

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

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) Schwab, Arthur J.	2. Court or Organization Western District of Pennsylvania	3. Date of Report 03/19/2013
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 01/01/2012 to 12/31/2012
7. Chambers or Office Address U.S. Courthouse 700 Grant Street, Suite 7280 Pittsburgh, PA 15219		
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. Part-time Professor (evening course)	Grove City College
2. Secretary and member of the Board of Trustees (non-compensated)	Grove City College
3. Faculty member (non-compensated)	University of Virginia School of Law - Trial Advocacy Program
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. 07/11/91	Single life annuity through a life insurance company through prior employer, Reed Smith LLP, beginning monthly on 01/01/2012.
2. 2012	Grove City College - Part-time Professor - evening course - intellectual property law (compensation is within the applicable judicial guidelines)
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. 2012	Grove City College - teaching	\$12,500.00
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. University of Virginia School of Law	01/05/12 to 01/09/12	Charlottesville, Virginia	Faculty	mileage, tolls, meals (31st Annual National Trial Advocacy College)
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.		
2.		
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. ROLLOVER IRA NO. 1:	E	Int./Div.	O	T					
2. -Fidelity Gov't Money Market									
3. -Baron Small Cap Fund									
4. -Artisan Small Cap Vale									
5. -Calamos Growth Fund									
6. -Harbor International Fund									
7. -Dodge & Cox Int'l Fund									
8. -iShares US Treasury									
9. -(a) JP Morgan US Large Cap					Sold (part)	09/28/12	J	C	
10. -Ivy Gbl Nat Resources FD					Sold	09/24/12	J	A	
11. -(a) Pimco Funds Total Return									
12. -(b) Pimco Funds Total Return									
13. -BellSouth Comp. Note					Sold	06/29/12	K	A	
14. -Verizon Comm Inc. Note					Sold	12/11/12	K	A	
15. -JP Morgan Chase Note					Sold	10/01/12	K	A	
16. -Morgan Stanley Note					Sold	01/09/12	K	A	
17. -Goldman Sachs Note									

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	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
(See Column C2)	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
	U = Book Value	V = Other	W = Estimated		

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18. -AT&T					Buy	07/11/12	J		
19. -BP PLC					Sold	01/20/12	J	A	
20. -Chevron Comp									
21. -Coca Cola									
22. -(a) ConocoPhillips					Buy	07/11/12	J		
23. -(b) Conoco Phillips					Sold (part)	10/03/12	J	B	
24. -Consolidated Edison									
25. -Dominion Resources					Sold	01/20/12	J	C	
26. -(a) Exxon Mobil									
27. -(b) Exxon Mobil									
28. -(a) Intel Corp									
29. -(b) Intel Corp									
30. -(a) International Business Machs Corp.									
31. -(b) International Business Machs Corp.									
32. -(a) Johnson & Johnson									
33. -(b) Johnson & Johnson									
34. -(c) Johnson & Johnson					Buy	07/11/12	J		

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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. -Kimberly-Clark Corp.					Buy	07/11/12	J		
36. -Lilly Eli & Co.					Buy	01/20/12	J		
37. -McDonalds Corp.									
38. -(a) Microsoft Corp.									
39. -(b) Microsoft Corp.									
40. -Pepsico Inc.					Buy	01/25/12	J		
41. -Price T Rowe Group Inc.					Sold	09/28/12	J	B	
42. -Procter & Gamble Co.					Buy	07/11/12	J		
43. -(a) United Technologies Corp.									
44. -(b) United Technologies Corp.									
45. -Verizon Communications Inc.					Buy	07/11/12	J		
46. -JP Morgan Chase & Co.									
47. -RS Emerging Mkts Fund									
48. -Perkins Mid-Cap Fund									
49. -(a) Blackrock Global Fund									
50. -Kinder Morgan Energy					Sold	09/28/12	J	B	
51. -Dividend Cap Ind Trust II					Buy	02/01/12	K		

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52. -Cummins					Sold	09/28/12	J	A	
53. -Kraft Foods Inc.									
54. -National Oil Well Varco									
55. -United Health Group									
56. -Walt Disney					Sold	01/20/12	J	A	
57. -Dupont E.I. Denemours									
58. -Fidelity Advisor Floating High Income Fund									
59. -Goldman Sachs Grth Oppor									
60. -Pimco Commodity Real Return Fund									
61. -Morgan Stanley Bond					Buy	10/01/12	K		
62. -Merck					Buy	01/20/12	J		
63. -Templeton Global Bond Fund					Buy	10/08/12	K		
64. -iShares IBOXX Investment Grade Corp Bd Fd					Buy	09/28/12	K		
65. -Mondelez					Buy	10/02/12	J		
66. RIVERFRONT CAPITAL FUND (A) (See VIII)	F	Distribution	K	U					
67. RIVERFRONT CAPITAL FUND (B) (See VIII)	F	Distribution	K	U					

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

PART II: PARTIES AND TERMS re: Grove City College, cntd . . . (started part-time teaching on 01/21/02).

PART VII: INVESTMENTS AND TRUSTS, cntd . . . (Limited Partnership with investments in CENTRIA) through Riverfront Capital Fund. Two different investments - - Both (A) and (B) are stand-alone investments. I have no mangagement responsibilities therein - - solely passive investment.

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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/ Arthur J. Schwab**

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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Washington, D.C. 20544