

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) Ross, John A.	2. Court or Organization U.S.District Court, Eastern District of Missouri	3. Date of Report 07/15/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge	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 111 South Tenth Street Suite 12 North St. Louis, Missouri 63102		
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. 2001	Missouri State Employees Retirement Fund, Judicial Pension
2. 1979	St. Louis County Employees Retirement Fund, no control
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. 2018

John's Restaurant, Inc., marketing and event planning.

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. Pitney Bowes	A	Dividend	J	T					
2. Commerical Bank of Westpoort Common Stock	A	Dividend	J	T					
3. Spine Partners LLC	E	Distribution	J	T					
4. -					Sold	08/30/18	J	A	Spine Partners, LLC
5. BMO Harris f/k/a M&I Bank Money Market Account	A	Interest	L	T					
6. PNC Bank	A	Interest	K	T					
7. IRA #1									
8. -Wells Fargo money market account	A	Interest	L	T					
9. IRA #2									
10. -Van Kampen Govt. Securities Fund	A	Dividend	J	T					
11. JP Morgan Smart Retire 2030 retirement account	A	Int./Div.	K	T					
12. Missouri 2020 Fund deferred compensation fund Templeton Dev	A	Int./Div.	J	T					
13. Missouri Most College Savings Plan									
14. -Vanguard Conservative Income Portfolio	B	Interest	K	T					
15. Missouri MOST college savings plan									
16. -Vanguard Conservative Income Portfolio	B	Interest	K	T					
17. -					Sold	04/10/18	K	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	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 = \$250,000,001 - \$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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	(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. IRA #3									
19. -First Bank	C	Distribution	K	T					
20. Abbott Laboratories	A	Interest	J	T					
21. -					Sold	07/25/18	J	A	
22. Apple	A	Interest	J	T					
23. -					Sold	07/25/18	J	A	
24. Berkshire Hathaway	A	Interest	J	T					
25. -					Sold	07/25/18	J	A	
26. Chevron Corp.	A	Interest	J	T					
27. -					Sold	07/25/18	J	A	
28. Gap, Inc.	A	Dividend	J	T					
29. -					Sold	07/25/18	J	A	
30. Genral Electric	A	Interest	J	T					
31. -					Sold	07/25/18	J	A	
32. Home Depot	A	Dividend	J	T					
33. -					Sold	07/25/18	K	A	
34. JPMorgan Chase	A	Interest	J	T					

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(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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35. -					Sold	07/25/18	J	A	
36. Microsoft	A	Interest	J	T					
37. -					Sold	07/25/18	J	A	
38. Pfizer	B	Dividend	L	T					
39. -					Sold	07/25/18	L	D	
40. PNC Financial	A	Dividend	J	T					
41. -					Sold	07/25/18	J	A	
42. Starbucks	A	Dividend	J	T					
43. -					Sold	07/25/18	J	A	
44. UnitedHealth Group, Inc.	A	Interest	J	T					
45. -					Sold	07/25/18	J	A	
46. US Bancorp	B	Dividend	M	T					
47. -					Sold	07/25/18	M	B	
48. Piper Jaffray Cos.	A	Dividend	J	T					
49. -					Sold	07/25/18	J	A	
50. Shell International	A	Dividend	J	T					
51. -					Sold	07/25/18	J	A	

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52. Artisan Funds Inc. Mid Cap Fund		None			Buy	07/27/18	J		
53. -					Sold	12/28/18	J	B	
54. Baron Emerging Markets-INS		None			Buy	07/27/18	L		
55. -					Sold	12/03/18	L	A	
56. Diamond Hill Large Cap Fund FD-I		None			Buy	07/27/18	K		
57. -					Sold	12/28/18	K	A	
58. Amer Funds Europac Growth-F3		None			Buy	07/27/18	K		
59. -					Sold	12/03/18	K	A	
60. Victory RS SM Cap Growth-Y		None			Buy	07/27/18	J		
61. -					Sold	12/03/18	J	A	
62. AIM Intl Growth-I		None			Buy	07/27/18	K		
63. -					Sold	12/03/18	K	A	

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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/ John A. Ross**

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