

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)

|                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                          |                                                                  |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting</b> (last name, first, middle initial)<br><br>Graham, James L.                                                                                                                     | <b>2. Court or Organization</b><br><br>U.S. District Court, SD/OH                                                                                                                                                                                                                        | <b>3. Date of Report</b><br><br>07/29/2016                       |
| <b>4. Title</b> (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)<br><br>U.S. District Judge-Senior                                                    | <b>5a. Report Type</b> (check appropriate type)<br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final<br><b>5b.</b> <input type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br><br>01/01/2015<br>to<br>12/31/2015 |
| <b>7. Chambers or Office Address</b><br><br>349 Joseph P. Keinnery U.S. CH<br>85 Marconi Boulevard<br>Columbus, Ohio 43215                                                                                |                                                                                                                                                                                                                                                                                          |                                                                  |
| <p align="center"><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</p> |                                                                                                                                                                                                                                                                                          |                                                                  |

## 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. |  |
| 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.

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. | Farm Credit of Mid America FLCA | Mortgage on Farm land-owned by Partnership-Item 3-Part VII | K                 |
| 2. |                                 |                                                            |                   |
| 3. |                                 |                                                            |                   |
| 4. |                                 |                                                            |                   |
| 5. |                                 |                                                            |                   |

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Name of Person Reporting

Graham, James L.

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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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 1. Apt Bldgs-Gahanna, OH (Franklin Co) -See Part VIII                                                                       | D                                       | Rent                                          |                                                 |                                           | Sold                                            | 04/28/15                | P1                              | G                              |                                                                   |
| 2. Partnership-Farm Land-Franklin Co. Ohio                                                                                  | C                                       | Rent                                          | N                                               | Q                                         |                                                 |                         |                                 |                                |                                                                   |
| 3. Huntington National Bank-Checking & Savings Accounts                                                                     | B                                       | Interest                                      | N                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 4. Gold & Silver Coins                                                                                                      |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 5. Ballard Power Systems, Inc.                                                                                              |                                         | None                                          |                                                 |                                           | Sold                                            | 01/30/15                | J                               |                                |                                                                   |
| 6. Capstone Turbine Corp                                                                                                    |                                         | None                                          |                                                 |                                           | Sold                                            | 01/30/15                | J                               |                                |                                                                   |
| 7. Plug Power, Inc.                                                                                                         |                                         | None                                          |                                                 |                                           | Sold                                            | 01/30/15                | J                               |                                |                                                                   |
| 8. Geeknet, Inc.                                                                                                            |                                         | None                                          |                                                 |                                           | Sold                                            | 01/30/15                | J                               |                                |                                                                   |
| 9. Note Receivable-Benevolent Landlord                                                                                      |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 10. Wells Fargo Money Market Account                                                                                        | A                                       | Interest                                      |                                                 |                                           | Closed                                          | 01/30/15                | J                               |                                |                                                                   |
| 11. 37 shs Huntington Bancshares-8.50% Conv                                                                                 | B                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 12. Charles Schwab Money Market                                                                                             | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 13. Middletown OH RFDG/IMPR3.75% DUE 12/01/19                                                                               | A                                       | Interest                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 14. Oh ST Inft/Impr 3.25% Due 08/01/20                                                                                      | B                                       | Interest                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 15. Single Family Rental Columbus Oh-See Part VIII                                                                          | A                                       | Royalty                                       | M                                               | R                                         |                                                 |                         |                                 |                                |                                                                   |
| 16. Wells Fargo Bank Sweep Account                                                                                          | A                                       | Interest                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 17. Wells Fargo Bank                                                                                                        | C                                       | Interest                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

|                       |                                                                                  |                                                        |                                                            |                                                              |                         |
|-----------------------|----------------------------------------------------------------------------------|--------------------------------------------------------|------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes: | A = \$1,000 or less<br>(See Columns B1 and D4)                                   | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000    | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes        | F = \$50,001 - \$100,000<br>J = \$15,000 or less<br>(See Columns C1 and D3)      | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes | N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000<br>(See Column C2) | Q = Appraisal<br>U = Book Value                        | R = Cost (Real Estate Only)<br>V = Other                   | S = Assessment<br>W = Estimated                              | T = Cash Market         |

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Name of Person Reporting

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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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                                                           |   |              |    |   |      |          |    |   |  |
|---------------------------------------------------------------------------|---|--------------|----|---|------|----------|----|---|--|
| 18. Charles Schwab Bank                                                   | C | Interest     | P1 | T | Buy  | 04/30/15 | P1 |   |  |
| 19. Charles Schwab & Co.                                                  | E | Distribution | P1 | T | Buy  | 04/30/15 | O  |   |  |
| 20. Apt. Bldgs-New Albany, OH (Franklin Co.)-<br>See Part VIII (4 units)  | D | Rent         |    |   | Sold | 04/30/15 | N  | F |  |
| 21. Apt. Bldgs-New Albany, OH (Franklin Co.)-<br>See Part VIII (16 units) | D | Rent         |    |   | Sold | 04/30/15 | P1 | G |  |
| 22. Schwab Govt Money Fd                                                  | A | Interest     | K  | T |      |          |    |   |  |
| 23. Calamos CNV High Income FD                                            | B | Int./Div.    | J  | T |      |          |    |   |  |
| 24. Templeton Global FD                                                   | A | Dividend     | J  | T |      |          |    |   |  |
| 25. Loomis Sayless Investment Mutual Fd                                   | A | Dividend     | K  | T |      |          |    |   |  |
| 26. Pimco Income Income Fd-Class D                                        | C | Dividend     | K  | T |      |          |    |   |  |
| 27. American FD Amcap FD                                                  | A | Dividend     | J  | T |      |          |    |   |  |
| 28. Ariel Fund INV                                                        | B | Dividend     | J  | T |      |          |    |   |  |
| 29. Dodge & Cox Stock FD                                                  | B | Dividend     | K  | T |      |          |    |   |  |
| 30. Royce Special Equity Fd                                               | A | Dividend     | J  | T |      |          |    |   |  |
| 31. SPDR S&P Dividend ETF                                                 | A | Dividend     | J  | T |      |          |    |   |  |
| 32. Schwab Govt Money Fd                                                  | A | Interest     | J  | T |      |          |    |   |  |
| 33. Eaton Vance NAT ltd Mat-Muni Inc A                                    | A | Interest     | K  | T |      |          |    |   |  |
| 34. American FD Income FD                                                 | A | Int./Div.    | J  | T |      |          |    |   |  |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
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| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$50,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                           | T = Cash Market                                              |                         |

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|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                         |   |          |   |   |     |          |   |  |  |
|-----------------------------------------|---|----------|---|---|-----|----------|---|--|--|
| 35. National Storage Affiliates TR      | B | Dividend | L | T | Buy | 04/22/15 | L |  |  |
| 36. Morgan Stanley Money Market Account | A | Interest | J | T | Buy | 01/30/15 | J |  |  |
| 37.                                     |   |          |   |   |     |          |   |  |  |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
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| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                           | T = Cash Market                                              |                         |

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

Part VII, page 1, line 1: The date of purchase was April 2, 2002. The actual cost is \$425,865.

Part VII, line 2, The date of the appraisal was June 6, 2011 with an valuation date of June 6, 2011.

Part VII, line , 15, The date of purchase was 04/23/2010. The purchase price was \$142,296.

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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 L. Graham**

**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