

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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 04/07/2014
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 01/01/2013 to 12/31/2013
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. Part-time Professor (evening course)	Grove City College
2. Secretary and member of the Board of Trustees (non-compensated)	Grove City College
3. Faculty member (non-compensated)	University of Virginia School of Law - Trial Advocacy Program
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. 2013	Grove City College - Part-time Professor - evening course - intellectual property law (compensation is within the applicable judicial guidelines)
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2013	Grove City College - teaching	\$12,500.00
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. University of Virginia School of Law	01/04/13 to 01/05/13	Charlottesville, Virginia	Faculty	hotel, mileage, tolls (32nd Annual National Trial Advocacy College)
2. George Washington University School of Law	05/09/13 to 05/12/13	Washington, DC	Speaker	hotel, mileage, tolls, meals, local transportation (GW Patent Program)
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. ROLLOVER IRA NO. 1:	E	Int./Div.	O	T					
2. -Fidelity Gov't Money Market									
3. -Baron Small Cap Fund									
4. -Artisan Small Cap Vale									
5. -Calamos Growth Fund									
6. -Harbor International Fund									
7. -Dodge & Cox Int'l Fund									
8. -iShares US Treasury									
9. -(a) JP Morgan US Large Cap									
10. -(a) Pimco Funds Total Return									
11. -(b) Pimco Funds Total Return									
12. -Goldman Sachs Note					Sold	04/01/13	K	A	
13. -AT&T									
14. -Chevron Comp									
15. -Coca Cola									
16. -(a) ConocoPhillips									
17. -(b) Conoco Phillips									

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	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
(See Column C2)	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
	U = Book Value	V = Other	W = Estimated		

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18. -Consolidated Edison									
19. -(a) Exxon Mobil									
20. -(b) Exxon Mobil									
21. -(a) Intel Corp									
22. -(b) Intel Corp									
23. -(a) International Business Machs Corp.									
24. -(b) International Business Machs Corp.									
25. -(a) Johnson & Johnson									
26. -(b) Johnson & Johnson									
27. -(c) Johnson & Johnson									
28. -Kimberly-Clark Corp.									
29. -Lilly Eli & Co.									
30. -McDonalds Corp.									
31. -(a) Microsoft Corp.									
32. -(b) Microsoft Corp.									
33. -Pepsico Inc.									
34. -Procter & Gamble Co.									

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35. -(a) United Technologies Corp.									
36. -(b) United Technologies Corp.									
37. -Verizon Communications Inc.									
38. -JP Morgan Chase & Co.									
39. -RS Emerging Mkts Fund					Sold	01/11/13	K	B	
40. -Perkins Mid-Cap Fund									
41. -(a) Blackrock Global Fund									
42. -Dividend Cap Ind Trust II									
43. -Kraft Foods Inc.					Sold	07/03/13	J	B	
44. -National Oil Well Varco					Sold	07/03/13	J	A	
45. -United Health Group									
46. -Dupont E.I. Denemours									
47. -Fidelity Advisor Floating High Income Fund									
48. -Goldman Sachs Grth Oppor									
49. -Pimco Commodity Real Return Fund									
50. -Morgan Stanley Bond									
51. -Merck									

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52. -Templeton Global Bond Fund									
53. -iShares IBOXX Investment Grade Corp Bd Fd									
54. -Mondelez					Sold	07/03/13	J	B	
55. -Harding Loevner Emerging Mkt Fund					Buy	01/11/13	K		
56. RIVERFRONT CAPITAL FUND (A) (See VIII)	F	Distribution	K	U					
57. RIVERFRONT CAPITAL FUND (B) (See VIII)	F	Distribution	K	U					

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

PART II: PARTIES AND TERMS re: Grove City College, cntd . . . (started part-time teaching on 01/21/02).

PART VII: INVESTMENTS AND TRUSTS, cntd . . . (Limited Partnership with investments in CENTRIA) through Riverfront Capital Fund. Two different investments - - Both (A) and (B) are stand-alone investments. I have no mangagement responsibilities therein - - solely passive investment.

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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
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Washington, D.C. 20544