

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) Gilman, Ronald L.	2. Court or Organization U. S. Court of Appeals, Sixth Circuit	3. Date of Report 03/19/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U. S. Circuit 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 167 North Main Street, Suite 1176 Memphis, TN 38103		
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.	
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.

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. Gulf Housing Ltd. Partnership (5 apt. projects in Ala. and Miss.)	A	Interest	J	W					
2.	B	Rent							
3. FedTrust Federal Credit Union	A	Interest	L	T					
4. Schwab Cash & Bank Sweep	A	Interest	K	T					
5. AQR Managed Futures Strategy Fund		None			Sold	08/22/18	M		
6. Barclays Bank iPath Pure Beta		None	L	T					
7. Barclays ETN Shiller CAPE		None	L	T	Buy	12/03/18	L		
8. Blackrock Strategic Income Opportunities Portfolio	A	Dividend	K	T	Buy (add'l)	08/22/18	K		
9. Charles Schwab U.S. REIT		None	L	T	Buy	12/27/18	L		
10. DFA Emerging Markets Core Equity Portfolio	C	Dividend	M	T	Sold (part)	03/14/18	K	D	
11.					Buy (add'l)	11/05/18	J		
12. DFA International Core Equity	D	Dividend	N	T	Buy (add'l)	11/05/18	K		
13. DFA U.S. Small Cap Value	B	Dividend	M	T					
14. Doubleline Shiller Enhanced CAPE	B	Dividend			Buy	02/02/18	L		
15.					Sold	12/03/18	L		
16. Fidelity Large Cap Enhanced Index	C	Dividend	L	T					
17. Fidelity Mid Cap Enhanced Index	D	Dividend	L	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	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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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. Fidelity Select Software & IT Services	B	Dividend	K	T	Buy	07/03/18	K		
19. Goldman Sachs Note - S&P 500 due 5/23/19		None	M	T	Buy	04/12/18	M		
20. Invesco S&P 500 Low Volatility (f/n/a Powershares S&P 500 Low Vol. P.)	A	Dividend			Sold (part)	02/02/18	L	E	
21.					Sold	02/07/18	J		
22. Invesco S&P 500 Quality (f/n/a Powershares S&P 500 High Quality P.)	B	Dividend	L	T	Sold (part)	02/02/18	J	C	
23. iShares Edge MSCI Int'l Quality	B	Dividend	J	T	Buy	02/02/18	L		
24.					Sold (part)	12/27/18	L		
25. iShares S&P Midcap 400 Value	C	Dividend	M	T					
26. iShares Tr. Russell 3000 Index	E	Dividend	O	T	Sold (part)	03/14/18	K	E	
27.					Sold (part)	11/05/18	K	D	
28. JP Morgan Chase FINL Equity Limited Note 01/29/18		None			Sold	01/29/18	M	E	
29. JP Morgan Tax Aware Real Return	B	Interest	K	T	Buy (add'l)	08/22/18	J		
30. JP Morgan Ultra-Short Income	A	Dividend	J	T	Buy	12/11/18	J		
31. Matthews Asia Growth		None			Buy	02/02/18	L		
32.					Sold	11/30/18	L		
33. Morgan Stanley Equity Linked Note due 01/29/18		None			Sold	01/29/18	M	D	
34. Morgan Stanley Note - Emerging Markets due 3/7/19		None			Buy	02/02/18	L		

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	N = \$250,001 - \$500,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

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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)

35.					Sold	12/20/18	L		
36. Morgan Stanley Note Zero CPN due 2/25/20		None	L	T	Buy	12/21/18	L		
37. Pimco Enhanced Short Maturity Strategy	A	Dividend	K	T					
38. Pimco Investment Grade Corporate	A	Dividend			Buy	01/30/18	M		
39.					Sold	04/10/18	M		
40. Schwab Value Advantage	A	Dividend			Buy	11/05/18	J		
41.					Sold	12/11/18	J	A	
42. Stone Ridge Alt. Lending Risk Premium	B	Dividend	K	T					
43. Stone Ridge Reinsurance Risk Premium Interval	B	Dividend	M	T					
44. T Rowe Price Summit Int. Term Bond	D	Interest	N	T	Buy (add'l)	03/14/18	K		
45.					Buy (add'l)	08/22/18	K		
46. Thornburg Ltd. Term Muni	B	Interest	M	T	Buy (add'l)	03/14/18	K		
47.					Buy (add'l)	08/22/18	K		
48. Tortoise MLP & Pipeline	B	Dividend	J	T	Sold (part)	12/27/18	L		
49. Tortoise North American Pipeline	A	Dividend	L	T	Buy	12/27/18	L		
50. Vanguard FTSE Pacific	A	Dividend	L	T	Buy	11/30/18	L		
51. Vanguard International Dividend		None	L	T	Buy	12/27/18	L		

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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52. Vanguard Ltd. Term Tax Exempt (Admiral Share)	B	Interest	L	T	Buy (add'l)	08/22/18	K		
53. Vanguard Meg Cap 300		None			Sold (part)	02/02/18	L	F	
54.					Sold	02/07/18	J	A	
55. Vanguard Real Estate (f/n/a Vanguard REIT)	C	Dividend	J	T	Sold (part)	12/27/18	L		
56.									
57. IRA #1 (H)									
58. - Schwab Cash & Bank Sweep	A	Interest	J	T					
59. - Blackrock Strategic Income Opportunities Portfolio	B	Dividend	L	T	Sold (part)	12/11/18	J		
60. - DFA Int'l Core Equity	C	Dividend	M	T					
61. - DFA Int'l Small Company Port.	B	Dividend	L	T					
62. - DFA U.S. Small Cap Value	A	Dividend	L	T	Sold (part)	09/24/18	J	A	
63. - JP Morgan Strategic Income Oppty.	B	Dividend	L	T	Sold (part)	12/11/18	K		
64. - Stone Ridge Alt. Lending Risk Premium	B	Dividend	K	T					
65.									
66. IRA #2 (H)									
67. -Schwab Cash & Bank Sweep	A	Interest	J	T					
68. AGR Managed Futures		None			Buy	03/14/18	J		

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69.					Sold	08/22/18	J		
70. -DFA Int'l Small Company Portfolio	A	Dividend	J	T					
71. Flexshares iBoxx 5-year Tips Index	A	Dividend	J	T	Buy	03/14/18	J		
72.					Sold (part)	12/11/18	J		
73. -Goldman Sachs Equity linked Note due 5/23/19		None	K	T	Buy	04/12/18	K		
74. -iShares Core Moderate Allocation		None			Buy	03/14/18	J		
75.					Sold	03/21/18	J		
76. -iShares MSCI U.S. Minimum Volatility Index		None			Sold (part)	02/02/18	L	E	
77.					Sold	02/07/18	J	A	
78. -JP Morgan Strategic Income Opportunity	A	Dividend	K	T	Buy	03/14/18	J		
79.					Buy (add'l)	08/22/18	K		
80. -Matthews Asia Growth	A	Dividend	K	T	Buy	02/02/18	K		
81. -Pimco Investment Grade Corp. Bond Index	A	Dividend			Buy	03/14/18	K		
82.					Sold	04/10/18	K		
83. -Schwab Value Advantage	A	Dividend			Buy	11/05/18	J		
84.					Sold	12/11/18	J	A	
85. - Stone Ridge Alt. Lending Risk Premium	C	Dividend	L	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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86. -Stone Ridge Reinsurance Risk Premium Interval	A	Dividend	J	T	Buy	03/21/18	J		
87.									
88. College Savings Plan (529 account) for Grandchild #1 (H)									
89. - Fidelity/Delaware Total Market Index Fund		None			Sold	11/21/16	M	E	
90. -Fidelity/Delaware Money Market		None	M	T	Buy	11/21/16	M		
91.									
92. College Savings Plan (529 account) for Grandchild #2 (H)									
93. - Fidelity/Delaware Total Market Index Fund		None	M	T					
94.									
95. College Savings Plan (529 account) for Grandchild #3 (H)									
96. - Fidelity/Delaware Total Market Index Fund		None	M	T					
97.									
98. College Savings Plan (529 account) for Grandchild #4 (H)									
99. - Fidelity/Delaware Total Market Index Fund		None	M	T					

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

Part VII, Lines 20-21. The name of Powershares S&P 500 Low Volatility Portfolio has been changed to Invesco S&P 500 Low Volatility. It is the same fund.

Part VII, Line 22. The name of Powershares S&P 500 High Quality Portfolio has been changed to Invesco S&P 500 Quality. It is the same fund.

Part VII, Line 55. The name Vanguard REIT has been changed to Vanguard Real Estate. It is the same fund.

Part VII, Lines 89-99. I have shown "None" for "Income during reporting period" for these college savings plans (Sec. 529 accounts) because that information is not generated by Fidelity Investments due to the tax free nature of the accounts. In addition, I had inadvertently failed to report that the investment fund for Grandchild #1 was changed on November 21, 2016 from Fidelity/Delaware Total Market Index Fund to Fidelity/Delaware Money Market.

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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/ **Ronald L. Gilman**

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