

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) Harvey, Gordon M.	2. Court or Organization U.S. District Court for the District of Columbia	3. Date of Report 05/14/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Magistrate Judge -- Full Time	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 U.S. District Court for District of Columbia 333 Constitution Avenue, NW Washington, DC 20001		
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.	Board Member	Moto, Inc.
2.	Trustee	Family Trust #3
3.	Trustee	Family Trust #4
4.	Trustee	Family Trust #5
5.	Board Member	Federal Magistrate Judge Association

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 9

Name of Person Reporting

Harvey, Gordon M.

Date of Report

05/14/2018

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.		
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. 2017	-- Administration
2. 2017	Forsyth Carterville Coal Company -- Subsidy of Professional Services Fee (see note in Part VIII)
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. Moto, Inc.	February 24-25, 2017	Belleville, IL	Board Meeting	Transportation, Hotel, Meals
2. Moto, Inc.	May 12-13, 2017	St. Louis, MO	Board Meeting	Transportation, Hotel, Meals
3. Moto, Inc.	October 27-28, 2017	St. Louis, MO	Board Meeting	Transportation, Hotel, Meals
4. Federal Magistrate Judges Association	July 30-August 2, 2017	Chicago, IL	Membership & Board Meeting	Transportation, Hotel, Meals
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 9

Name of Person Reporting

Harvey, Gordon M.

Date of Report

05/14/2018

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.	Bryant American Inn of Court	Honorary Membership	\$375.00
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.		Tuition Agreement	K
2.		Tuition Agreement	K
3.		Tuition Agreement	K
4.		Tuition Agreement	L
5.	Suntrust Bank	College Loans	K

FINANCIAL DISCLOSURE REPORT

Page 4 of 9

Name of Person Reporting

Harvey, Gordon M.

Date of Report

05/14/2018

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. Fidelity Account -- Cash	A	Interest	K	T					
2. Forsyth Carterville Coal Stock	G	Dividend	P1	U					
3. --Sold Forsyth Carterville Coal Stock					Sold (part)	01/09/17	J	D	Forsyth Carterville Cl Co
4. --Sold Forsyth Cartervillw Coal Stock					Sold (part)	01/09/17	J	D	Forsyth Carterville Cl Co
5. --Sold Forsyth Carterville Coal Stock					Sold (part)	10/11/17	K	D	Forsyth Carterville Cl Co
6. --Sold Forsyth Carterville Coal Stock					Sold (part)	10/11/17	K	D	Forsyth Carterville Cl Co
7. Missouri Real Estate Stock	E	Dividend	O	U					
8. Moto, Inc. Stock	F	Dividend	P1	U					
9. Fidelity IRA # 1 (H)									
10. --Vanguard Target Ret 2035 FD Inv	A	Int./Div.	K	T					
11. Fidelity IRA #2 (H)									
12. --Vanguard Target Ret 2035 FD Inv	A	Int./Div.	K	T					
13. TIAA Account LFCYCLE 2030T4	A	Int./Div.	L	T					
14. Real Estate, Mercer County, WV Property		None	K	W					
15. Family Trust #1 (H)									
16. --Cash Account Managed by the Commerce Trust Co	A	Interest	J	T					
17. --Missouri Real Estate Stock	C	Dividend	M	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 H ~\$1,000,001 - \$5,000,000	D ~\$5,001 - \$15,000 L ~\$50,001 - \$100,000	E ~\$15,001 - \$50,000 M ~\$100,001 - \$250,000
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	P1 ~\$1,000,001 - \$5,000,000 P4 ~More than \$50,000,000	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 9

Name of Person Reporting

Harvey, Gordon M.

Date of Report

05/14/2018

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. Family Trust #2 (H)									
19. --Cash Account Managed by the Commerce Trust Co	A	Interest	J	T					
20. --Missouri Real Estate Stock	C	Dividend	M	U					
21. Family Trust #3 (H)									
22. --Alliance Growth (SA AB Growth)	A	Int./Div.	J	T					
23. --Emerging Mkts mgd by JP Morgan Inv. Mgmt	A	Int./Div.	J	T					
24. -- Growth Opportunities mgd by Invesco Advisors	A	Int./Div.	J	T					
25. --Invesco VI Comstock Fund	A	Int./Div.	J	T					
26. --Natural Resources mgd by Wellington Mgmt Fund	A	Int./Div.	J	T					
27. --Real Estate mgd by Pyramis Global	A	Int./Div.	J	T					
28. --Small & Mid Cap Value mgd by Alliance Bernstein	A	Int./Div.	J	T					
29. --Templeton Franklin Foreign Value	A	Int./Div.	J	T					
30. Family Trust #4 (H)									
31. --Alliance Growth (SA AB Growth)	A	Int./Div.	J	T					
32. --Emerging Mkts mgd by JP Morgan Inv. Mgmt	A	Int./Div.	J	T					
33. -- Growth Opportunities mgd by Invesco Advisors	A	Int./Div.	J	T					
34. --Invesco VI Comstock Fund	A	Int./Div.	J	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 = \$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 6 of 9

Name of Person Reporting

Harvey, Gordon M.

Date of Report

05/14/2018

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. --Natural Resources mng by Wellington Mgmt Fund	A	Int./Div.	J	T					
36. --Real Estate mngd by Pyramis Global	A	Int./Div.	J	T					
37. --Small & Mid Cap Value mngd by Alliance Bernstein	A	Int./Div.	J	T					
38. --Templeton Franklin Foreign Value	A	Int./Div.	J	T					
39. Family Trust #5 (H)									
40. --Alliance Growth (SA AB Growth)	A	Int./Div.	J	T					
41. --Emerging Mkts mngd by JP Morgan Inv. Mgmt	A	Int./Div.	J	T					
42. -- Growth Opportunities mngd by Invesco Advisors	A	Int./Div.	J	T					
43. --Invesco VI Comstock Fund	A	Int./Div.	J	T					
44. --Natural Resources mngd by Wellington Mgmt Fund	A	Int./Div.	J	T					
45. --Real Estate mngd by Pyramis Global	A	Int./Div.	J	T					
46. --Small & Mid Cap Value mngd by Alliance Bernstein	A	Int./Div.	J	T					
47. --Templeton Franklin Foreign Value	A	Int./Div.	J	T					
48. Bank of America Cash Account	A	Interest	K	T					
49. Wells Fargo Cash Account	A	Interest	J	T					
50.									
51.									

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 7 of 9

Name of Person Reporting

Harvey, Gordon M.

Date of Report

05/14/2018

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.									
53.									
54.									
55.									
56.									
57.									
58.									
59.									
60.									
61.									
62.									
63.									
64.									
65.									

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 8 of 9

Name of Person Reporting

Harvey, Gordon M.

Date of Report

05/14/2018

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

--The Family Trusts #3, #4, and #5 listed in Part VII hold assets inside a variable annuity. As such, dividend and capital gain distributions paid from the underlying assets (also reported in Section VII) are not disclosed on the statements for these annuities. The undersigned has reported an "A" in column B1 and "Int/Div" in column B2 in an effort to provide as much transparency as possible.

--No interest, dividends or capital gain distributions can be identified in the statements for the TIAA LFCYCLE 2030T4 Account in Part VII. In an abundance of caution, an "A" has been entered for income under column B(1) for this asset.

--Two of the three Bank of America accounts reported in Part VII are cash accounts owned by the undersigned's parents. The undersigned does not own the cash in any of those accounts. The undersigned was made signatory on the accounts to manage the parents affairs in the event of their death or disability.

-- Part III.B, line 2, relates to payments made in 2017, and in prior years including 2014-16, by Forsyth Cartersville Coal Company (FCCC) that partially subsidized the cost of professional services provided to me and my wife in those years. FCCC is a closely-held family business located in the Midwest owned by my wife's extended family. After my wife and I first learned in March 2018 of the subsidy payments to the professional services firm, we reimbursed FCCC. Nevertheless, in the interest of transparency, the subsidy payments are disclosed here. FCCC has no matters before the U.S. District Court for the District of Columbia, is unlikely to ever have any, and, because of my familial and financial connections to it, I would be recused from such matters in any event.

FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

Harvey, Gordon M.

Date of Report

05/14/2018

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/ Gordon M. Harvey**

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