

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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) Helmick, Jeffrey J.	2. Court or Organization U.S. District Court, OH-N	3. Date of Report 10/05/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Active Status	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2015 to 12/31/2015
7. Chambers or Office Address 1716 Spielbusch Avenue, Suite 210 Toledo, OH 43604		
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.	President, Board of Trustees	
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.		

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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. 2015

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.	American Express	Credit Card	K
2.		Tuition	K
3.	Discover	Credit Card	J
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. Trust #1 (H)	D	Int./Div.	O	T					
2. -Air Products and Chemicals, Inc. Stock	D	Dividend			Sold	08/20/15	J	D	
3. -Apple Inc. Stock	A	Dividend	K	T	Sold (part)	07/14/15	J	D	
4.					Sold (part)	08/20/15	J	D	
5. -Aston/Fairpointe Mid Cap Fund	A	Int./Div.	K	T	Sold (part)	04/24/15	J	D	
6.					Sold (part)	08/20/15	J		
7. -Chevron Corp Stock		None			Sold	08/20/15	J		
8. -Colgate Palmolive Co. Stock	A	Dividend	K	T					
9. -ConocoPhillips Stock	A	Dividend	J	T					
10. Cullen High Dividend Equity Fund	A	Int./Div.	J	T	Buy	04/27/15	J		
11.					Buy (add'l)	08/21/15	J		
12. -Dodge & Cox Int'l Stock Fund	A	Int./Div.	K	T					
13. -Google, Inc. Stock Class A (Alphabet Inc)	A	Int./Div.	K	T					
14. -Google, Inc. Stock Class C (Alphabet Inc)	A	Int./Div.	K	T	Sold (part)	05/04/15	J	A	
15. -Harbor International Fund		None			Sold	12/23/15	K		
16. -Intel Corp.	A	Dividend	K	T					
17. -iShares Core MSCI EAFE ETF	B	Int./Div.	L	T	Buy	12/29/15	K		

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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	(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. -iShares Core S&P 500 ETF	A	Int./Div.	J	T	Buy	04/27/15	J		
19.					Buy (add'l)	08/25/15	J		
20. -iShares MSCI EAFE Index Fund		None			Sold	12/23/15	K		
21. -Johnson & Johnson Stock	A	Dividend	K	T					
22. -JP Morgan US Equity Fund	A	Int./Div.	K	T	Buy	04/27/15	J		
23.					Buy (add'l)	08/21/15	K		
24. -Neuberger Berman Emerg Mkts Eqty	A	Int./Div.	J	T					
25. -Parker Hannifin Corp. Stock	A	Dividend	J	T					
26. -Pepsico Inc. Stock	A	Dividend	J	T	Sold (part)	10/19/15	J	C	
27. -Riverpark/Wedgewood Fund	A	Int./Div.	J	T	Buy	04/27/15	J		
28.					Buy (add'l)	08/21/15	J		
29. -United Technologies Corp. Stock	A	Dividend	K	T					
30. -Vanguard Emerging Markets Fund	A	Int./Div.	J	T	Sold (part)	08/20/15	J		
31. -KT Short Term Tax-Free Fund	C	Int./Div.	N	T	Sold (part)	07/9/15	J		
32. -KT Short Term Deposit Fund	A	Int./Div.	K	T					
33. IRA #1 (H)	A	Int./Div.	J	T					
34. -Merrill Lynch Cash/Money Account aka Bank of America NA RASP	A	Int./Div.	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	
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35. -Alcatel Lucent Stock		None	J	T					
36. -AOL Inc. Stock		None			Sold	06/30/15	J		
37. -Time Inc. Stock	A	Dividend	J	T					
38. -Time Warner Inc. Stock	A	Dividend	J	T					
39. -Time Warner Cable Inc. Stock	A	Dividend	J	T					
40. Deferred Compensation #1 (H)	B	Int./Div.	M	T					
41. -Ohio DC Intermediate Bond (X)	A	Dividend	J	T	Buy	3/27/15	J		
42. -Ohio DC Stable Value Option	A	Int./Div.	K	T					
43. -Dodge & Cox Stock Fund	A	Dividend	K	T					
44. -Fidelity Contrafund	C	Int./Div.	L	T					
45. -FPA Capital Stock Fund		None	J	T					
46. -PIMCO Total Return Fund		None			Sold	03/27/15	J		
47. -Vanguard Capital Opportunity Stock Fund	B	Int./Div.	J	T					
48. MetLife Whole Life (H)	A	Int./Div.	K	T					
49. Fifth Thid Bank Cash Account (H) (X)	A	Interest	L	T					

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

Regarding "Trust #1", the first listing in Part VII, [REDACTED] is the sole beneficiary of the trust.

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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/ Jeffrey J. Helmick**

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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