

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) Harwell, Robert B.	2. Court or Organization U.S. District Court of S.C.	3. Date of Report 08/02/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Article III Judge, Active	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 401 West Evans Street McMillan Federal Bldg Florence, SC 29501		
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Officer/Director	Harwell Farms and Investment, Inc.
2. Personal Representative / Executor	Estate of David W. Harwell
3.	
4.	
5.	

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

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. 12/31/16	South Carolina Judges - Solicitors Retirement System Survivors Annuity (named beneficiary of monthly survivor annuity from deceased father)	\$19,458.00
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.)*

DATE	SOURCE 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.)*

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.		
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. Charles Schwab (H)									
2. -Charles Schwab Cash Accounts	A	Interest	M	T					
3. -Dimensional Fund Advisors Tax Man US Mktwde	A	Dividend	K	T					
4. Wells Fargo & Co Common Stock (and former Wachovia Bank Stock)	A	Dividend	J	T					
5. Autoliv Inc. Common Stock	A	Dividend	J	T					
6. Citizens Bank "Accounts" (X)	A	Interest	N	T					
7. The Bank of Clarendon "Account"	A	Interest	M	T					
8. South State Bank "Accounts"	A	Interest	N	T					
9. Anderson Brothers Bank "Account"	A	Interest	M	T					
10. Conway National Bank "Account"	A	Interest	M	T					
11. Carolina Bank "Account"	A	Interest	M	T					
12. BB&T Bank "Accounts"	A	Interest	N	T					
13. Harwell Farms & Investment 12 1/2% 12/31/04 compiled \$31M	A	Dividend	K	U					
14. PCDG, LLC (10%) 1998 & 2000 \$32,000		None	K	R					
15. Charles Schwab IRA#1									
16. -Charles Schwab Cash Fund	A	Interest	N	T					
17. Charles Schwab IRA#2									

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	
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 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. -Charles Schwab cash fund	A	Interest	K	T					
19. Charles Schwab IRA #3(Y)									See note #2
20. -Charles Schwab cash fund	A	Interest	M	T					
21. SC Future Scholar Plan #1, Age-Based Moderate Track		None	K	T					
22. SC Future Scholar Plan #2, Age-Baseed Moderate Track		None	K	T					
23. Claussen Farms, Florence, SC (1999 - \$125,000)		None	M	R					
24. SC Tuition Prepayment Program #1(no control)		None	K	T	Redeemed (part)	12/31/16	J		
25. SC Tuition Prepayment Program #2 (no control)		None	J	T	Redeemed (part)	12/31/16	J		
26. Wells Fargo Beneficiary IRA- First Clearing LLC									
27. -Bank of America stock	A	Distribution	K	T					
28. -BB&T stock	B	Distribution	L	T					
29. -Duetsche Inv. Trust Core Equity Fund	A	Distribution	K	T					
30. Edward Jones Beneficiary IRA									
31. -Amcap Fund - Class A	A	Distribution	K	T					
32. -Capital Income Builder Class A	A	Distribution	K	T					
33. -Europacific Fund- Class A	A	Distribution	K	T					
34. -Income Fund of America - Class A	B	Distribution	L	T					

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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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35. -New World Fund - Class A	A	Distribution	J	T					
36. -Small Cap World Fund - Class A	A	Distribution	J	T					
37. -New Economy Fund - Class A	A	Distribution	K	T					
38. Estate #1 (50%)(H)									see note #6
39. -Bell Legal Group Georgetown SCAccounts Receivable (Y)	D	Distribution	J	W	Open	09/30/15	J		See Note #2
40. -R & D Holdings, LLC (50%) \$114,664 Probate Inventory and Appraisement		None			Distributed	12/02/16	L		See note #1
41. - A Services, LLC & ASG Services LLC (1.91%) Probate Inventory & Appra	E	Distribution			Distributed	12/01/16	J	A	See Note #1
42. -Surf Golf and Beach Club 1 share \$8,000 Probate Inventory & Appraisem		None			Distributed	11/02/16	J		
43. Wells Fargo Securities Accounts (H)									
44. -Wells Fargo Cash accounts	A	Interest	N	T	Distributed (part)	11/02/16	N	A	see Note #5
45. -BB&T Corp Common Stock	D	Dividend			Distributed	11/02/16	O	E	see note#5
46. -Toronto Dominion Bank Common Stock	A	Dividend			Distributed	11/02/16	J	B	see note # 5
47. -Bank of America Common Stock	A	Dividend			Distributed	11/02/16	K	A	see note #5
48. -American Express Co. Common Stock	A	Dividend			Distributed	11/02/16	K		see note#5
49. -Ameriprise Financial Inc. Common Stock	A	Dividend			Distributed	11/02/16	J		see note #5
50. -Chevron Corp. Common Stock	A	Dividend			Distributed	11/02/16	J	C	see note #5
51. -Corning Inc. Common Stock	A	Dividend			Distributed	11/02/16	J	C	seeNote #5

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	(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)

52. -Fannie Mae Common Stock		None			Distributed	11/02/16	J		see note#5
53. -Home Depot Inc. Common Stock	A	Dividend			Distributed	11/02/16	J	A	see note #5
54. -Medtronic PLC Common Stock	A	Dividend			Distributed	11/02/16	K	C	See note #5
55. - Target Corp Common Stock	A	Dividend			Distributed	11/02/16	K		see note #5
56. -Deutsche Invst TR Core Equity FD Class S	A	Dividend			Distributed	11/02/16	M	C	see note #5
57. -High 50 Dividend Strategy Series 15-3Q CA	A	Dividend			Distributed	11/02/16	K	C	see note#5
58. -Wells Fargo Managed Brokerage Account	C	Interest			Closed	11/02/16	N	A	See note #1
59. -Bank of America Accounts	A	Interest			Closed	11/02/16	M	A	See note #1
60. Wells Fargo Securities Account(X)(H)									
61. -Wells Fargo Cash Account	A	Int./Div.	N	T	Open	11/02/16	N		See note #1
62. -BB&T Corp Common Stock	A	Dividend	N	T		11/02/16	N		See note #1
63. -Toronto Dominion Bank Common stock	A	Dividend	J	T		11/02/16	J		See note #1
64. -Bank of America Common stock	A	Dividend	K	T		11/02/16	K		See note #1
65. -American Express Co. Common Stock	A	Dividend	J	T		11/02/16	J		See note #1
66. -Ameriprise Financial Inc. Common Stock	A	Dividend	J	T		11/02/16	J		See note #1
67. -Chevron Corp. Common Stock	A	Dividend	J	T		11/02/16	J		See note #1
68. -Corning Inc, Common Stock	A	Dividend	J	T		11/02/16	J		See note #1

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. -Fannie Mae Common Stock		None	J	T		11/02/16	J		See note #1
70. -Home Depot Inc. Common Stock	A	Dividend	J	T		11/02/16	J		See note #1
71. -Medtronic PLC Common Stock	A	Dividend	J	T		11/02/16	J		See note #1
72. -Target Corp Common Stock	A	Dividend	J	T		11/02/16	J		See note #1
73. -Deutsche Invst TR Core Equity FD Class S	A	Int./Div.	L	T		11/02/16	L		See note #1
74. -High 50 Dividend Strategy Series 15-3Q CA	A	Int./Div.	J	T		11/02/16	J		See note #1
75. R&D Holdings,LLC (50%) 114,664 Probate Inventory and Appraisement(X)		None				10/25/16	L		See note #1
76.					Sold	12/02/16	L	A	
77. A Services, LLC & ASG Services LLC (17500units) (X)	B	Distribution	J	V		12/02/16	J		See note #1 and Note #4
78. Property Cherry Grove Beach,SC (50%) \$770,000(X)		None				10/25/16	N		See Note #3 and Note#4
79.					Sold	12/21/16	N	A	
80. Property Lot 2 Phase1 / Shafesbury Glen Conway,SC(50%) \$46,000(X)		None				10/25/16	K		See Note #3 and Note#4
81.					Sold	12/02/16	K	A	
82. Property Lot 12 Terrace Drive Florence, SC (X)		None				10/25/16	J		See Note #3
83.					Donated				
84. Property 2208 Timberlane Drive Florence,SC (50%) \$250,000(X)		None	M	V		10/25/16	M		See Note #3 and Note#4
85.									

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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86.									
87.									
88.									
89.									
90.									
91.									
92.									
93.									
94.									

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

Note #1 .Inherited/ Distributed from Estate

Note #2 Erroneously omitted and reported incorrectly. (As to Line 39, Partial payment on this acct. receivable was received in 2016. Original acct. receivable was approx. \$24k. The value code shown is after the partial payment in 2016.)

Note #3 Nonincome producing property distributed on 10/25/16 from estate.

Note #4 Value based on Probate Inventory and Appraisalment

Note #5 Assets of Estate were distributed and I received my 1/2 interest and opened LINE 60

Note #6 I am 50% beneficiary of gross values shown

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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/ Robert B. Harwell

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