

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) GOODWIN, JOSEPH R.	2. Court or Organization US DISTRICT COURT, SOUTHERN WEST VIRGINIA	3. Date of Report 05/02/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) US DISTRICT JUDGE-ACTIVE	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address 300 VIRGINIA STREET EAST, SUITE 5009 PO BOX 2546 CHARLESTON, WV 25301		
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.)

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.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 8

Name of Person Reporting

GOODWIN, JOSEPH R.

Date of Report

05/02/2017

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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE AND TYPE

1. 2016

OFFICE OF SECRETARY, EDUCATION/STATE OF WV (WAGES)

2. 2016

SELF-EMPLOYED (TRUSTEE FEES - TRUST #1)

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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. _____

2. _____

3. _____

4. _____

5. _____

FINANCIAL DISCLOSURE REPORT

Page 3 of 8

Name of Person Reporting

GOODWIN, JOSEPH R.

Date of Report

05/02/2017

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.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 8

Name of Person Reporting

GOODWIN, JOSEPH R.

Date of Report

05/02/2017

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. BB&T ACCOUNT #1	A	Interest	K	T					
2. FIRST BANK OF CHARLESTON ACCOUNT #1	A	Interest	N	T					
3. CHARLES SCHWAB INVESTMENT ACCOUNT									
4. --CHARLES SCHWAB CASH ACCOUNT/ MONEY MARKET	A	Interest	J	T					
5. --ECA MARCELLUS TR I PUBLICLY TRADED PARTNERSHIP	A	Royalty	J	T					
6.	B	Distribution							
7. CHARLES SCHWAB IRA ACCOUNT #1									
8. --CHARLES SCHWAB MONEY FUND		None	J	T					
9. --ECA MARCELLUS TR I PUBLICY TRADED PARTNERSHIP	A	Royalty	J	T					
10.	A	Distribution							
11. --ONCOLYTICS BIOTECH INC F		None	J	T					
12. --PROTEA BIOSCIENCES GRP		None	J	T					
13. REAL ESTATE #2, RIPLEY, WEST VIRGINIA	D	Rent	K	W					
14. REAL ESTATE #5, RIPLEY, WEST VIRGINIA		None	J	W					
15. TRUST #1									
16. --ROYALTY INTEREST #1, NICHOLAS COUNTY, WV		None	J	U					
17. --ROYALTY INTEREST #2, NICHOLAS COUNTY, WV		None	J	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 = \$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 5 of 8

Name of Person Reporting

GOODWIN, JOSEPH R.

Date of Report

05/02/2017

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. --ROYALTY INTEREST #3, NICHOLAS COUNTY, WV		None	J	U					
19. --ROYALTY INTEREST #4, NICHOLAS COUNTY, WV		None	J	U					
20. --ROYALTY INTEREST #5, NICHOLAS COUNTY, WV		None	J	U					
21. --ROYALTY INTEREST #6, NICHOLAS COUNTY, WV		None	J	U					
22. --ROYALTY INTEREST #7, NICHOLAS COUNTY, WV		None	J	U					
23. --ROYALTY INTEREST #8, NICHOLAS COUNTY, WV		None	J	U					
24. --ROYALTY INTEREST #9, NICHOLAS COUNTY, WV		None	J	U					
25. --ROYALTY INTEREST #10, RANDOLPH COUNTY, WV		None	J	U					
26. --ROYALTY INTEREST #11, RANDOLPH COUNTY, WV		None	J	U					
27. --ROYALTY INTEREST #12, RANDOLPH COUNTY, WV		None	J	U					
28. --ROYALTY INTEREST #13, RANDOLPH COUNTY, WV		None	J	U					
29. --ROYALTY INTEREST #14, RANDOLPH COUNTY, WV		None	J	U					
30. --ROYALTY INTEREST #15, BRAXTON COUNTY, WV		None	J	U					
31. --ROYALTY INTEREST #16, BRAXTON COUNTY, WV		None	J	U					
32. --ROYALTY INTEREST #17, BRAXTON COUNTY, WV		None	J	U					
33. --ROYALTY INTEREST #18, BRAXTON COUNTY, WV		None	J	U					
34. --ROYALTY INTEREST #19, BRAXTON COUNTY, WV		None	J	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 = \$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 8

Name of Person Reporting

GOODWIN, JOSEPH R.

Date of Report

05/02/2017

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. --ROYALTY INTEREST #20, BRAXTON COUNTY, WV		None	J	U					
36. --ROYALTY INTEREST #21, BRAXTON COUNTY, WV		None	J	U					
37. --ROYALTY INTEREST #22, BRAXTON COUNTY, WV		None	J	U					
38. --ROYALTY INTEREST #23, BRAXTON COUNTY, WV		None	J	U					
39. --ROYALTY INTEREST #24, NICHOLAS COUNTY, WV		None	J	U					
40. --ROYALTY INTEREST #25, NICHOLAS COUNTY, WV		None	J	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 = \$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 7 of 8

Name of Person Reporting

GOODWIN, JOSEPH R.

Date of Report

05/02/2017

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

Part VII, Line #7 - Reporting individual was subject to a Required Minimum Distribution during 2016; however, RMD was less than \$1,000. Therefore, the transaction was not required to be reported in Section D for the affected underlying asset(s).

Part VII, Line #15 - Reporting individual's spouse is the Trustee of a Family Partnership/Trust that holds various parcels of land and related mineral rights. The spouse is responsible for allocating and distributing monthly distribution checks to the beneficiaries/partners, but has no further control or ownership rights over the underlying assets included in the Family Partnership/Trust.

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

GOODWIN, JOSEPH R.

Date of Report

05/02/2017

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/ JOSEPH R. GOODWIN**

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