

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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) Harwell, Robert B.	2. Court or Organization U.S. District Court of S.C.	3. Date of Report 07/03/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Article III Judge, Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2017 to 12/31/2017
7. Chambers or Office Address 401 West Evans Street McMillan Federal Bldg Florence, SC 29501		
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.	Officer/Director	Harwell Farms and Investment, Inc.
2.	Personal Representative / Executor	Estate of David W. Harwell
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.		

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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.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 12/31/17	South Carolina Judges - Solicitors Retirement System Survivors Annuity (named beneficiary of monthly survivor annuity from deceased father)	\$19,458.00
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 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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS 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. Charles Schwab(H)					Closed				
2. -Charles Schwab Cash Accounts	A	Interest			Closed	12/07/17	M		
3. -Dimensional Fund Advisors Tax Man US Mktwde	A	Dividend			Closed	12/07/17	L		
4. Wells Fargo & Co Common Stock (and former Wachovia Bank Stock)	A	Dividend	J	T					
5. Autoliv Inc. Common Stock	A	Dividend	J	T					
6. Citizens Bank "Accounts"	A	Interest			Matured	06/30/17			
7. First Reliance Bank "Account"	A	Interest	M	T	Buy	07/03/17			
8. Raymond James/Cantella/Bank of India New York "Account"	A	Interest	M	T	Buy	07/12/17			
9. The Bank of Clarendon "Account"	A	Interest	M	T					
10. South State Bank "Accounts"	A	Interest			Closed	07/03/17	N		
11. South State Bank "Account"	A	Interest	M	T	Buy	07/03/17			
12. PNC Bank "Account"	A	Interest	M	T	Buy	07/03/17			
13. Anderson Brothers Bank "Account"	A	Interest	M	T					
14. Conway National Bank "Account"	A	Interest	M	T					
15. Carolina Bank "Account"	A	Interest	M	T					
16. BB&T Bank "Accounts"	A	Interest	N	T					
17. Harwell Farms & Investment 12 1/2% 12/31/04 compiled S31M	A	Dividend	K	U					

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 = \$250,000.01 - \$500,000.00	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	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	

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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 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. PCDG, LLC (10%) 1998 & 2000 \$32,000		None	K	R					
19. Charles Schwab IRA#1					Closed				
20. -Charles Schwab Cash Fund	A	Interest			Closed	12/07/17	N		
21. Charles Schwab IRA#2					Closed				
22. -Charles Schwab cash fund	A	Interest			Closed	12/07/17	K		
23. Charles Schwab IRA #3					Closed				
24. -Charles Schwab cash fund	A	Interest			Closed	12/07/17	M		
25. SC Future Scholar Plan #1, Age-Based Moderate Track		None	K	T					
26. SC Future Scholar Plan #2, Age-Baseed Moderate Track		None	K	T					
27. Claussen Farms, Florence, SC (1999 - \$125,000)		None	M	R					
28. SC Tuition Prepayment Program #1(no control)		None	J	T	Redeemed (part)	12/31/17	J		
29. SC Tuition Prepayment Program #2 (no control)		None	J	T	Redeemed (part)	12/31/17	J		
30. Wells Fargo Beneficiary IRA- First Clearing LLC (H)									
31. -Cash account(Wells Fargo cash and sweep balance)		None	J	T					
32. -Bank of America stock	A	Dividend	K	T					
33. -BB&T stock	B	Dividend	L	T					
34. -Duetsche Inv. Trust Core Equity Fund	A	Dividend	K	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 \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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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. Edward Jones Beneficiary IRA(H)									
36. -Amcap Fund - Class A	A	Dividend	K	T					
37. -Capital Income Builder Class A	A	Dividend	K	T					
38. -Europacific Fund- Class A	A	Dividend	K	T					
39. -Income Fund of America - Class A	B	Dividend	L	T					
40. -New World Fund - Class A	A	Dividend	J	T					
41. -Small Cap World Fund - Class A	A	Dividend	J	T					
42. -New Economy Fund - Class A	A	Dividend	K	T					
43. Estate #1 (50%)(H)									see Note #1
44. -Wells Fargo cash account	A	Interest	M	T					
45. -Bell Legal Group Georgetown SCAccounts Receivable		None	J	W					
46. Wells Fargo Securities Account(H)									
47. -Wells Fargo Cash Account	A	Interest	N	T					
48. -BB&T Corp Common Stock	D	Dividend	N	T					
49. -Toronto Dominion Bank Common stock	A	Dividend	J	T					
50. -Bank of America Common stock	A	Dividend	K	T					
51. -American Express Co. Common Stock	A	Dividend	K	T					

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52. -Ameriprise Financial Inc. Common Stock	A	Dividend	J	T					
53. -Chevron Corp. Common Stock	A	Dividend	J	T					
54. -Corning Inc. Common Stock	A	Dividend	J	T					
55. -Fannie Mae Common Stock		None	J	T					
56. -Home Depot Inc. Common Stock	A	Dividend	J	T					
57. -Medtronic PLC Common Stock	A	Dividend	J	T					
58. -Target Corp Common Stock	A	Dividend	K	T					
59. -Deutsche Invst TR Core Equity FD Class S	A	Int./Div.	L	T					
60. -High 50 Dividend Strategy Series 15-3Q CA	A	Int./Div.	J	T					
61. A Services, LLC & ASG Services LLC (17500units)	B	Distribution	J	V					
62. [REDACTED] [REDACTED], SC (50%) \$250,000(X)		None				10/25/16	M		
63. [REDACTED]					Sold	04/19/17	M		[REDACTED]
64. PershingLLC(Cetera Advisors)IRA#1(H)					Open				See note #2
65. -AT&T common Stock		None	J	T	Buy	12/11/17	J		
66. -Altria Group Inc common stock		None	J	T	Buy	12/11/17	J		
67. -Amgen Inc common stock		None	J	T	Buy	12/11/17	J		
68. -Apple Inc common stock		None	J	T	Buy	12/11/17	J		

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69. -BP PLC Spon ADR common stock		None	J	T	Buy	12/11/17	J		
70. -Citigroup Inc common stock		None	J	T	Buy	12/11/17	J		
71. -Duke Energy Corp common stock		None	J	T	Buy	12/11/17	J		
72. -General Mills Inc.commonstock		None	J	T	Buy	12/11/17	J		
73. -Johnson&Johnson common stock		None	J	T	Buy	12/11/17	J		
74. -Phillip Morris Intl. Inc common stock		None	J	T	Buy	12/11/17	J		
75. -Southern Co. common stock		None	J	T	Buy	12/11/17	J		
76. -Verizon Comm common stock		None	J	T	Buy	12/11/17	J		
77. -Pimco Income Fund Class A		None	L	T	Buy	12/11/17	L		
78. -Cash Account(Pershing LLC-Flexinsured FDIC acct)	A	Interest	J	T	Open	12/11/17	J		
79. Pershing LLC(Cetera Advisors) IRA#2(H)					Open				see Note #2
80. -Cash Acct(PershingLLC-Flexinsured FDIC acct)	A	Interest			Open	12/12/17	K		
81. -Apple Inc common stock		None	K	T	Buy	12/12/17	K		
82. -BP PLC Spons ADR		None	K	T	Buy	12/12/17	K		
83. -Boeing Co. common stock		None	K	T	Buy	12/12/17	K		
84. -Bristol Myers Squibb common stock		None	K	T	Buy	12/12/17	K		
85. -Cisco Systems Inc common stock		None	K	T	Buy	12/12/17	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	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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86. -Coca Cola Co. common stock		None	K	T	Buy	12/12/17	K		
87. -Duke Energy common stock		None	K	T	Buy	12/12/17	K		
88. -General Electric Co. common stock		None	K	T	Buy	12/12/17	K		
89. -General Mills Inc. common stock		None	K	T	Buy	12/12/17	K		
90. -Verizon Comm.common stock		None	K	T	Buy	12/12/17	K		
91. -Pimco Income Fund Class A		None	M	T	Buy	12/12/17	M		
92. Pershing LLC(Cetera Advisors) Individual Account (H)					Open				see Note #2
93. -Cash Account (PershingLLC-Flexinsured FDICacct)	A	Interest	M	T	Open	12/07/17	M		
94. -DFA Tax Managed US Marketwide Value Portfolio II	B	Int./Div.	L	T	Open	12/07/17	L		
95.									
96.									
97.									
98.									
99.									
100.									
101.									
102.									

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103.									
104.									
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106.									
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119.									

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120.									
121.									
122.									

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

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Name of Person Reporting

Harwell, Robert B.

Date of Report

07/03/2018

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

Note #1. I am 50% beneficiary of gross values shown

Note #2. Funds moveed from Charles Schwab accounts (lines 15, 17, and 19)were used to open Pershing LLC(Cetera Advisors) accounts.

FINANCIAL DISCLOSURE REPORT

Page 13 of 13

Name of Person Reporting

Harwell, Robert B.

Date of Report

07/03/2018

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/ **Robert B. Harwell**

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