

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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 5/14/2015
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 01/01/2014 to 12/31/2014
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.	Member, Board of Trustees	School
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

Helmick, Jeffrey J.

Date of Report

5/14/2015

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. 2014

Staff attorney, [REDACTED] - salary

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

Helmick, Jeffrey J.

Date of Report

5/14/2015

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.	██████████ School	Tuition	J
3.	American Express	Credit Card	K
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 8

Name of Person Reporting

Helmick, Jeffrey J.

Date of Report

5/14/2015

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)	E	Int./Div.	O	T					
2. -Air Products and Chemicals, Inc. Stock					Sold (part)	04/16/14	J	D	
3. -Apple Inc. Stock									
4. -Aston/Fairpointe Mid Cap Fund					Buy (add'l)	03/20/14	J		
5. -BHP Billiton Ltd. Stock					Sold	01/06/14	J	B	
6. -Chevron Corp Stock									
7. -Colgate Palmolive Co. Stock									
8. -ConocoPhillips Stock									
9. -Dodge & Cox Int'l Stock Fund									
10. -EMC Corp. (Y)									
11. -Google, Inc. Stock Class A									
12. -Google, Inc. Stock Class C (X)					Spinoff (from line 11)	04/03/14	J		
13. -Harbor International Fund					Buy (add'l)	03/20/14	J		
14. -Intel Corp.									
15. -Intercontinental Exchange Inc. Stock (Y)									
16. -iShares MSCI Canada Index (Y)									
17. -iShares MSCI EAFE Index Fund									

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 5 of 8

Name of Person Reporting

Helmick, Jeffrey J.

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18. -iShares MSCI Pac Ex-Jpn Index (Y)									
19. -Johnson & Johnson Stock									
20. -Neuberger Berman Emerg Mkts Eqty									
21. -Oracle Corp. Stock (Y)									
22. -Parker Hannifin Corp. Stock									
23. -Pepsico Inc. Stock									
24. -Royce FD Premier SER Mutual Fund (Y)									
25. -Target Corp. Stock					Sold	01/21/14	J	D	
26. -United Technologies Corp. Stock					Sold (part)	04/16/14	J	D	
27. -Vanguard Emerging Markets Fund									
28. -KT Short Term Tax-Free Fund					Buy (add'l)	01/16/14	J		
29.					Sold (part)	03/20/14	J		
30.					Sold (part)	04/03/14	J		
31. -KT Short Term Deposit Fund									
32. IRA #1 (H)	A	Int./Div.	J	T					
33. -Merrill Lynch Cash/Money Account	A	Int./Div.	J	T					
34. -Alcatel Lucent Stock									

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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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FINANCIAL DISCLOSURE REPORT

Page 6 of 8

Name of Person Reporting

Helmick, Jeffrey J.

Date of Report

5/14/2015

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35. -AOL Inc. Stock									
36. -LSI Corp. Stock (Y)									
37. -Time Inc. Stock (X)									
38. -Time Warner Inc. Stock									
39. -Time Warner Cable Inc. Stock									
40. Deferred Compensation #1 (H)	D	Int./Div.	M	T					
41. -Ohio DC Stable Value Option									
42. -Dodge & Cox Stock Fund									
43. -Fidelity Contrafund									
44. -FPA Capital Stock Fund									
45. -PIMCO Total Return Fund									
46. -Vanguard Capital Opportunity Stock Fund									
47. MetLife Whole Life	A	Int./Div.	K	T					
48.									

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FINANCIAL DISCLOSURE REPORT

Page 7 of 8

Name of Person Reporting

Helmick, Jeffrey J.

Date of Report

5/14/2015

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

Regarding "Trust #1", the first listing in Part VII, my wife is the sole beneficiary of the trust.

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

Helmick, Jeffrey J.

Date of Report

5/14/2015

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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