

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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) Gerrard, John M.	2. Court or Organization U.S. District Court, Nebraska	3. Date of Report 05/13/2019
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 01/01/2018 to 12/31/2018
7. Chambers or Office Address 586 Federal Building 100 Centennial Mall North Lincoln, Nebraska 68508		
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. Board of Governors	Nebraska Wesleyan University
2. Board of Directors	Federal Judges Association
3. Adjunct faculty	University of Nebraska College of Law
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2018	University of Nebraska College of Law adjunct salary	\$3,950.00
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2018	South Lincoln Psychiatry - psychiatric nurse practitioner 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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. Federal Judges Association	05/05/18-05/06/18	Washington, DC	FJA Board of Directors Meeting	Transportation, meals, lodging
2. Nebraska State Bar Foundation	05/09/18-05/13/18	Reno, NV	National High School Mock Trial Judge	Transportation, meals, lodging
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.	U.S. Bank	Personal note	K
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. First National Bank Omaha Checking Account	A	Interest	J	T					
2. U.S. Bank Checking Account	A	Interest	J	T					
3. Stifel Bank Program Money Market Account	A	Interest	J	T					
4. AAIEX Mutual Fund	A	Dividend	J	T	Sold (part)	02/21/18	J	A	
5.					Sold (part)	02/23/18	J	A	
6.					Buy (add'l)	04/12/18	J		
7.					Buy (add'l)	04/21/18	J		
8.					Sold (part)	11/14/18	J	A	
9.					Sold (part)	11/16/18	J	A	
10.					Buy (add'l)	12/21/18	J		
11. ACWX ETF	A	Dividend			Buy (add'l)	02/21/18	J		
12.					Sold (part)	04/17/18	J	A	
13.					Buy (add'l)	07/18/18	J		
14.					Sold	10/16/18	J	A	
15. AEPFX Mutual Fund	A	Dividend	J	T	Sold (part)	02/21/18	J	A	
16.					Buy (add'l)	06/14/18	J		
17.					Sold (part)	11/14/18	J	A	

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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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)

18.					Buy (add'l)	12/21/18	J		
19. AMCFX Mutual Fund	A	Dividend	J	T	Sold (part)	02/21/18	J	A	
20.					Buy (add'l)	06/18/18	J		
21.					Sold (part)	11/30/18	J	A	
22.					Buy (add'l)	12/21/18	J		
23. APDQX Mutual Fund	A	Dividend			Sold	09/14/18	J	A	
24. CDC ETF	A	Dividend	L	T					
25. CEZ ETF	A	Dividend	J	T					
26. CFA ETF	A	Dividend	L	T					
27. CFO ETF	A	Dividend	L	T					
28. CIZ ETF	A	Dividend	K	T					
29. CSF ETF	A	Dividend	K	T					
30. EEMS ETF	A	Dividend			Sold	01/23/18	J	A	
31. ESPNX Mutual Fund	A	Dividend			Buy (add'l)	02/23/18	J		
32.					Buy (add'l)	04/12/18	J		
33.					Buy (add'l)	08/24/18	J		
34.					Sold	09/14/18	J	A	

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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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. FINSX Mutual Fund	A	Dividend	J	T	Buy (add'l)	02/12/18	J		
36.					Sold (part)	02/23/18	J	A	
37.					Buy (add'l)	04/12/18	J		
38.					Sold (part)	12/03/18	J	A	
39.					Buy (add'l)	12/10/18	J		
40. FMIYX Mutual Fund	A	Dividend	J	T	Buy	11/30/18	J		
41.					Buy (add'l)	12/17/18	J		
42. FSCCX Mutual Fund	A	Dividend	J	T	Buy	09/14/18	J		
43.					Buy (add'l)	12/18/18	J		
44.					Buy (add'l)	12/31/18	J		
45. GICIX Mutual Fund	A	Dividend	J	T	Buy	11/30/18	J		
46.					Buy (add'l)	12/24/18	J		
47. HFOIX Mutual Fund	A	Dividend			Buy	04/17/18	J		
48.					Sold (part)	05/25/18	J	A	
49.					Sold	11/30/18	J	A	
50. IAU ETF	A	Dividend			Buy (add'l)	04/17/18	J		
51.					Buy (add'l)	07/18/18	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.					Sold	10/16/18	J	A	
53. IJJ ETF	A	Dividend	J	T	Sold (part)	01/23/18	J	A	
54.					Buy (add'l)	02/21/18	J		
55.					Sold (part)	04/17/18	J	A	
56.					Sold (part)	07/18/18	J	A	
57.					Sold (part)	10/16/18	J	A	
58. IJK ETF	A	Dividend	J	T	Buy (add'l)	01/23/18	J		
59.					Sold (part)	07/18/18	J	A	
60. IJS ETF	A	Dividend	J	T	Sold (part)	01/23/18	J	A	
61.					Buy (add'l)	02/21/18	J		
62.					Sold (part)	04/17/18	J	A	
63.					Sold (part)	07/18/18	J	A	
64. IJT ETF	A	Dividend	J	T	Buy (add'l)	01/23/18	J		
65.					Buy (add'l)	02/21/18	J		
66.					Sold (part)	04/17/18	J	A	
67.					Sold (part)	07/18/18	J	A	
68. IWN ETF	A	Dividend			Sold	01/23/18	J	A	

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69. IWO ETF	A	Dividend	J	T	Sold (part)	04/17/18	J	A	
70.					Sold (part)	07/18/18	J	A	
71.					Buy (add'l)	10/16/18	J		
72. IWP ETF	A	Dividend			Sold	04/17/18	J	A	
73. IWS ETF	A	Dividend			Sold	01/23/18	J	A	
74. IYMIX Mutual Fund	A	Dividend	J	T	Buy	02/21/18	J		
75.					Buy (add'l)	02/23/18	J		
76.					Buy (add'l)	04/12/18	J		
77.					Sold (part)	12/03/18	J	A	
78.					Buy (add'l)	12/14/18	J		
79. MADVX Mutual Fund	A	Dividend			Buy (add'l)	02/23/18	J		
80.					Buy (add'l)	04/12/18	J		
81.					Buy (add'l)	07/20/18	J		
82.					Buy (add'l)	10/12/18	J		
83.					Buy (add'l)	11/28/18	J		
84.					Sold	12/03/18	J	A	
85. MISGX Mutual Fund	A	Dividend	J	T	Sold (part)	02/21/18	J	A	

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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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86.					Sold (part)	02/23/18	J	A	
87.					Buy (add'l)	04/12/18	J		
88.					Buy (add'l)	08/22/18	J		
89.					Buy (add'l)	08/24/18	J		
90.					Buy (add'l)	12/21/18	J		
91. MQGIX Mutual Fund	A	Dividend	J	T	Sold (part)	02/23/18	J	A	
92.					Buy (add'l)	04/12/18	J		
93.					Sold (part)	11/16/18	J	A	
94.					Buy (add'l)	12/14/18	J		
95. NWHYX Mutual Fund	A	Dividend			Sold (part)	02/21/18	J	A	
96.					Sold	02/23/18	J	A	
97. ODVYX Mutual Fund	A	Dividend	J	T	Sold (part)	02/21/18	J	A	
98.					Sold (part)	02/23/18	J	A	
99.					Buy (add'l)	04/12/18	J		
100.					Buy (add'l)	11/14/18	J		
101.					Buy (add'l)	11/16/18	J		
102.					Sold (part)	12/03/18	J	A	

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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103.					Buy (add'l)	12/04/18	J		
104. REZ ETF	A	Dividend	J	T					
105. SMGIX Mutual Fund	A	Dividend	J	T	Buy (add'l)	02/21/18	J		
106.					Buy (add'l)	02/23/18	J		
107.					Buy (add'l)	04/12/18	J		
108.					Buy (add'l)	05/23/18	J		
109.					Buy (add'l)	05/25/18	J		
110.					Sold (part)	08/22/18	J	A	
111.					Sold (part)	08/24/18	J	A	
112.					Sold (part)	12/03/18	J	A	
113.					Buy (add'l)	12/11/18	J		
114. SPDW ETF	A	Dividend	J	T					
115. SPY ETF	A	Dividend			Sold (part)	02/21/18	J	A	
116.					Sold	04/02/18	K	B	
117. VGK EFT	A	Dividend	J	T					
118. VWO ETF	A	Dividend	J	T					
119. WMFFX Mutual Fund	A	Dividend	J	T	Buy (add'l)	02/21/18	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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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)
120.					Buy (add'l)	03/19/18	J		
121.					Buy (add'l)	06/18/18	J		
122.					Buy (add'l)	09/17/18	J		
123.					Sold (part)	11/30/18	J	A	
124.					Buy (add'l)	12/24/18	J		
125. WFMIX Mutual Fund	A	Dividend	J	T	Buy	09/14/18	J		
126.					Buy (add'l)	12/11/18	J		
127.					Buy (add'l)	12/17/18	J		
128. American General Universal Life Insurance		None	J	T					
129. Nebraska Judges Retirement System (no control)	A	Interest	M	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	
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.)*

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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/ **John M. Gerrard**

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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