

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) GWIN, JAMES S.	2. Court or Organization N.D. OHIO	3. Date of Report 05/01/2019
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 01/01/2018 to 12/31/2018
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 16

Name of Person Reporting

GWIN, JAMES S.

Date of Report

05/01/2019

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.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 16

Name of Person Reporting

GWIN, JAMES S.

Date of Report

05/01/2019

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.	Parker Hannifin Company	February 28, 2018 - March 3, 2018, flight to Montana with executive friend.	\$1,300.00
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.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 16

Name of Person Reporting

GWIN, JAMES S.

Date of Report

05/01/2019

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. Goldman Sachs Financial Square Government Fund (FGTXX)	C	Int./Div.	M	T					
2. IBM common stock (IBM)	A	Dividend	K	T					
3. Berkshire Hathaway common stock (BRKA)	A	Dividend	N	T					
4. Vanguard Total Stock Market Index Fund, tax deferred	E	Dividend	P1	T	Buy (add'l)	01/12/18	K		
5.					Buy (add'l)	01/16/18	K		
6. Heidrick & Struggles Co., common stock, (HSII)	D	Dividend	O	T	Buy (add'l)	03/09/18	K		
7. Ohio Deferred Compensation LifePath 2035	A	Dividend	N	T					
8. Public Square Partners, LLC	E	Distribution	M	U					
9. Vanguard Total Intl Stock Index Admiral (VTIAX)	D	Dividend	M	T	Buy (add'l)	04/30/18	L		
10.					Buy (add'l)	06/05/18	L		
11.					Buy (add'l)	07/17/18	L		
12. iShares S&P Midcap 400 Growth Index Fund (IJK)	B	Dividend	M	T					
13. iShares S&P Smallcap 600 Growth Index Fund (IJT)	B	Dividend	M	T	Buy (add'l)	11/17/18	J		
14. SPDR S&P MidCap 400 ETF (MDY)	C	Dividend	M	T					
15. Vanguard FTSE Developed Markets Index Fund ETF Shares (VEA) (X)	D	Dividend	N	T					
16. IQ Hedge Multi-Strategy Tracker ETF (QAI)	B	Dividend	N	T					
17. iShares Core S&P Small-Cap (IJR)	C	Dividend	M	T					

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	F = \$50,001 - \$100,000 (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	Q = Appraisal (See Column C2)	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 5 of 16

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18. Vanguard REIT Index ETF (VNQ)	C	Dividend	L	T					
19. iShares Core US Aggregate Bond ETF (AGG)	C	Dividend	M	T					
20. iShares S&P 500 Growth (IVW)	D	Dividend	O	T	Buy (add'l)	04/30/18	J		
21.					Buy (add'l)	06/05/18	J		
22.					Buy (add'l)	07/17/18	K		
23.					Buy (add'l)	08/30/18	M		
24. iShares S&P 500 Value (IVE)	E	Dividend	O	T	Buy (add'l)	04/30/18	M		
25.					Buy (add'l)	06/05/18	M		
26.					Buy (add'l)	07/17/18	M		
27. SPDR DoubleLine Total Return Tact ETF (TOTL)	A	Dividend	K	T					
28. Vanguard FTSE Pacific ETF (VPL)	D	Dividend	M	T					
29. Vanguard Target Retirement 2030 Inv (VTHR)	E	Dividend	O	T					
30. Vanguard Balanced Index Fund Admiral Shares (VBIAX)	D	Dividend	O	T					
31.									
32. Ames Iowa Community School District Bonds (030825MG5)	A	Dividend	K	T	Buy	10/12/18	K		
33. Austin Texas Water & Wastewater System bonds (052476A32)	A	Int./Div.	K	T	Buy	09/26/18	K		
34. Brookville, Ohio Local School District Bond (114691FN3)	B	Int./Div.	K	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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FINANCIAL DISCLOSURE REPORT

Page 6 of 16

Name of Person Reporting

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35. Bethlehem Pennsylvania Government Bonds (0873475M8)	B	Int./Div.	K	T					
36. Bowling Green State University Ohio Bonds (102885JD3)	B	Int./Div.	K	T					
37. California State Various Purpose Bonds (13063DAS7)	B	Int./Div.	K	T					
38. Cincinnati Ohio Wtr Sys Rev Bond (172311MT6)	B	Int./Div.	K	T					
39. Cincinnati Ohio Various Purpose Bond (172217A35)	B	Int./Div.	K	T					
40. Cocoa Florida Wtr & SWR Rev. Bonds (191783EZ8)	A	Int./Div.	K	T					
41. Connecticut St Spl Tax Oblig Rev Bds (207758XU2)	A	Int./Div.	K	T	Buy	10/17/18	K		
42. Cleveland, Ohio Water Revenue Bonds (186427EP1)	A	Int./Div.	K	T					
43. Cuyahoga Community College Revenue Bonds (232393FJ2)	A	Int./Div.	K	T	Buy	11/15/18	K		
44. Du Page & Cook Cnty Cmnty Cons Sch. (262579SE6)	A	Int./Div.	K	T	Buy	10/01/18	K		
45. Fremont Ohio City School District Bonds (357568FW9)	A	Int./Div.	K	T					
46. Hamilton County Ohio Sewer System Revenue Bonds (407288YM5)	B	Int./Div.	K	T					
47. Harris Cnty Tex Metr Trans Auth (41422EHP1)	A	Int./Div.	K	T	Buy	10/01/18	K		
48. Harris Cnty Tex Trans. Auth (4140185U1)	A	Int./Div.	K	T	Buy	10/01/18	K		
49. Henry County GA Develop Author Bonds (426354AF3)	A	Int./Div.	K	T	Buy	10/01/18	K		
50. Holbrook Mass Sch. Bonds (434722JB0)	A	Int./Div.	K	T	Buy	09/18/18	K		
51. Hudson Ohio School District Impt Bds (444089BG1)	A	Int./Div.	K	T	Buy	10/01/18	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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FINANCIAL DISCLOSURE REPORT

Page 7 of 16

Name of Person Reporting

GWIN, JAMES S.

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52. Hurst Bedford Texas Independent School District (447819ET6)	B	Int./Div.	K	T					
53. Kentucky State Property & Bldgs Bonds (49151FWB2)	B	Int./Div.	K	T					
54. Kettering Ohio City Sch Dist Ref Bds (492692QQ4)	A	Int./Div.	K	T	Buy	09/25/18	K		
55. Lake Orion Mich Community School District Bond (510336QZ6)	B	Int./Div.	K	T					
56. Lakewood Ohio City School District Bond (512624RC3)	B	Int./Div.	K	T					
57. Metropolitan Transn Auth N Y Rev Trans Bonds (59261AXC6)	A	Int./Div.	K	T	Buy	10/03/18	K		
58. Metropolitan Transportation Authority Revenue Bonds (59261ANG8)	B	Int./Div.	K	T					
59. Michigan State Trunk Line Revenue Bonds (594695K72)	A	Int./Div.	J	T	Buy	09/25/18	K		
60. Miami Beach Florida Water & Sewer Revenue Bond (593241BK7)	A	Int./Div.	K	T					
61. Miami Univ Ohio Gen Rcpts Rev Bonds (593791HE9)	A	Int./Div.	K	T	Buy	10/24/18	K		
62. New York State Dormitory Bonds (64990FAT1)	B	Int./Div.	K	T					
63. North Royalton Ohio School District Bond (662055KA9)	B	Int./Div.	K	T					
64. Ohio State Adult Correctional Bonds (677524CT5)	A	Int./Div.	K	T					
65. Ohio State Adult Correctional Bonds (677524AU3)	A	Int./Div.	K	T	Buy	09/10/18	K		
66. Ohio State Cap FACS Lease Appropriation (677521W28)	A	Int./Div.	K	T	Buy	09/10/18	K		
67. Oshkosh Wisconsin Bond (68825WDY2)	B	Int./Div.	K	T					
68. Phoenix AR, Civic Impr Bond (71883MGL1)	A	Int./Div.	K	T	Buy	10/18/18	K		

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FINANCIAL DISCLOSURE REPORT

Page 8 of 16

Name of Person Reporting

GWIN, JAMES S.

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05/01/2019

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69. Rocky River Ohio Various Purpose Bonds (774812MG3)	A	Int./Div.	K	T					
70. Strongsville Ohio City School Bond (863387ME3)	B	Int./Div.	K	T					
71. Texas St Tax and Rev Antip 2018 Bond (882724GP6)	A	Int./Div.	K	T	Buy	11/05/18	K		
72. Tulsa Oklahoma County Industrial Authority Bonds (899518FZ2)	B	Int./Div.	K	T					
73. Virginia Commonwealth Transportation Board Bond (92778UBR0)	B	Int./Div.	K	T					
74. St Louis MO Gen Fd Rev Tax and Rev Bond (79164MAY3)	A	Int./Div.	K	T	Buy	10/09/18	K		
75. Seattle Wash Mun Lt &Pwr Rev Bds (812643PA6)	A	Int./Div.	K	T	Buy	11/14/18	K		
76. Sidney Ohio City School District Bonds (826129EK0)	A	Int./Div.	K	T					
77. University of Cincinnati Gen Rcpts Bds (914119B43)	A	Int./Div.	K	T	Buy	10/24/18	K		
78. Whitehall Ohio City Sch Dist Ult Sch Fac (965152LT6)	A	Int./Div.	K	T	Buy	10/25/18	K		
79. Wisconsin St Clean Wtr Rev Clean Wtr Rev Bds (977092UB9)	A	Int./Div.	K	T	Buy	10/05/18	K		
80.									
81. T. Rowe Price Group, Inc. (TROW) (74144T107) (x)	A	Int./Div.	J	T					
82. T. Rowe Price Instl Floating Rate Fund Class F (PFRFX) (x)	A	Dividend	J	T					
83. S&P Global Inc. (SPGI) (x)	A	Dividend			Donated				
84. SPDR DoubleLine Total Return Tactical ETF (TOTL) (x)	A	Dividend	K	T					
85. Energy Select Sector SPDR Fund (XLE) (x)	A	Dividend	J	T					

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FINANCIAL DISCLOSURE REPORT

Page 9 of 16

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86. Financial Select Sector SPDR Fund (XLF) (x)	A	Dividend	J	T					
87. Technology Select Sector SPDR Fund (XLK) (x)	A	Dividend	J	T					
88. WisdomTree U.S. Quality Dividend Growth Fund (DGRW) (x)	A	Dividend	K	T					
89. AbbVie Inc. (ABBV) (x)		None	J	T					
90. Alphabet Inc. (GOOGL) (x)		None			Donated				
91. American Water Work (AWK) (x)		None			Donated				
92. Amazon (AMZN) (x)		None			Donated				
93. Amgen, Inc (AMGN) (x)	A	Dividend			Donated				
94. AT&T Inc. (T) (x)	A	Dividend			Donated				
95. Apple, Inc. (AAPL) (x)		None			Donated				
96. Applied Materials, Inc. (AMAT) (x)	A	Dividend			Donated				
97. Automatic Data Processing, Inc. (ADP) (x)		None			Donated				
98. Biogen Inc. (BIIB) (x)		None			Donated				
99. CBRE Group, Inc. (CBRE) (x)		None	J	T					
100. Centene Corporation (CNC) (x)		None	J	T					
101. Cisco Systems, Inc. (CSCO) (x)		None	J	T					
102. Bank of New York Mellon Corp (BK) (x)		None			Donated				

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FINANCIAL DISCLOSURE REPORT

Page 10 of 16

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103. Baxter International, Inc. (BAX) (x)		None			Donated				
104. Boeing Co. (BA) (x)		None			Donated				
105. Borg Warner, Inc. (BWA) (x)	A	Dividend			Donated				
106. Burlington Stores (BURL) (x)		None			Donated				
107. Celanese Corp. (CE) (x)		None	J	T					
108. CitiGroup, Inc. (C) (x)		None			Donated				
109. Citizens Financial Group, Inc. (CFG) (x)		None			Donated				
110. Comcast Corporation (CMCSA) (x)		None			Donated				
111. ConocoPhillips (COP) (x)		None			Donated				
112. Constellation Brands, Inc. (STZ) (x)		None			Donated				
113. DowDuPont Inc. (DWD) (x)	A	Dividend	J	T					
114. Cummings, Inc. (CMI) (x)	A	Dividend	J	T					
115. Eastman Chemical (EMN) (x)		None	J	T					
116. Exxon Mobil Corporation (XOM) (x)		None			Donated				
117. Facebook, Inc. (FB) (x)		None			Donated				
118. FedEx Corporation (FDX) (x)		None			Donated				
119. Home Depot, Inc. (HD) (x)	A	Dividend			Donated				

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	

FINANCIAL DISCLOSURE REPORT

Page 11 of 16

Name of Person Reporting

GWIN, JAMES S.

Date of Report

05/01/2019

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)

120. Intel Corp (Intc) (x)		None	J	T					
121. JPMorgan Chase & Co. (JPM)		None			Donated				
122. Johnson & Johnson (JNJ) (x)	A	Dividend			Donated				
123. Kohl's Corporation (KSS) (x)	A	Dividend	J	T					
124. McDonald's Corporation (MCD) (x)	A	Dividend			Donated				
125. Microsoft Corporation (MSFT) (x)	A	Dividend			Donated				
126. Morgan Stanley (MS) (x)		None			Donated				
127. NextEra Energy, Inc. (NEE) (x)	A	Dividend			Donated				
128. Northrop Grumman Corporation (NOC) (x)		None			Donated				
129. Occidental Petroleum Corporation (OXY) (x)		None	J	T					
130. PepsiCo, Inc. (PEP) (x)		None	J	T					
131. Pfizer Inc. (PFE) (x)		None			Donated				
132. Raytheon Company (RTN) (x)		None			Donated				
133. Royal Caribbean Cruises Ltd. (RCL) (x)		None			Donated				
134. Royal Dutch Shell plc (RDSA.AS) (x)	A	Dividend			Donated				
135. State Street Corporation (STT) (x)		None			Donated				
136. SunTrust Banks, Inc. (STI) (x)	A	Dividend			Donated				

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	

FINANCIAL DISCLOSURE REPORT

Page 12 of 16

Name of Person Reporting

GWIN, JAMES S.

Date of Report

05/01/2019

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)
137. T-Mobile US, Inc. (TMUS) (x)		None			Donated				
138. Texas Instruments Incorporated (TXN) (x)		None			Donated				
139. Tyson Foods, Inc. (TSN) (x)	A	Dividend			Donated				
140. United Rentals, Inc. (URI) (x)		None			Donated				
141. UnitedHealth Group Incorporated (UNH) (x)	A	Dividend			Donated				
142. Visa Inc. (V) (x)	A	Dividend			Donated				
143. WEC Energy Group, Inc. (WEC) (x)		None			Donated				
144. TE Connectivity Ltd. (TEL) (x)	A	Dividend	J	T					
145. Waste Management, Inc. (WM) (x)	A	Dividend	J	T					
146.									
147. iShares Tips Bond ETF (TIP) (x)	A	Dividend	J	T					
148. iShares Core S&P 500 ETF (IVV) (x)	A	Dividend	J	T					
149. iShares Core US Aggregate Bond ETF (AGG) (x)	C	Int./Div.	M	T					
150. iShares Trust MSCI Emerging Markets ETF (EEM) (x)	A	Dividend	J	T					
151. iShares MSCI EAFE ETF (EFA) (x)	A	Dividend	J	T					
152. iShares Trust MidCap ETF (IWR) (x)	A	Dividend	J	T					
153. iShares Core S&P Mid-Cap ETF (UH) (x)	A	Dividend	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	

FINANCIAL DISCLOSURE REPORT

Page 13 of 16

Name of Person Reporting

GWIN, JAMES S.

Date of Report

05/01/2019

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)
154. iShares Russell 1000 ETF (IWB) (x)	A	Dividend	J	T					
155. iShares S&P Mid-Cap 400 Value ETF (IJJ) (x)	A	Dividend	J	T					
156. iShares S&P Small-Cap 600 Value ETF (IJS) (x)	A	Dividend	J	T					
157. iShares MSCI EAFE Small-Cap ETF (SCZ) (x)	A	Dividend	J	T					
158. iShares National Muni Bond ETF (MUB) (x)	A	Dividend	J	T					
159. iShares MSCI EAFE Value ETF (EFV) (x)	A	Dividend	J	T					
160. iShares MSCI EAFE Growth ETF (EFG) (x)	A	Dividend	J	T					
161. iShares Floating Rate Bond ETF (FLOT) (x)	A	Int./Div.	L	T					
162. iShares Edge MSCI USA Quality Factor ETF (QUAL) (x)	A	Dividend	K	T					
163. iShares Edge MSCI USA Value Factor ETF (VLUE) (x)	A	Dividend	K	T					
164. iShares Edge MSCI USA Momentum Factor ETF (MTUM) (x)	A	Dividend	J	T					
165. iShares Core MSCI EAFE ETF (IEFA) (x)	A	Dividend	K	T					
166. iShares Core MSCI Emerging Markets ETF (IEMG) (x)	A	Dividend	J	T					
167. TOTAL S.A. (TOT) (x)	A	Dividend			Donated				
168. Vanguard FTSE All-World ex-US Index Fund ETF Shares (VEU) (x)	A	Dividend	J	T					
169. Vanguard Intermediate-Term Tax-Exempt Fund Admiral Shares (VWIUX) (x)	A	Dividend	J	T					
170. Vanguard Limited-Term Tax-Exempt Fund Admiral Shares (VMLUX) (x)	A	Dividend	J	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
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FINANCIAL DISCLOSURE REPORT

Page 14 of 16

Name of Person Reporting

GWIN, JAMES S.

Date of Report

05/01/2019

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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)
171. Vanguard Total Stock Market Index Fund ETF Shares (VTI) (x)	A	Dividend	J	T					
172. Vanguard Short-Term Treasury Index Fund Institutional Shares (VSBIX) (	A	Dividend	J	T					
173.									

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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FINANCIAL DISCLOSURE REPORT

Page 15 of 16

Name of Person Reporting

GWIN, JAMES S.

Date of Report

05/01/2019

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 Goldman Sachs Financial Square Government Fund (FGTXX), this fund is used as a money market account with intermittent deposits and withdrawals.

Regarding the flight shown in Part V, this was an estimated cost using business class airfare charges.

Investments listed in Part VIII, lines 81 - 172 were received in inheritance.

FINANCIAL DISCLOSURE REPORT

Page 16 of 16

Name of Person Reporting

GWIN, JAMES S.

Date of Report

05/01/2019

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/ **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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One Columbus Circle, N.E.
Washington, D.C. 20544