

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) MUSGRAVE, R. KENTON	2. Court or Organization U.S. COURT OF INT'L TRADE	3. Date of Report 06/21/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) SENIOR JUDGE	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 ONE FEDERAL PLAZA NEW YORK NEW YORK 10278-0001		
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. TRUSTEE EMERITUS	THE DIAN FOSSLEY GORILLA FUND
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.	
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 8

Name of Person Reporting

MUSGRAVE, R. KENTON

Date of Report

06/21/2018

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.

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.

FINANCIAL DISCLOSURE REPORT

Page 3 of 8

Name of Person Reporting

MUSGRAVE, R. KENTON

Date of Report

06/21/2018

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 8

Name of Person Reporting

MUSGRAVE, R. KENTON

Date of Report

06/21/2018

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. DUKE ENERGY CORP	D	Dividend	M	T					
2. AT&T	B	Dividend	K	T					
3. SOUTHERN CO	B	Dividend	K	T					
4. YAMANA GOLD, INC.	A	Dividend	J	T					
5. EXXON MOBILE CORP	A	Dividend	J	T					
6. BANK OF AMERICA MONEY MARKET CHECK INTEREST CHECKING (X)	A	Interest	J	T					
7. AEGON NV	A	Dividend	J	T					
8. MARATHON PETROLEUM CORP COM	A	Dividend	K	T					
9. VERIZON COMM COM	A	Dividend	J	T					
10. AMERICAN WRT WORKS CO	A	Dividend	K	T					
11. AMN ELECTRIC POWER	A	Dividend	K	T					
12. MARATHON OIL CORP	A	Dividend	J	T					
13. KINDER MORGAN ENERGY PARTNERS	A	Dividend	K	T					
14. BISON DEPOSIT SWEEP	A	Interest			Closed	01/01/17	J	A	
15. FIRST TRUST BALANCED SELECT SERIES S7 CASH	A	Dividend			Sold	12/14/17	J	A	
16. BANK SWEEP	A	Interest	J	T					
17. APPLE INC	A	Dividend			Sold	07/12/17	L	D	

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 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = More than \$50,000,000
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

MUSGRAVE, R. KENTON

Date of Report

06/21/2018

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)

18. AT&T	A	Dividend			Sold	07/12/17	K	D	
19. CENTURYLINK INC	A	Dividend			Sold	07/12/17	K	A	
20. DUKE ENERTY CORP	A	Dividend			Sold	07/12/17	J	C	
21. EXXON MOBIL	A	Dividend			Sold	07/12/17	K	E	
22. MARATHON OIL CORP	A	Dividend			Sold	07/12/17	J	A	
23. SOUTHERN COMPANY	A	Dividend			Sold	07/12/17	K	D	
24. FIRST TRUST CYBERSECURITY	A	Dividend			Sold	04/13/17	J	A	
25. AMG FUNDS III	A	Dividend	K	T	Buy	07/14/17	K		
26. INVESCO GLOBAL REAL	A	Dividend	J	T	Buy	07/14/17	J		
27. AMERICAN CENTY INVT TR	A	Dividend	K	T	Buy	07/14/17	K		
28. COHEN & STEERS	A	Distribution	J	T	Buy	07/14/17	J		
29. DODGE & COX STK FD	A	Dividend	J	T	Buy	07/14/17	J		
30. FIDELITY ADVISOR	A	Dividend	J	T	Buy	07/14/17	J		
31. GOLDMAN SACH TR	A	Dividend	J	T	Buy	07/14/17	J		
32. HARTFORD MUTL FDS	A	Dividend	J	T	Buy	07/14/17	J		
33. AMERICAN FUNDS	A	Dividend	K	T	Buy	07/14/17	K		
34. MAINSTAY MACKAY	A	Dividend	J	T	Buy	07/14/17	J		

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

MUSGRAVE, R. KENTON

Date of Report

06/21/2018

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. MFS SER TR X	A	Dividend	J	T	Buy	07/14/17	J		
36. METROPOLITAN WEST	A	Dividend	K	T	Buy	07/14/17	K		
37. DEUTSCHE ENH CMDTY INSTL	A	Dividend			Buy	07/14/17	J		
38.					Sold	08/28/17	J	A	
39. GOLDMAN FINL SQ REAS MM	A	Dividend			Buy	07/14/17	J		
40.					Sold	10/13/17	J	A	
41. CHAMPLAIN FUNDS SMALL CO FUND INSTL	A	Dividend	J	T	Buy	07/14/17	J		
42. WELLS FARGO FDS TR SMALL CO GROW CL INS	A	Dividend	J	T	Buy	07/14/17	J		
43. WELLS FARGO EMERGING MARKETS EQ FD	A	Dividend	J	T	Buy	07/14/17	J		
44. AMERICAN FUNDS EUROPACIFIC GROWTH FD	A	Dividend	J	T	Buy	07/14/17	J		
45. OPPENHEIMER INTL FD CLASS Y	A	Dividend	J	T	Buy	07/14/17	J		
46. PIMCO FDS PAC INVT MGMT SFR COMM REAL RET	A	Dividend	J	T	Buy	08/28/17	J		
47. PRINCIPAL FDS INC SMALL MIDCAP DIV INC FD	A	Dividend	J	T	Buy	07/14/17	J		
48. T ROWE PRICE BLUE CHIP GROW FD	A	Dividend	K	T	Buy	07/14/17	K		
49. THORNBURG INVT TR INVT INC BULR FD	A	Dividend	J	T	Buy	07/14/17	J		
50. WELLS FARGO FDS TR SPECIAL MID CAP VALUE FD	A	Dividend	J	T	Buy	07/14/17	J		

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 8

Name of Person Reporting

MUSGRAVE, R. KENTON

Date of Report

06/21/2018

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

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

MUSGRAVE, R. KENTON

Date of Report

06/21/2018

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/ R. KENTON MUSGRAVE**

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