

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) GWIN, JAMES S.	2. Court or Organization N.D. OHIO	3. Date of Report 05/10/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) 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 CARL B. STOKES US COURT HOUSE 801 WEST SUPERIOR AVENUE CLEVELAND, OH 44113		
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
2.		
3.		
4.		
5.		

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

☐ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1. At retirement	STATE OF OHIO PUBLIC EMPLOYEE RETIREMENT SYSTEM AND OHIO STATE TEACHERS RETIREMENT SYSTEM. RIGHT TO RETIREMENT BENEFITS
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. Monthly

INTERNATIONAL BUSINESS MACHINES, INC., spouse pension

2. Monthly

HEIDRICK & STRUGGLES, Inc. salary, bonus, restricted stock

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. IBM common stock (IBM)	A	Dividend	K	T					
2. Berkshire Hathaway common stock (BRKA)	A	Dividend	M	T					
3. Vanguard Total Stock Market Index Fund, tax deferred	D	Dividend	O	T	Buy (add'l)	01/12/16	K		
4.					Buy (add'l)	01/29/16	J		
5.					Buy (add'l)	02/29/16	K		
6.					Buy (add'l)	03/11/16	J		
7. Heidrick & Struggles Co., common stock, (HSII)	D	Dividend	N	T					
8. Ohio Deferred Compensation LifePath 2035	A	Dividend	N	T					
9. Schwab Money Market Fund	B	Dividend	K	T					
10. Public Square Partners, LLC	C	Dividend	M	U					
11. iShares S&P Midcap 400 Growth Index Fund (IJK)	B	Dividend	M	T					
12. iShares S&P Smallcap 600 Growth Index Fund (IJT)	B	Dividend	M	T					
13. SPDR S&P MidCap 400 ETF (MDY)	C	Dividend	M	T					
14. IQ Hedge Multi-Strategy Tracker ETF (QAI)	B	Dividend	N	T					
15. iShares Core S&P Small-Cap (IJR)	B	Dividend	M	T					
16. Vanguard REIT Index ETF (VNQ)	C	Dividend	L	T	Sold (part)	07/25/16	J	A	
17. iShares Core US Aggregate Bond ETF (AGG)	C	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 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 ~\$250,000,001 - \$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 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. iShares S&P 500 Growth (IVW)	D	Dividend	O	T	Sold (part)	12/22/16	K	C	
19. iShares S&P 500 Value (IVE)	D	Dividend	O	T	Sold (part)	07/25/16	K	A	
20. SPDR Barclays Short Term Hi Yld Bd ETF (SJNK)	A	Dividend			Sold	12/19/16	K	A	
21. SPDR DoubleLine Total Return Tact ETF (TOTL)	A	Dividend	K	T					
22. Vanguard FTSE Europe ETF (VGK)	E	Dividend	N	T	Sold (part)	04/18/16	K	C	
23. Vanguard FTSE Pacific ETF (VPL)	D	Dividend	N	T	Buy (add'l)	04/18/16	L		
24.					Buy (add'l)	07/25/16	K		
25. Vanguard Target Retirement 2030 Inv (VTHR)	E	Dividend	O	T	Buy (add'l)	11/23/16	N		
26. Vanguard Target Retirement 2010 Fund (VTEN)	C	Dividend	O	T	Buy	03/14/16	O		
27. Vanguard Balanced Index Fund Admiral Shares (VBIAX)	D	Dividend	O	T	Buy	12/07/16	O		
28. Vanguard Prime Money Market Fund (VMMXX)	A	Dividend	K	T	Buy	04/18/16	N		
29.					Sold (part)	11/23/16	N	A	
30. Federal Thrift Savings Plan	A	Dividend	O	T					
31.									

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		

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

Regarding the investment in the Vanguard Fund, this investment is made through an employer 401 plan sponsored at [REDACTED] employer. The yearly statutory maximum is met in the first quarter although we do not know the exact dates of purchase.

Regarding the Federal Thrift Savings Plan Fund, this investment is made through an employer 401 plan sponsored by the U.S. Courts. Maximum allowable deductions and purchases are made each month.

Regarding Schwab Money Market Fund (Part VII, 7) this investment is a money market fund to which investments are made relatively frequently and infrequent withdrawals occur. The account is used as a savings type account.

Regarding Galaxy Mutual Funds, this was a smaller mutual fund investment that I established at least ten years ago. The investment was sold at some time more than six years ago but I inadvertently failed to record the sale and failed to delete the former investment from my subsequent financial reports.

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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 S. GWIN

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