

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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 04/29/2014
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 01/01/2013 to 12/31/2013
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	
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. 2013

- 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.

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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	J
2.		Tuition	J
3.	American Express	Credit Card	K
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)	E	Int./Div.	O	T					
2. -Air Products and Chemicals, Inc. Stock									
3. -Apache Corp. Stock (Y)									
4. -Apple Inc. Stock					Sold (part)	02/05/13	J	D	
5.					Sold (part)	08/23/13	J	D	
6. -Aston/Fairpointe Mid Cap Fund									
7. -Bank of Nova Scotia Stock (Y)									
8. -BHP Billiton Ltd. Stock					Sold (part)	02/05/13	J	C	
9. -Chevron Corp Stock									
10. -Colgate Palmolive Co. Stock									
11. -ConocoPhillips Stock									
12. -Dodge & Cox Int'l Stock Fund									
13. -EMC Corp.					Sold	12/24/13	J		
14. -Google, Inc. Stock									
15. -Intel Corp.					Buy	08/23/13	J		
16. -Intercontinental Exchange Inc. Stock					Sold	07/02/13	K	D	
17. -iShares MSCI Canada Index					Sold	06/13/13	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	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	
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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18. -iShares MSCI Emerging Markets Index (Y)									
19. -iShares MSCI Pac Ex-Jpn Index					Sold	06/12/13	J		
20. -Johnson & Johnson Stock									
21. -Oracle Corp. Stock					Sold	12/24/13	K	D	
22. -Parker Hannifin Corp. Stock					Sold (part)	02/05/13	J	B	
23. -Pepsico Inc. Stock									
24. -Phillips 66 Stock (Y)									
25. -Royce FD Premier SER Mutual Fund					Sold	10/02/13	K	D	
26. -Target Corp. Stock									
27. -Teva Pharmaceuticals Industries Inc. Stock (Y)									
28. -United Technologies Corp. Stock									
29. -Vanguard Emerging Markets Fund									
30. -Walgreen Co. Stock (Y)									
31. -KT Short Term Tax-Free Fund					Buy (add'l)	02/05/13	K		
32.					Sold (part)	04/05/13	J		
33.					Buy (add'l)	08/23/13	K		
34. -KT Short Term Deposit Fund									

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	
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	U = Book Value				

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35. -Harbor International Fund (X)					Buy	10/02/13	K		
36.					Buy (add'l)	12/24/13	J		
37. -Neuberger Berman Emerg Mkts Eqty (X)					Buy	10/02/13	J		
38. -iShares MSCI EAFE Index Fund (X)					Buy	12/24/13	K		
39. IRA #1 (H)	A	Int./Div.	J	T					
40. -Merrill Lynch Cash/Money Account	A	Int./Div.	J	T					
41. -Alcatel Lucent Stock									
42. -AOL Inc. Stock									
43. -LSI Corp. Stock									
44. -Time Warner Inc. Stock									
45. -Time Warner Cable Inc. Stock									
46. Deferred Compensation #1 (H)	E	Int./Div.	M	T					
47. -Ohio DC Stable Value Option									
48. -Dodge & Cox Stock Fund									
49. -Fidelity Contrafund									
50. -FPA Capital Stock Fund									
51. -PIMCO Total Return Fund									

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52. -Vanguard Capital Opportunity Stock Fund									
53. MetLife Whole Life	A	Int./Div.	K	T					
54. 5/3 Bank Business Checking Account		None			Closed	04/13/13	J		
55.									

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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.

Regarding line 54, "5/3 Bank Business Checking account", was a non-interest bearing business account, not used in 2013, so it did not earn income and did not have a balance.

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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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Washington, D.C. 20544