

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) GAUVEY, SUSAN K.	2. Court or Organization U.S.D.C. MARYLAND	3. Date of Report 05/07/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Magistrate Judge (FT)	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 8-D U.S. Courthouse 101 West Lombard Street Baltimore, MD 21201		
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.	Director	Free State Legal Project, Inc. non-profit
2.	Director	The Tuerk House Inc. non-profit
3.	Director	Enoch Pratt Free Library, non-profit
4.	Director	Historical Society for the United States District Court for the District of Maryland, non-profit
5.	Director	Job Opportunities Task Force, non-profit

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. 2012	Maryland State Retirement Pension	\$4,136.00
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. 2012	Johns Hopkins University: academic physician
2. 2012	Johns Hopkins University Press, Baltimore, MD: royalties for writing
3. 2012	Pennsylvania State University: teaching
4. 2012	Northwestern University: teaching
5. 2012	Wolters Kluwer Health, Inc.: royalties for writing
6. 2012	University Perruna: teaching
7. 2012	Emory University: teaching

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.				
2.				
3.				
4.				

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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 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)

1. Capital Realty, Inc. (real estate ltd. partnership)	A	Interest	J	T					
2. Johns Hopkins Fed. Credit Union interest bearing accounts	A	Interest	K	T					
3. Pepsico, Inc. common stock	A	Dividend	K	T					
4. Proctor & Gamble common stock	C	Dividend	M	T	Buy (add'l)	04/30/12	J		
5. Proctor & Gamble common stock (Y)									
6. Templeton Growth Fund, Inc. (Y)									
7. Smuckers JM Co.	A	Dividend	J	T					
8. Pepco Holding, Inc. (Y)									
9. Prudential Stable Value Guaranteed Income Fund NQ Def Comp		None	K	T					
10. Fidelity Equity Income Fund 403(b) plan	B	Int./Div.	L	T					
11. Spartan US Equity Index Fund 403(b) plan	B	Int./Div.	L	T					
12. Fidelity Cash Reserve 403(b) plan	A	Int./Div.	K	T					
13. Fidelity US Government Reserve 403(b) plan	A	Int./Div.	K	T					
14. TIAA Traditional Acct 403(b)	B	Interest	M	T					
15. USAA Subscribers Savings Account	A	Dividend	J	T					
16. PNC Savings Accounts	A	Interest	K	T					
17. American Express Bank Savings Account	A	Interest	K	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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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. PNC Financial Services Group (Y)									
19. * American Funds American Mutual Fund C1 F-1	C	Dividend	M	T	Sold (part)	05/16/12	J		
20.									
21. * American Funds Bond Fund of America C1 F-1	D	Dividend	M	T	Buy	03/07/12	J		
22.					Buy	8/27/12	J		
23.					Buy	11/29/12	J		
24.					Sold (part)	5/16/12	J		
25.					Sold (part)	06/01/12	J		
26. American Funds Capital World Growth & Income Fund C1 F1	B	Dividend	L	T	Buy	05/16/12	J		
27.									
28.									
29. * American Funds Growth Fund of America C1 F1	B	Dividend	M	T	Buy (add'l)	05/16/12	J		
30.									
31.									
32. * Columbia Acorn Fund C1 Z	B	Dividend	M	T					
33.									
34. * Columbia Dividend Income Fund C1 Z	C	Dividend	M	T	Sold (part)	5/16/12	J		

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35.					Sold (part)	06/1/12	J		
36. * Franklin Templeton Hard Currency Fund CI A	A	Dividend	L	T	Buy	03/7/12	J		
37. * Oppenheimer Developing Markets Fund CI A	A	Dividend	L	T	Buy	2/13/12	J		
38.									
39. * Oppenheimer Global Fund CI A	A	Dividend	M	T	Buy	02/13/12	J		
40.					Buy	3/7/12	J		
41.					Buy	06/1/12	J		
42. * Pimco Foreign Bond (Unhedged) Fund CI D	C	Dividend	M	T	Buy	03/07/12	J		
43.					Sold (part)	06/1/12	J		
44. *Pimco Total Return Fund CI D	C	Dividend	M	T	Sold (part)	06/01/12	J		
45.									
46. * Prudential Jennison Natural Resources A		None	L	T	Buy	03/07/12	J		
47.					Buy	06/01/12	J		
48.					Buy	05/16/12	J		
49. First TN Ntwk (Bank Sweep)	A	Interest	J	T					
50. Wells Fargo (Bank Sweep)	A	Interest			Closed	05/03/12	J		
51. Bank of China (Bank Sweep)	A	Interest	J	T					

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52. Goldman Sachs Bank (Bank Sweep)	A	Interest	J	T	Open	5/3/12	J		
53. Bank of the West (Bank Sweep)	A	Interest	J	T	Open	1/1/12	J		
54. East West Bank (Bank Sweep)	A	Interest	J	T	Open	1/1/12	J		
55. NY Community (Bank Sweep)	A	Interest	J	T	Open	1/1/12	J		

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

Part VII:

* [REDACTED] and I have the same assets in our individual IRA accounts. Last year, I mistakenly reported only the value of my assets in my IRA account. Accordingly, all pertinent assets were identified last year. However, the value reported was too low as it failed to include the value of [REDACTED] investment in the same assets in his individual IRA account. The affected assets are listed on lines 36, 38, 42, 45, 48, 50, 52, 53, 55, 57, 59 and 61 and annotated with an asterisk *.

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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/ SUSAN K. GAUVEY**

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