

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) Holmes, Jerome A.	2. Court or Organization 10th Circuit	3. Date of Report 06/07/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Circuit 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 U.S. Courthouse 215 Dean A. McGee Ave., Rm. 315 Oklahoma City, OK 73102		
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. Director (Board of Directors)	Oklahoma Medical Research Foundation
2. Trustee (Board of Trustees) and Immediate Past Chair	Oklahoma City Museum of Art
3. Presidential Advisor (Term ended)	Rotary Club of Oklahoma City (Club 29)
4. Member and Executive Committee (Resigned)	Fortune Club
5. Director & Chair (Board of Directors)	William J. Holloway, Jr. Scholarship Program, Inc.

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.	

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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. 2017

self-employed attorney

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.	Oklahoma City Museum of Art	Calligraphic Commemorative Resolution	\$3,080.00
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.	Bank of America	Credit Card # 1	J
2.	Bank of America	Credit Card # 2	J
3.			
4.			
5.			

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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. 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. BancFirst (Trust #1) Cash Accounts #1	A	Interest	J	T					
2. Trust # 1 (H)									
3. - Universal Chemical Technologies common stock		None	J	W					
4.									
5. BancFirst Cash Account #2 (Y)									
6. BancFirst Cash Account #3	A	Interest			Closed	01/05/17	L		
7. Weokie Credit Union Cash Accounts (X)	A	Interest	J	T	Open	01/05/17	L		
8.									
9. SEP IRA (H)									
10. - SEI Large Cap Growth A (SELCX)	B	Dividend	K	T	Buy (add'l)	2/21/17	J		
11.					Buy (add'l)	3/20/17	J		
12.									
13. - SEI Large Cap Value A (TRMVX)	B	Dividend	K	T	Buy (add'l)	02/21/17	J		
14.					Buy (add'l)	03/20/17	J		
15.									
16. - SEI Small Cap Growth A (SSCGX)	A	Dividend	J	T					
17.									

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 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 ~\$250,000,001 - \$500,000,000	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	

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18. -SEI Small Cap Value A (SESVX)	A	Dividend	J	T					
19.									
20. -Harbor International Investor (HIINX)	A	Dividend	K	T	Buy (add'l)	02/21/17	J		
21.									
22. -Russell Emerging Markets S (REMSX)	A	Dividend	J	T					
23.									
24. -SEI Core Fixed Income A (TRLVX)	A	Dividend	J	T	Buy (add'l)	02/21/17	J		
25.					Buy (add'l)	03/20/17	J		
26.									
27. -SEI High Yield Bond Fund (SHYAX)	A	Dividend	J	T					
28.									
29. -SEI Emerging Markets Debt Fund (SITEX)	A	Dividend	J	T					
30.									
31. -SEI International Fixed Income Fund (SEFIX)		None	J	T					
32.									
33. -SEI Daily Income Trust Government Fund (SEOXX)	A	Dividend	J	T	Sold (part)	02/21/17	J		
34.					Buy (add'l)	02/21/17	J		

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	N = \$250,001 - \$500,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

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35.					Sold (part)	02/22/17	J		
36.					Sold (part)	03/20/17	J		
37.					Buy (add'l)	03/20/17	J		
38.					Sold (part)	03/21/17	J		
39.									
40. Inherited real property Henderson, NC (X)		None			Sold	04/20/17	J		Family member
41.									
42.									
43.									

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	

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

Part I, Line 2: Filer completed term as Board Chair, June 30, 2017, automatically became Immediate Past Chair, July 1, 2017, for a 2-year term.

Part I, Line 3: Filer served a 1-year term as a Presidential Advisor, ending June 30, 2017.

Part I, Line 4: Filer served as Club member, and also Executive Committee member from January 1, 2016 to April 17, 2017; resigned on April 17.

Part VII, Lines 1 & 3: With the exception of the noted stock and cash account, Trust #1 has no other reportable assets, including income-producing assets.

Part VII, Line 1: Filer reports under this entry an additional Trust #1 Cash Account at the same institution (hence the reference to "Accounts"). The aggregate value range of the entry remains the same as reported last year.

Part VII, Line 5: The value of this account (Bank First Cash Account #2) fell below the reporting threshold by the end of the reporting period.

Part VII, Line 6-7: Filer closed BancFirst Cash Account #3 on January 5, 2017 and transferred approximately all of the cash into a Cash Account at WeOKIE Credit Union.

Part VII, Line 40: Contrary to Filer's understanding and belief, when he filed his calendar year 2014 disclosure form (2014 AO 10), certain real property, once belonging to Filer's deceased [REDACTED], remained in [REDACTED] estate, in which Filer had an interest through inheritance. Filer originally received income related to a sale of real property in this estate in 2014, and duly disclosed this income on his 2014 AO 10 (Part VII, Line 1). Filer formally learned of additional real property in the estate from the estate's legal counsel on approximately February 2, 2017, and was informed by the estate's personal representative on approximately June 7, 2017 of the distribution of the proceeds from the sale of a significant portion of this estate's real property to a family member. Filer's subsequent inspection of property records revealed that said property was sold on April 20, 2017. Filer never had possession or physical control over the real property sold on April 20, nor does he have such an interest in any possible remaining real property of the estate. Filer has not received any rents, royalties, or capital gains related to the estate's real property, nor has he received any other income from the estate's real property, except for sales proceeds which he has duly reported on the applicable AO 10, per its instructions. Filer's interest through inheritance in the proceeds of the April 20, 2017 sale of estate real property is reported herein.

Part V, Line 1: Filer received a calligraphic resolution from the Oklahoma City Museum of Art Board in appreciation of his two-year service as Board Chair. Said resolution attests to Filer's accomplishments as Chair. Cost of the resolution primarily relates to use of a professional calligrapher.

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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/ Jerome A. Holmes**

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
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