

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) Maloney, Paul L.	2. Court or Organization District Court, WD MI	3. Date of Report 05/08/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) District 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 410 W. Michigan Ave. Kalamazoo, MI 49007		
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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	
2.	
3.	
4.	
5.	

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

☐ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1. 1995-2007	State Judicial Pension calculated based on years of service-Commence Drawing Pension January 2010
2. 1995-2007	Berrien County Pension calculated based on years of service-Commenced Drawing Pension January 2010
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. 2018	State of Michigan Judicial Pension	\$48,624.00
2. 2018	Berrien County, MI Pension	\$15,500.00
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2018	State of Michigan Teacher Pension
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.)*

<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. Brokerage Account # 1 (H)									
2. --Jennison Mid-Cap Growth A	A	Dividend			Sold	10/08/18	J	B	
3. --UBS Bank USA Dep Acct	A	Interest	J	T					
4. --UBS Pace Money Market INV Fund Class P	A	Dividend	J	T	Buy	10/08/18	J		
5. --Amer Century Short Duration Inflation Prot Bond A	A	Dividend	J	T					
6. --Invesco Small Cap Value Class A	A	Dividend	J	T					
7. --AIG Focused Dividend Strategy Fund Class W fna Sum America Focused	A	Dividend	J	T	Sold (part)	10/08/18	J	A	
8. --Lord Abbett Short Duration Income Fund	A	Dividend			Sold	10/08/18	J	A	
9. --Compass Risk MG DVD GR 1	A	Dividend	J	T					
10. --Copeland Risk Mgmt DVD Growth 1	A	Dividend	J	T	Sold (part)	10/08/18	J	A	
11. --Prudential Total Return Bond Fund Class Z	A	Dividend			Sold	10/08/18	J	A	
12. --Hartford World Bond Fund 1	A	Dividend	J	T					
13. --Oakmark Intl Fund	A	Dividend			Sold	10/08/18	J	A	
14. --Victory Sycamore Establ. Value Fund	A	Dividend	J	T					
15. --Thornburg LTD Term Income Class 1	A	Dividend			Sold	10/08/18	J	A	
16. --Putnam Equity Income Fund YSHS	A	Dividend	J	T					
17. --Pioneer Multi-Asset Ultrashort Income	A	Dividend	J	T	Buy (add'l)	10/08/18	J		

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 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	N ~\$250,001 - \$500,000 P3 ~\$25,000,001 - \$50,000,000	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.)

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)

18. --Nuveen Real Estate Securities Fund 1	A	Dividend	J	T					
19. --Hartford Core Equity Class 1	A	Dividend			Sold	10/08/18	J	A	
20. --Virtus Small Cap Sust Gw 1	A	Dividend	J	T					
21. --Pimco Income Fund Class P	A	Dividend	J	T					
22. --Prudential Global Total Return Fund Inc Z	A	Dividend			Sold	10/08/18	J	A	
23. --Polen Growth Fund Class 1	A	Dividend	J	T	Sold (part)	10/08/18	J	A	
24. --John Hancock Intl Growth Fund A	A	Dividend	J	T					
25. --American Funds New World Fund Class F	A	Dividend	J	T					
26. --Columbia Strategic Income Fund Class Institutional	A	Dividend	J	T					
27. --Icon Emerging Mkts Class S	A	Dividend	J	T	Buy	10/08/18	J		
28. --JP Morgan Large Cap Growth Fund Class I	A	Dividend	J	T	Buy	10/08/18	J		
29. --Angel Oak Multi-Strategy Income Fund Class Intl	A	Dividend	J	T	Buy	10/08/18	J		
30. --Guggenheim Total Return Bond Fund Class Instit.	A	Dividend	J	T	Buy	10/08/18	J		
31. --Hartford Mid-Cap Class 1	A	Dividend	J	T	Buy	10/08/18	J		
32. --Trans America Intl Equity 1	A	Dividend	J	T	Buy	10/08/18	J		
33. --Lord Abbett Ultra Short Bond Fund Class F	A	Dividend	J	T	Buy	10/08/18	J		
34. Brokerage Account #2 (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
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. --Apple Computer Common Stock	B	Dividend	M	T					
36. --UBS Deposit Acct	A	Dividend	J	T					
37. --Illinois Tool Works common stock	A	Dividend	J	T					
38. --McKesson common stock	A	Dividend	J	T					
39. --Schlumberger common stock	A	Dividend	J	T					
40. --Norfolk Southern RR common stock	A	Dividend	J	T					
41. --Starbucks common stock	A	Dividend	K	T					
42. --Guggenheim Dir Alloc	A	Dividend	K	T	Buy (add'l)	10/08/18	J		
43. --Boeing common stock	A	Dividend	K	T					
44. --Henderson Global Investors European Focus	A	Dividend	J	T					
45. --Intel common stock	A	Dividend	K	T					
46. --Eversource Energy Corp common stock	A	Dividend	J	T					
47. --VP common stock	A	Dividend	J	T					
48. --Delta Airlines common stock	A	Dividend	J	T					
49. --Gilead Sciences	A	Dividend	J	T					
50. --Thermo Fisher Scientific	A	Dividend	K	T	Buy (add'l)	05/03/18	J		
51. --Unts AAM Dividend Ruler Portfolio Ser 2017C	A	Dividend			Sold	10/08/18	K	C	

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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52. --Alibaba Grp Holding commons stock	A	Dividend	J	T					
53. --Colgate Palmolive common stock	A	Dividend	J	T	Buy	05/03/18	J		
54.					Buy (add'l)	10/08/18	J		
55. --Unts AAM Dividend Ruler Portfolio Ser 2018D	A	Dividend	K	T	Buy	10/22/18	K		
56. Brokerage Account #3 (H)									
57. --Pace Large Company Growth Equity Investment Fund Class	A	Dividend	J	T					
58. --Pace Intl Emerg Mkts Equity Class P	A	Dividend	J	T					
59. --Lrg Comp Value Equity Fund Class P	A	Dividend	J	T					
60. --Pace Intl Equity Fund Class P	A	Dividend	J	T					
61. --Pace Sm/Medium co Growth Equity Class P	A	Dividend	J	T					
62. --Pace Money Market Investment Fund Class P	A	Dividend	J	T					
63. --Pace Global Real Estate Securities Fund Class P	A	Dividend	J	T					
64. --Pace International Fixed Income Investment Class P	A	Dividend	J	T					
65. --Pace Small/Medium CO Value Equity Investmt Class P	A	Dividend	J	T					
66. --Pace Global Fixed Income Investmt Fund Class P	A	Dividend	J	T					
67. --Pace High Yield Investmt Class P	A	Dividend	J	T					
68. --Pace Intermediate Fixed Income Class P	A	Dividend	J	T					

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69. --Pace Strategic Fixed Income Fund Class P	A	Dividend	J	T					
70. State of Michigan 401k (H)									
71. --SSGA Bond Market Index	A	Dividend	K	T					
72. --Dodge and Cox Stock Fund	B	Dividend	M	T					
73. --American Funds Euro Pacific	B	Dividend	K	T					
74. --Pimco Total Return Fund 1	B	Dividend	K	T					
75. --Voya Small Cap Growth	A	Dividend	K	T					
76. --Oakmark Equity and Income	A	Dividend	K	T					
77. --New Jemison Large Cap Growth	A	Dividend	K	T					
78. 457 Account (H)									
79. --Nationwide Fixed Acct	B	Int./Div.	L	T					
80. --Newberger Genesis Fund TC	A	Dividend	J	T					
81. 403b Account (H)									
82. --New Perspective Fund A	A	Dividend	J	T					
83. --Capital World Growth A	A	Dividend	J	T					
84. --US Govt Securities A	A	Dividend	J	T					
85. Fifth Third Account	A	Interest	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
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86. DOJ Federal Credit Union	A	Interest	K	T					
87. 403b(7) Account (H)									
88. --Prudential Total Return Bond A	A	Dividend	J	T					
89. --JP Morgan Govt Bond A	A	Dividend	J	T					
90. --American New Perspective Fund R3	A	Dividend	J	T					
91. --American Fund Capital World Growth R3	A	Dividend	J	T					
92. --American US Govt Securities R3	A	Dividend	J	T					
93. Honor Credit Union CD Account (H)	A	Interest	L	T					

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

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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/ Paul L. Maloney

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