

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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) GWIN, JAMES S.	2. Court or Organization N.D. OHIO	3. Date of Report 04/23/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) JUDGE, ACTIVE	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2017 to 12/31/2017
7. Chambers or Office Address CARL B. STOKES US COURT HOUSE 801 WEST SUPERIOR AVENUE CLEVELAND, OH 44113		
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.		
2.		
3.		
4.		
5.		

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

☐ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1. At retirement	STATE OF OHIO PUBLIC EMPLOYEE RETIREMENT SYSTEM AND OHIO STATE TEACHERS RETIREMENT SYSTEM. RIGHT TO RETIREMENT BENEFITS
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.		
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. Monthly	INTERNATIONAL BUSINESS MACHINES, INC., spouse pension
2. Monthly	HEIDRICK & STRUGGLES, Inc. salary, bonus, restricted stock
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.				
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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

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. IBM common stock (IBM)	A	Dividend	K	T					
2. Berkshire Hathaway common stock (BRKA)	A	Dividend	N	T					
3. Vanguard Total Stock Market Index Fund, tax deferred	E	Dividend	P1	T	Buy (add'l)	01/31/17	J		
4.					Buy (add'l)	02/28/17	K		
5. Heidrick & Struggles Co., common stock, (HSII)	D	Dividend	N	T					
6. Ohio Deferred Compensation LifePath 2035	A	Dividend	N	T					
7. Schwab Money Market Fund	B	Dividend			Sold	05/24/17	N	A	
8. Public Square Partners, LLC	C	Dividend	M	U					
9. Vanguard Total Intl Stock Index Admiral (VTIAX)	D	Dividend	M	T	Buy	06/07/17	M		
10. iShares S&P Midcap 400 Growth Index Fund (IJK)	B	Dividend	M	T					
11. iShares S&P Smallcap 600 Growth Index Fund (IJT)	B	Dividend	M	T					
12. SPDR S&P MidCap 400 ETF (MDY)	C	Dividend	M	T					
13. IQ Hedge Multi-Strategy Tracker ETF (QAI)	B	Dividend	N	T					
14. iShares Core S&P Small-Cap (IJR)	B	Dividend	M	T					
15. Vanguard REIT Index ETF (VNQ)	C	Dividend	L	T					
16. iShares Core US Aggregate Bond ETF (AGG)	B	Dividend	M	T					
17. iShares S&P 500 Growth (IVW)	E	Dividend	O	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 = \$250,000.01 - \$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 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. iShares S&P 500 Value (IVE)	D	Dividend	O	T					
19. SPDR DoubleLine Total Return Tact ETF (TOTL)	A	Dividend	K	T					
20. Vanguard FTSE Europe ETF (VGK)	E	Dividend			Sold	01/03/17	O	E	
21. Vanguard FTSE Pacific ETF (VPL)	D	Dividend	M	T					
22. Vanguard Target Retirement 2030 Inv (VTHR)	F	Dividend	O	T					
23. Vanguard Balanced Index Fund Admiral Shares (VBIAX)	D	Dividend	O	T					
24. Vanguard Prime Money Market Fund (VMMXX)	B	Dividend			Sold	01/01/17	O	A	
25. Federal Thrift Savings Plan	A	Dividend	O	T	Buy (add'l)		K		
26. Cincinnati Ohio Wtr Sys Rev Bond (172311MT6)	A	Int./Div.	K	T	Buy	11/15/17	K		
27. Rocky River Ohio Various Purpose Bonds (774812MG3)	A	Int./Div.	K	T	Buy	08/14/17	K		
28. Kentucky State Property & Bldgs Bonds (49151FWB2)	A	Int./Div.	K	T	Buy	08/31/17	K		
29. Strongsville Ohio City School Bond (863387ME3)	A	Int./Div.	K	T	Buy	10/30/17	K		
30. Lake Orion Mich Community School District Bond (510336QZ6)	A	Int./Div.	K	T	Buy	08/25/17	K		
31. Bethlehem Pennsylvania Government Bonds (0873475M8)	A	Int./Div.	K	T	Buy	11/09/17	K		
32. Tulsa Oklahoma County Industrial Authority Bonds (899518FZ2)	A	Int./Div.	K	T	Buy	12/05/17	K		
33. Brookville, Ohio Local School District Bond (114691FN3)	A	Int./Div.	K	T	Buy	09/05/17	K		
34. Hamilton County Ohio Sewer System Revenue Bonds (407288YM5)	A	Int./Div.	K	T	Buy	09/21/17	K		

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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. Virginia Commonwealth Transportation Board Bond (92778UBR0)	A	Int./Div.	K	T	Buy	11/22/17	K		
36. Lakewood Ohio City School District Bond (512624RC3)	A	Int./Div.	K	T	Buy	09/28/17	K		
37. North Royalton Ohio School District Bond (662055KA9)	A	Int./Div.	K	T	Buy	08/15/17	K		
38. Cincinnati Ohio Various Purpose Bond (172217A35)	A	Int./Div.	K	T	Buy	12/27/17	K		
39. Oshkosh Wisconsin Bond (68825WDY2)	A	Int./Div.	K	T	Buy	07/06/17	K		
40. Sidney Ohio City School District Bonds (826129EK0)	A	Int./Div.	K	T	Buy	09/14/17	K		
41. Fremont Ohio City School District Bonds (357568FW9)	A	Int./Div.	K	T	Buy	07/27/17	K		
42. Metropolitan Transportation Authority Revenue Bonds (59261ANG8)	A	Int./Div.	K	T	Buy	09/28/17	K		
43. Bowling Green State University Ohio Bonds (102885JD3)	A	Int./Div.	K	T	Buy	08/10/17	K		
44. Hurst Bedford Texas Independent School District (447819ET6)	A	Int./Div.	K	T	Buy	10/12/17	K		
45. Miami Beach Florida Water & Sewer Revenue Bond (593241BK7)	A	Int./Div.	K	T	Buy	12/14/17	K		
46. New York State Dormitory Bonds (64990FAT1)	A	Int./Div.	K	T	Buy	07/13/17	K		
47. California State Various Purpose Bonds (13063DAS7)	A	Int./Div.	K	T	Buy	09/12/17	K		
48. Cleveland, Ohio Water Revenue Bonds (186427EP1)	A	Int./Div.	K	T	Buy	10/03/17	K		
49. Ohio State Adult Correctional Bonds (677524CT5)	A	Int./Div.	K	T	Buy	11/07/17	K		
50.									

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.)*

Regarding the investment in the Vanguard Fund, this investment is made through an employer 401 plan sponsored at my wife's employer. The yearly statutory maximum is met in the first quarter although we do not know the exact dates of purchase.

Regarding the Federal Thrift Savings Plan Fund, this investment is made through an employer 401 plan sponsored by the U.S. Courts. Maximum monthly allowable deductions of \$2,000 were made each month.

Regarding Schwab Money Market Fund (Part VII, 7) this investment is a money market fund to which investments are made relatively frequently and infrequent withdrawals occur. The account is used as a savings type account.

Regarding Vanguard Target Retirement 2010 Fund (VTENX), this fund closed and the balance was transitioned to the Vanguard Balanced Index Fund Admiral Shares (VBIAX). This transfer occurred on December 7, 2016 but was mistakenly not reflected on the 2016 Financial Disclosure form. The 2016 Financial Disclosure Form identified the addition of the Vanguard Balanced Index Fund Admiral Shares (VBIAX) but did not select that this was a conversion of the Vanguard Target Retirement 2010 that was closed.

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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/ JAMES S. GWIN**

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