

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) Gilman, Ronald L.	2. Court or Organization U. S. Court of Appeals, Sixth Circuit	3. Date of Report 04/06/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U. S. Circuit Judge (Senior Status)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address 167 North Main Street, Suite 1176 Memphis, TN 38103		
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. _____	_____
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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE 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.)*SOURCEDATESLOCATIONPURPOSEITEMS 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.		
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. Gulf Housing Ltd. Partnership (5 apt. projects in Ala. and Miss.)	A	Interest	J	W					
2.	C	Rent							
3. FedTrust Federal Credit Union	A	Interest	L	T					
4. Schwab Cash & Money Market Sweep	A	Interest	K	T					
5. AQR Managed Futures Strategy	A	Dividend			Sold (part)	01/20/16	J	A	
6.					Buy (add'l)	04/07/16	J		
7.					Sold	12/27/16	L		
8. AQR Managed Futures Strategy HV Fund		None	L	T	Buy	12/27/16	L		
9. ASG Global Alternatives		None			Buy (add'l)	04/07/16	J		
10.					Sold	06/21/16	M		
11. Barclays Bank PLC Hybrid		None	L	T	Buy	07/15/16	L		
12. Blackrock Strategic Income Opportunities Portfolio	A	Dividend	K	T					
13.					Sold (part)	07/15/16	K		
14. DFA Emerging Markets Core Equity Portfolio	C	Dividend	M	T	Buy (add'l)	01/20/16	K		
15.					Buy (add'l)	02/19/16	M		
16.					Sold (part)	07/15/16	K	C	
17. DFA International Core Equity	D	Dividend	N	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 H ~\$1,000,001 - \$5,000,000	D ~\$5,001 - \$15,000 I ~\$15,001 - \$50,000	E ~\$15,001 - \$50,000 F ~\$50,001 - \$100,000
2. Value Codes (See Columns C1 and D3)	J ~\$15,000 or less N ~\$250,001 - \$500,000 P3 ~\$250,001 - \$500,000	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	T ~Cash Market
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated		

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☐ 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 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. DFA U.S. Small Cap Value	D	Dividend	M	T	Buy (add'l)	01/20/16	K		
19. Fidelity Large Cap Enhanced Index	A	Dividend	L	T	Buy	08/12/16	K		
20. Fidelity Mid Cap Enhanced Index	A	Dividend	K	T					
21. Goldman Sachs MLP Energy Infrastructure		None	L	T					
22. Goldman Sachs Strategic Income	A	Dividend			Sold (part)	01/20/16	J		
23.					Sold	07/15/16	L		
24. iShares ETF U.S. Large Cap	A	Dividend			Sold	06/21/16	L	E	
25. iShares S&P Midcap 400 Value	C	Dividend	M	T	Buy (add'l)	01/20/16	J		
26.					Sold (part)	03/24/16	K	B	
27. iShares Tr. Russell 3000 Index	E	Dividend	O	T	Sold (part)	04/07/16	J	A	
28. JP Morgan Chase FINL Equity Limited Note 01/29/2018		None	L	T	Buy	06/24/16	L		
29. JP Morgan Tax Aware Real Return	B	Dividend	K	T	Sold (part)	07/15/16	J		
30. Morgan Stanley Equity Linked Note 01/29/2018		None	M	T	Buy	06/24/16	L		
31. Pimco Enhanced Short Maturity Strategy	A	Dividend	K	T					
32. Powershares S&P 500 High Quality Portfolio	B	Dividend	L	T	Sold (part)	07/15/16	J	C	
33. Powershares S&P 500 Low Volatility Portfolio	B	Dividend	L	T	Sold (part)	07/15/16	K	D	
34. Schwab Strategic Tr. Emerging Markets		None			Sold	02/19/16	M		

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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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. Schwab U.S. Broad Market	A	Dividend			Sold	04/07/16	J	A	
36. Schwab U.S. REIT		None	L	T	Buy	12/27/16	L		
37. Stone Ridge High Yield Reinsurance Risk Premium (see Part VIII)	D	Dividend	L	T	Sold (part)	01/20/16	K		
38. T Rowe Price Summit Int. Term Bond	C	Dividend	M	T	Sold (part)	01/20/16	K	A	
39.					Buy (add'l)	03/24/16	K		
40.					Sold (part)	07/15/16	K	A	
41. Thornburg Ltd. Term Muni	B	Dividend	L	T	Sold (part)	01/20/16	J	A	
42. Vanguard Ltd. Term Tax Exempt (Admiral Share)	A	Dividend	L	T					
43. Vanguard Meg Cap 300	B	Dividend	L	T					
44. Vanguard REIT	B	Dividend	J	T	Buy	07/15/16	L		
45.					Sold (part)	12/27/16	L		
46.									
47. IRA #1 (H)									
48. - Schwab Cash Reserves		None	J	T					
49. - Blackrock Strategic Income Opportunities Portfolio	B	Dividend	L	T					
50. - DFA Int'l Core Equity	C	Dividend	M	T	Sold (part)	11/02/16	J		
51. - DFA Int'l Small Company Port.	C	Dividend	L	T	Sold (part)	11/02/16	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	

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52. - DFA U.S. Small Cap Value	D	Dividend	M	T					
53. - Goldman Sachs Strategic Income	A	Dividend			Sold	07/15/16	J		
54. - JP Morgan Strategic Income Oppty.	C	Dividend	L	T	Sold (part)	07/15/16	K		
55. - Stone Ridge Alt. Lending Risk Premium	B	Dividend	K	T	Buy	07/22/16	K		
56.									
57. IRA #2 (H)									
58. -Schwab Cash Reserves		None	J	T					
59. -DFA Int'l Small Company Portfolio	A	Dividend	J	T	Sold (part)	11/02/16	J	A	
60. - DFA U.S. Small Cap Value	A	Dividend			Sold	07/15/16	K	D	
61. - Goldman Sachs Strategic Income	A	Dividend			Sold	07/15/16	J		
62. - iShares MSCI U.S. Minimum Volatility Index	B	Dividend	L	T	Sold (part)	07/15/16	K	D	
63. - Stone Ridge Alt. Lending Risk Premium	C	Dividend	L	T	Buy	07/22/16	L		
64. -Vanguard Meg Cap 300	A	Dividend			Sold	07/15/16	K	D	
65.									
66. College Savings Plan (529 account) (for Grandchild #1) (H)									
67. - Fidelity/Delaware Total Market Index Fund		None			Buy	04/23/14	L		
68.					Buy (add'l)	06/26/14	K		

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
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69.					Sold	11/21/16	M		
70. - Fidelity/Delaware Money Market Fund		None	M	T	Buy	11/21/16	M		
71.									
72. College Savings Plan (529 account) (for Grandchild #2) (H)									
73. - Fidelity/Delaware Total Market Index Fund		None	M	T	Buy	04/23/14	L		
74.					Buy (add'l)	06/26/14	K		
75. College Savings Plan (529 account) (for Grandchild #3) (H)									
76. - Fidelity/Delaware Total Market Index Fund		None	M	T	Buy	04/23/14	L		
77.					Buy (add'l)	06/26/14	K		
78. College Savings Plan (529 account) (for Grandchild #4) (H)									
79. - Fidelity/Delaware Total Market Index Fund		None	M	T	Buy	04/23/14	L		
80.					Buy (add'l)	06/26/14	K		
81.									

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

Part VII, Line 37. Stone Ridge Reinsurance Risk Premium was merged into Stone Ridge High Yield Risk Premium on December 5, 2016.

Part VII, Lines 66 - 80. In 2014, I opened a College Savings Plan (a 529 account) for each of my four grandchildren. None are members of my household. The reference in the Filing Instructions to 529 Plans just recently came to my attention, and neither the Instructions nor my conversations with a member of the Administrative Office's staff who advises on the Financial Disclosure Report makes clear whether these accounts are reportable transactions under the circumstances. To err on the side of disclosure, however, I am reporting these transactions from their beginning and will continue doing so in the future unless or until advised otherwise.

I have shown "None" for "Income during reporting period" for these 529 accounts because that information is not generated by Fidelity Investments due to the tax-free nature of the accounts.

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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/ **Ronald L. Gilman**

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