

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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) Maloney, Paul L.	2. Court or Organization District Court, WD MI	3. Date of Report 05/08/2015
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 01/01/2014 to 12/31/2014
7. Chambers or Office Address 410 W. Michigan Ave Kalamazoo, MI 49007		
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.		
2.		
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. 1995-2007	State Judicial Pension calculated based on years of service-Commenced Drawing Pension January 2010
2. 1995-2007	Berrien County Pension calculated based on years of service-Commenced Drawing Pension January 2010
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 10

Name of Person Reporting

Maloney, Paul L.

Date of Report

05/08/2015

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. 2014	State of Michigan Judicial Pension	\$48,624.00
2. 2014	Berrien County, MI Pension	\$15,500.00
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. 1/14- 6/14	Teacher, River Valley School District
2. 7/14-12/14	State of Michigan Teacher Pension-commenced drawing July 2014
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.				
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 10

Name of Person Reporting

Maloney, Paul L.

Date of Report

05/08/2015

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*

☒ NONE *(No reportable gifts.)*

SOURCE	DESCRIPTION	VALUE
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.)*

CREDITOR	DESCRIPTION	VALUE CODE
1.		
2.		
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 10

Name of Person Reporting

Maloney, Paul L.

Date of Report

05/08/2015

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. Brokerage Account # 1 (H)									
2. --Amer Cent Growth ADV	A	Dividend			Sold	01/09/14	J	B	
3. --Blackrock Equity Dividend A	A	Dividend	J	T	Sold (part)	01/09/14	J	A	
4. --American Gr FD of America F	A	Dividend	J	T	Sold (part)	01/09/14	J	B	
5. --Jennison Mid-Cap Growth A	A	Dividend	J	T					
6. --Pimco Total Return A	A	Dividend	J	T	Sold (part)	01/09/14	J	A	
7. --Thornburg Intl Value A	A	Dividend			Sold	01/09/14	J	B	
8. --UBS Bank USA Dep Acct	A	Interest	J	T					
9. --UBS Pace Money Market INV Fund Class P	A	Dividend	J	T					
10. --Amer Century Short Duration Inflation Prot Bond A	A	Dividend	J	T					
11. --Lazard Developing Mrkts Equity pft	A	Dividend			Sold	01/09/14	J	A	
12. --Invesco Small Cap Value Class A	A	Dividend	J	T					
13. --Goldman Sachs Strategic Income Class A	A	Dividend	J	T					
14. --Transparent Value Dividend Fund Class A	A	Dividend	J	T	Sold (part)	01/09/14	J	A	
15. --Transamerica Tactical Income Fund Class A	A	Dividend	J	T					
16. --Sun America Focused Dividend Strategy Fund A	A	Dividend	J	T					
17. --Alliance Bernstein Small Cap Growth Class A	A	Dividend	J	T					

1. Income Gain Codes:	A ~\$1,000 or less (See Columns B1 and D4)	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	F ~\$50,001 - \$100,000 (See Columns C1 and D3)	J ~\$15,000 or less N ~\$250,001 - \$500,000	K ~\$15,001 - \$50,000 O ~\$500,001 - \$1,000,000	L ~\$50,001 - \$100,000 P1 ~\$1,000,001 - \$5,000,000	M ~\$100,001 - \$250,000 P2 ~\$5,000,001 - \$25,000,000
3. Value Method Codes	P3 ~\$250,000,001 - \$50,000,000 (See Column C2)	Q ~Appraisal U ~Book Value	R ~Cost (Real Estate Only) V ~Other	P4 ~More than \$50,000,000 S ~Assessment W ~Estimated	T ~Cash Market

FINANCIAL DISCLOSURE REPORT

Page 5 of 10

Name of Person Reporting

Maloney, Paul L.

Date of Report

05/08/2015

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. --MFS Internatl Value Fund Class A	A	Dividend	J	T	Buy (add'l)	01/09/14	J		
19. --John Hancock Income Fund Class A	A	Dividend			Sold	01/09/14	J	A	
20. --Lord Abbett Short Duration Income Fund	A	Dividend	J	T	Sold (part)	01/09/14	J	A	
21. --Franklin Templeton Global Fund Class A	A	Dividend	J	T	Buy (add'l)	01/09/14	J		
22. --Compass Emp Rec EnhancedViolativity Weighted Fund	A	Dividend	J	T	Buy	01/09/14	J		
23. --Compass Risk MG DVD GR 1	A	Dividend	J	T	Buy	01/09/14	J		
24. --American Century Internatl Growth Fund, Class A	A	Dividend	J	T	Buy	01/09/14	J		
25. --Invesco Developing Markets Fund Class A	A	Dividend	J	T	Buy	01/09/14	J		
26. --Copeland Risk Mgmt DVD Growth 1	A	Dividend	J	T	Buy	01/09/14	J		
27. --Blackrock Strategic Income I	A	Dividend	J	T	Buy	01/09/14	J		
28. -- JP Morgan Large Cap Growth Fund Class A	A	Dividend	J	T	Buy	01/09/14	J		
29. Brokerage Account #2 (H)									
30. --Apple Computer common stock	A	Dividend	L	T					
31. --UBS Deposit Acct	A	Dividend	K	T					
32. --Illinois Tool Works common stock	A	Dividend	J	T					
33. --McKesson common stock	A	Dividend	K	T					
34. --Schlumberger common stock	A	Dividend	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 10

Name of Person Reporting

Maloney, Paul L.

Date of Report

05/08/2015

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. --Norfolk Southern RR common stock	A	Dividend	J	T					
36. --Starbucks common stock	A	Dividend	J	T					
37. --Transparent Value Directiona Fund Class A	A	Dividend	K	T					
38. --Boeing common stock	A	Dividend	J	T	Buy	01/10/14	J		
39. --Henderson Global Investors European Focus	A	Dividend	J	T	Buy	01/08/14	J		
40. --Intel common stock	A	Dividend	J	T	Buy	05/20/14	J		
41. --NE Utilities common stock	A	Dividend		T	Buy	10/02/14	J		
42. --Qualcomm common stock	A	Dividend	J	T	Buy	10/02/14	J		
43.									
44. Brokerage Account #3 (H)									
45. --Pace Govt Sec Fixed Income Investment Fund Class P	A	Dividend			Sold	01/09/14	J	A	
46. --Pace Large Company Growth Equity Investment Fund Class	A	Dividend	J	T					
47. --Pace Intl Emerg Mkts Equity Class P	A	Dividend	J	T					
48. --Lrg Comp Value Equity Fund Class P	A	Dividend	J	T					
49. --Pace Intl Equity Fund Class P	A	Dividend	J	T					
50. --Pace Sm/Medium Co Growth Equity Class P	A	Dividend	J	T					
51. --Pace Strategic Fixed Income Fund Class P	A	Dividend	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 7 of 10

Name of Person Reporting

Maloney, Paul L.

Date of Report

05/08/2015

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. --Pace Money Market Investment Fund Class P	A	Dividend	J	T					
53. --Pace Global Real Estate Securities Fund Class P	A	Dividend	J	T					
54. --Pace International Fixed Income Investment Class P	A	Dividend	J	T	Buy	01/09/14	J		
55. State of Michigan 401k (H)									
56. --SSgA Bond Market Index	A	Dividend	J	T					
57. --Dodge and Cox Stock Fund	A	Dividend	M	T					
58. --Rainer Lg Cap Growth Equity Fund	A	Dividend			Sold	01/10/14	K	A	
59. --American Funds Euro Pacific	A	Dividend	K	T					
60. --Pimco Total Return Fund I	A	Dividend	K	T					
61. --ING Small Cap Growth, now known as Voya Small Cap Growth	A	Dividend	K	T					
62. --Oakmark Equity and Income	A	Dividend	K	T					
63. --New Jennison Large Cap Growth	A	Dividend	K	T	Buy	01/10/14	K		
64. 457 Retirement Acct (H)									
65. --Nationwide Fixed Acct	B	Int./Div.	L	T					
66. --Newberger Genesis Fund TC	A	Dividend	J	T					
67. 403b Account (H)									
68. --New Perspective Fund A	A	Dividend	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	P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	L = \$50,001 - \$100,000 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 10

Name of Person Reporting

Maloney, Paul L.

Date of Report

05/08/2015

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)
69. --Capital World Growth A	A	Dividend	J	T					
70. --US Govt Securities A	A	Dividend	J	T					
71. Fifth Third Bank Account	A	Interest	K	T					
72. DOJ Federal Credit Union	A	Interest	L	T					
73. 403b(7) Account (H)									
74. --New Perspective Fund A	A	Dividend	J	T					
75. --Capital World Growth A	A	Dividend	J	T					
76. --US Govt Securities A	A	Dividend	J	T					
77. --Invesco US Growth Fund A	A	Dividend	J	T					
78. --Pimco Total Return Fund A	A	Dividend	J	T					
79. Honor Credit Union CD Acct (H)	A	Interest	K	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 \$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	

FINANCIAL DISCLOSURE REPORT

Page 9 of 10

Name of Person Reporting

Maloney, Paul L.

Date of Report

05/08/2015

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

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

Maloney, Paul L.

Date of Report

05/08/2015

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/ Paul L. Maloney

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