	T	Buy	02/17/16	J		

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

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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/ **Arthur J. Schwab**

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