

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) Friedman, Paul L.	2. Court or Organization U.S. District Court	3. Date of Report 05/10/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Senior 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 U.S. Courthouse, Rm. 6012 333 Constitution Ave. N.W. Washington, DC 20001		
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. Member and Secretary	American Law Institute: Member of the Council since 1998; member of the Executive Committee since 2001; Secretary since 2013
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.	
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. 2018	White & Case Retirement Income Pension Plan Administered by State Street Retiree Service - Pension Plan	\$22,509.00
2. 2018	Charles Schwab & Co., Inc., IRA Rollover Account - Required Minimum Distribution	\$182,900.00
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. 2018	Prudential Insurance Co of America - Retirement Plan Distribution
2. 2018	Charles Schwab & Co., Inc., IRA Rollover Account - Required Minimum Distribution
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. American Law Institute	01/17-01/19/2018	Philadelphia, PA	Meeting of ALI Council	Transportation, hotel, meals
2. American Bar Association	02/28-03/03/2018	San Diego, CA	National Institute on White Collar Crime	Transportation, hotel, meals
3. American Academy of Court Appointed Masters	04/12-04/14/2018	New Orleans, LA	Annual Meeting	Transportation, hotel, meals
4. American Law Institute	10/17-10/19/2018	New York, NY	Meeting of ALI Council	Transportation, hotel, meals
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.	Ed and Andy Smith	Wolf Trap Ball for Judge Friedman and wife	\$450.00
2.	Peter Halle and Carolyn Lamm	Roundtrip airfare to Nantucket	\$1,300.00
3.	Cherry Dogget	National Symphony Orchestra Gala for Judge Friedman and wife	\$700.00
4.	Peter Halle and Carolyn Lamm	Kennedy Center Honors for Judge Friedman and wife	\$700.00
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. BROKERAGE ACCOUNT (H)									
2. -Gabelli Small Cap Fund	C	Dividend	L	T					
3. -Gabelli Asset Fund	B	Dividend	K	T					
4. -Harbor International		None			Sold	09/07/18	L		
5. -iShares Cohen & Steers Realty Majors Index Fund	B	Dividend	L	T					
6. -iShares Russell 1000 Growth Index Fund	B	Dividend	M	T					
7. -iShares Russell 2000 Growth Index Fund	A	Dividend	L	T					
8. -iShares Russell 2000 Value Index Fund	B	Dividend	L	T					
9. -Brown Capital Mgmt Small Company Fund	B	Dividend	K	T					
10. -SPDR S&P Dividend Fund	B	Dividend	L	T					
11. -Vanguard Long Term Tax Exempt Fund	A	Dividend	K	T					
12. -Vanguard Municipal Bond Tax Exempt Fund	B	Dividend	K	T	Buy (add'l)	01/17/18	J		
13.					Buy (add'l)	09/10/18	K		
14.					Sold (part)	12/12/18	L	A	
15. -SPDR Nuveen Bloomberg Barclays Short Term Tax Exempt Fund	A	Dividend	K	T	Buy (add'l)	12/12/18	J		
16. -Vanguard FTSE Developed Markets Fund	A	Dividend			Buy	09/10/18	L		
17.					Sold	12/11/18	L	A	

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	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	J = \$15,000 or less (See Columns C1 and D3)	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000 (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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☐ NONE (No reportable income, assets, or transactions.)

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18. -iShares MSCI EAFE Fund	A	Dividend	L	T	Buy	12/11/18	L		
19. IRA ACCOUNT #1 (H)									
20. -Longleaf Partners Small Cap Fund	E	Dividend	M	T					
21. -PIMCo Real Return Fund	C	Dividend			Sold	12/10/18	M	D	
22. -Schwab Money Market Fund	A	Interest	J	T					
23. -American Funds EuroPacific Growth Fund	D	Dividend	L	T	Sold (part)	09/07/18	L	E	
24. -T. Rowe Price Mid Cap Growth Fund	E	Dividend	M	T					
25. -Dodge & Cox Stock Fund	E	Dividend	M	T					
26. -First Eagle Global Fund	D	Dividend	M	T					
27. -Loomis Sayles Investment Gr Bond Fund	C	Dividend	M	T					
28. -T. Rowe Price Capital Appreciation Fund	D	Dividend	M	T					
29. -Vanguard PRIMECAP Core Fund	E	Dividend	M	T	Sold (part)	05/22/18	K	E	
30. -PRIMECAP Odyssey Stock Fund	A	Dividend	J	T					
31. -T. Rowe Price Growth Stock Fund	D	Dividend	M	T					
32. -SPDR S&P Dividend Fund	B	Dividend	L	T					
33. -Dodge & Cox Income Fund	D	Dividend	N	T					
34. -Goldman Sachs Bank CD	A	Interest			Matured	01/09/18	L	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 \$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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35. -Vanguard Corporate Bond Fund	C	Dividend	L	T	Sold (part)	05/29/18	M	A	
36.					Buy (add'l)	12/12/18	J		
37. -Vanguard Dividend Appreciation Fund	D	Dividend	N	T					
38. -American Express CD	B	Interest	L	T					
39. -Goldman Sachs Bank CD	B	Interest	K	T					
40. -Synchrony Bank CD	B	Interest	L	T					
41. -JP Morgan Equity Income Fund	D	Dividend	M	T					
42. -Schwab US Dividend Fund	D	Dividend	M	T					
43. -iShares Core US Aggregate Bond Fund	B	Dividend			Sold (part)	01/16/18	K	A	
44.					Sold (part)	03/22/18	M	A	
45.					Sold (part)	05/23/18	M	A	
46.					Sold	12/31/18	J	A	
47. -American Funds New World Fund	B	Dividend	K	T					
48. -JPMorgan Chase Bank CD	B	Interest	M	T					
49. -iShares S&P Small Cap 600 Fund	A	Dividend	L	T					
50. -SPDR S&P 600 Small Cap Fund	B	Dividend	L	T					
51. -Vanguard REIT Fund	D	Dividend	M	T					

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52. -Vanguard Small Cap Fund	A	Dividend	J	T					
53. -Discover Bank CD	C	Interest	M	T	Buy	01/16/18	M		
54. -US Treasury STRIP		None	M	T	Buy	03/22/18	M		
55. -US Treasury STRIP		None	L	T	Buy	05/23/18	L		
56.					Buy (add'l)	12/12/18	K		
57. -US Treasury STRIP		None	L	T	Buy	05/23/18	L		
58. -US Treasury STRIP		None	K	T	Buy	05/29/18	K		
59. -US Treasury STRIP		None	K	T	Buy	05/29/18	K		
60. -US Treasury STRIP		None	M	T	Buy	12/10/18	M		
61. -US Treasury Bill	B	Interest			Buy	05/29/18	M		
62.					Matured	11/15/18	M	A	
63. -Vanguard International Growth Fund	C	Dividend	L	T	Buy	09/07/18	L		
64. IRA ACCOUNT #2 (H)									
65. -Schwab Money Market Fund	A	Interest	J	T					
66. -T. Rowe Price Mid Cap Growth Fund	D	Dividend	L	T					
67. -T. Rowe Price Growth Stock Fund	D	Dividend	M	T					
68. -American Funds EuroPacific Growth Fund	B	Dividend	K	T					

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69. -Brown Capital Mgmt Small Company Fund	C	Dividend	K	T					
70. -American Funds New World Fund	A	Dividend	K	T					
71. -First Eagle Global Fund	C	Dividend	L	T					
72. -SPDR S&P Dividend Fund	B	Dividend	L	T					
73. -Dodge & Cox Income Fund	C	Dividend	L	T					
74. -Loomis Sayles Bond Fund	B	Dividend	L	T					
75. -Vanguard Small Cap Fund	A	Dividend	L	T					
76. -Vanguard Corporate Bond Fund	B	Dividend	L	T					
77. -Discover Bank CD	A	Interest			Matured	08/28/18	K	A	
78. -Goldman Sachs Bank CD	A	Interest	K	T					
79. -Synchrony Bank CD	A	Interest	K	T					
80. -PRIMECAP Odyssey Stock Fund	A	Dividend	J	T					
81. -Schwab US Dividend Fund	C	Dividend	L	T					
82. -iShares Core US Aggregate Bond Fund	A	Dividend			Sold (part)	03/22/18	L	A	
83.					Sold (part)	05/23/18	K	A	
84.					Sold	12/31/18	J	A	
85. -JPMorgan Chase Bank CD	A	Interest	K	T					

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86. -Capital One Bank CD	A	Interest	J	T					
87. -Discover Bank CD	A	Interest	K	T					
88. -US Treasury STRIP		None	L	T	Buy	03/22/18	L		
89. -US Treasury STRIP		None	K	T	Buy	05/23/18	K		
90. -US Treasury STRIP		None	K	T	Buy	12/10/18	K		
91. -US Treasury Bill	A	Interest			Buy	08/31/18	K		
92.					Matured	11/15/18	K	A	
93. MONEY MARKET ACCOUNTS (H)									
94. T. Rowe Price Tax Exempt Fd	B	Interest	L	T					
95. Schwab US Treasury Money Fd	A	Interest	K	T					
96. BROKERAGE ACCOUNT: Tax Exempt (H)									
97. -District of Columbia Revenue Bond	B	Interest	K	T					
98. -District of Columbia Revenue Bond	B	Interest	L	T					
99. -District of Columbia Revenue Bond	B	Interest	K	T					
100. -Maryland State General Obligation Bond	A	Interest	L	T	Buy	12/11/18	L		
101. -Maryland State General Obligation Bond	A	Interest	L	T	Buy	12/12/18	L		
102. STOCK WARRANTS (H)									

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. -Scios Nova Inc		None	J	T					
104. LIFE INSURANCE (H)									
105. Security Mutual Life Ins. Co. of NY Universal Life Policy	C	Dividend	M	T					
106.									
107.									
108.									
109.									
110.									

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

Part VII, Line 103: Scios Nova Inc stock warrants. Four Contingent Payment Rights issued to former limited partners of Nova Technology Limited Partnership in 1993.

Part VII, Line 105: Security Mutual Life Ins. Co. Of NY, Universal Life Policy. No underlying investment options.

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05/10/2019

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/ Paul L. Friedman**

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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