

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) Swank, Kimberly A.	2. Court or Organization US District Court, Eastern District of North Carolina	3. Date of Report 08/01/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) US Magistrate Judge - Part-time	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 US Courthouse Annex 215 South Evans Street Greenville, NC 27858		
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.	Director	Federal Magistrate Judges' Association
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.		
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.)*

<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. 2018	Vidant Medical Center
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. Federal Magistrate Judges' Association	Mar. 19-20, 2018	Washington DC	Board of Directors' Meeting	Transportation, Meals, Hotel
2. North Carolina Association of Defense Attorneys	June 15-17, 2018	Hilton Head, SC	Annual Meeting/CLE	Transportation, Meals, Hotel, Registration Fee
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.		Tuition	None
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. State Employees' Credit Union Accounts	A	Int./Div.	K	T					
2. PNC Bank account	A	Interest	J	T					
3. Brokerage Acct #1 (IRA) (H)									
4. --First Trust Lg Cap (FEX)	A	Dividend			Sold	04/10/18	J	A	
5. --OSI Oshares US (OUSA)	A	Dividend	J	T	Sold (part)	07/12/18	J	A	
6. --Invesco Tr S&P 500 Equal (RSP)	A	Dividend	J	T	Buy (add'l)	07/12/18	J		
7.					Buy (add'l)	09/11/18	J		
8. --Ishares Emg Mkt (IEMG)	A	Dividend	J	T					
9. --Ishares Min Vol (USMV)	A	Dividend	K	T	Buy (add'l)	02/07/18	J		
10. --Ishares US Stk Mkt (ITOT)	A	Dividend	K	T					
11. --Ishares S&P (IVV)		None			Sold	03/16/18	J	A	
12. --Ishares Sm Cap (IJR)	A	Dividend	J	T	Buy (add'l)	07/12/18	J		
13. --JP Morgan Div Intl (JPIN)	A	Dividend			Sold	10/11/18	J		
14. --Invesco DB Multi Sector Base Metals (DBB)		None			Sold	07/12/18	J	A	
15. --Invesco DB Multi Sector Energy (DBE)		None			Sold	12/12/18	J	A	
16. --Invesco QQQ (QQQ)	A	Dividend	J	T	Sold (part)	02/07/18	J	A	
17.					Sold (part)	04/10/18	J	A	

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	
3. Value Method Codes	P3 ~\$25,000,001 - \$50,000,000		P4 ~More than \$50,000,000		
(See Column C2)	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
	U = Book Value	V = Other	W = Estimated		

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18. --Sector Tech Sel (XLK)	A	Dividend			Buy (add'l)	01/09/18	J		
19.					Sold (part)	09/11/18	J	B	
20.					Sold	12/12/18	J	A	
21. --SPDR S&P Mid Cap (MDY)	A	Dividend	J	T	Buy (add'l)	09/11/18	J		
22. --SPDR Blackstone (SRLN)		None			Sold	01/09/18	J		
23. --SPDR Emg Mkt (SPEM)	A	Dividend			Sold	07/12/18	J		
24. --Wisdomtree Bloomberg (USDU)		None			Sold	02/07/18	J		
25. --Wells Fargo Cash Sweep Acct	A	Interest	J	T					
26. --Invesco DB Multi Sector Agri (DBA)		None			Buy	03/16/18	J		
27.					Sold	07/12/18	J		
28. --Wisdomtree Tr Euro H Eq (HEDJ)	A	Dividend	J	T	Buy	03/16/18	J		
29. --SPDR Small Cap (SPSM)	A	Dividend			Buy	04/10/18	J		
30.					Sold	12/12/18	J		
31. --First Tr Sr Loan (FTSL)	A	Dividend	J	T	Buy	07/12/18	J		
32. --Vanguard Ind S&P 500 (VOO)	A	Dividend	J	T	Buy	10/11/18	J		
33. --Ishares Edge USA Qual (QUAL)	A	Dividend	J	T	Buy	12/12/18	J		
34. VOYA Index Plus Lg Cap		None	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
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. Brokerage Acct #2 (H)									
36. --Invesco Comstock Fund Class A	A	Dividend			Sold	03/29/18	K	C	
37. --Touchstone MidCap Value Instl Class	A	Dividend			Sold	03/29/18	K	C	
38. -- T Rowe Price Blue Chip Growth Fund	B	Dividend	L	T					
39. --AF EuroPac Gr	C	Dividend	K	T					
40. --Dodge & Cox Intl	B	Dividend	K	T					
41. --Invesco Sm Cap		None			Sold	03/29/18	K	C	
42. --ABF Sm Cap Val Inst		None			Sold	03/29/18	K	C	
43. --Fid Low Priced Stk		None			Sold	03/29/18	K	C	
44. --Fid 500 Index Inst	B	Dividend	L	T					
45. --MSIF GLB RE Port IS		None			Sold	03/29/18	K		
46. --PIM Total RT Inst	B	Dividend	K	T					
47. --Vang Tot Bd Mkt Inst	A	Dividend	K	T					
48. --DFA US Sm Cap	C	Dividend	L	T	Buy	03/29/18	L		
49. --Aristotle Val Eq		None	K	T	Buy	03/29/18	K		
50. --JPMCB PB 2030		None	K	T	Buy	03/29/18	K		
51. Brokerage Acct #3 (H)									

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52. --ABT	A	Dividend	K	T					
53. --D	A	Dividend	J	T					
54. --Janus Enterprise Fund (JAENX)	A	Distribution	J	T					
55.	A	Dividend							
56. --Vanguard 500 Index Fund (VFINX)	A	Dividend	K	T					
57. --Wells Fargo Cash Sweep Acct	A	Interest	J	T					
58. Equitable Variable Life (Cash)	A	Interest	J	T					
59. NC 529 Plans (H)									
60. --Growth Portfolio (Age-Based, Aggressive Track)		None	L	T					
61. --Mod Growth Portfolio (Age-Based, Moderate Track)		None	J	T					
62. --Vanguard Growth		None	J	T					
63. --Vanguard Ttl Stock Mkt		None	J	T					
64. Brokerage Acct #4 (H)									
65. --Invesco Emg Mkt (PCY) (Y)									
66. --Vanguard Intl Eq (VWO)	A	Dividend	J	T					
67. --Vanguard Int (VCIT) (Y)									
68. --Vanguard Ttl Bond (BND)	A	Dividend	J	T					

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69. --Vanguard Ttl Stock (VTI)	A	Dividend	J	T					
70. --Vanguard FTSE Dev Mkt (VEA)	A	Dividend	J	T					
71. --Vanguard Mid Cap (VO)	A	Dividend	J	T					
72. --Vanguard Small ETF (Y)									
73. --Vanguard ST Bond (BSV)	A	Dividend	J	T					
74. --Ishares S&P (IVV)	A	Dividend	J	T	Sold (part)	10/19/18	J	A	
75. --SPDR Bloomberg HY (JNK) (Y)									
76. Brokerage Acct #5 (H)									
77. --ABBV	A	Dividend	J	T					
78. --AFLAC (AFL)	A	Dividend	J	T					
79. --Air Prods & Chem (APD)	A	Dividend	J	T					
80. --Altria Grp (MO)	A	Dividend	J	T					
81. --Am Elec Pwr (AEP)	A	Dividend	J	T					
82. --Ameriprise (AMP)	A	Dividend	J	T					
83. --Amgen (AMGN)	A	Dividend	J	T					
84. --Arthur J Gallagher (AJG)	A	Dividend	J	T					
85. --AT&T (T)	A	Dividend	J	T					

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86. --Blackrock (BLK)	A	Dividend	J	T					
87. --Bristol Myers (BMY)	A	Dividend	J	T					
88. --Chevron (CVX)	A	Dividend	J	T					
89. --CSCO (X)	A	Dividend	J	T					
90. --Coca-Cola (KO)	A	Dividend	J	T					
91. --Crown Castle (CCI)	A	Dividend	J	T					
92. --Delta Airlines (DAL)	A	Dividend			Sold	04/18/18	J		
93. --Eaton (ETN)	A	Dividend			Sold	08/23/18	J	A	
94. --Emerson Elec (EMR)	A	Dividend	J	T					
95. --Exelon Corp (EXC)	A	Dividend			Sold	06/21/18	J		
96. --Exxon Mobil (XOM)	A	Dividend	J	T					
97. --Ford Motor (F)	A	Dividend	J	T					
98. --Gilead Sci (GILD)	A	Dividend	J	T					
99. --Home Depot (HD)	A	Dividend	J	T					
100. --HP Inc (HPQ)	A	Dividend	J	T					
101. --Intel Corp (INTC)	A	Dividend	J	T					
102. --Invesco Ltd (IVZ)	A	Dividend	J	T					

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103. --Johnson & Johnson (JNJ)	A	Dividend	J	T					
104. --JP Morgan (JPM)	A	Dividend	J	T					
105. --KAR Auction (KAR)	A	Dividend	J	T					
106. --Liberty Prop REIT (LPT)	A	Dividend	J	T					
107. --Lockheed Martin (LMT)	A	Dividend	J	T					
108. --LyondellBasell (LYB)	A	Dividend	J	T					
109. --Marathon Petr (MPC)	A	Dividend			Sold	05/16/18	J		
110. --Marsh McLennan (MMC)	A	Dividend			Sold	10/24/18	J		
111. --Merck & Co (MRK)	A	Dividend	J	T					
112. --MetLife (MET)	A	Dividend	J	T					
113. --MSFT (X)	A	Dividend	J	T					
114. --Occidental Pete (OXY)	A	Dividend	J	T					
115. --Pfizer (PFE)	A	Dividend	J	T					
116. --Philip Morris (PM)	A	Dividend	J	T					
117. --Phillips 66 (PSX)	A	Dividend	J	T					
118. --PNC Fin Svcs (PNC)	A	Dividend	J	T					
119. --Proctor & Gamble (PG)	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
2. Value Codes (See Columns C1 and D3)	J --\$15,000 or less N --\$250,001 - \$500,000	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 (See Column C2)	P3 --\$25,000,001 - \$50,000,000 Q --Appraisal U --Book Value	R --Cost (Real Estate Only) V --Other	P4 --More than \$50,000,000 S --Assessment W --Estimated	T --Cash Market	

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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)
120. --Prologis (PLD)	A	Dividend	J	T	Sold (part)	09/25/18	J		
121. --Prudential Fin (PRU)	A	Dividend	J	T					
122. --Qualcomm (QCOM)	A	Dividend			Sold	10/24/18	J		
123. --Schlumberger Ltd (SLB)	A	Dividend	J	T					
124. --Thomson Reuters (TRI)	A	Dividend	J	T					
125. --United Tech (UTX)		None			Sold	01/29/18	J	A	
126. --US Bancorp (USB)	A	Dividend	J	T					
127. --Verizon (VZ)	A	Dividend	J	T					
128. --Wal-Mart (WMT)	A	Dividend	J	T					
129. --Wells Fargo (WFC)	A	Dividend	J	T					
130. --Williams Cos (WMB)	A	Dividend	J	T					
131. --Wells Fargo Cash Sweep Acct	A	Interest	J	T					
132. --Eli Lilly & Co (LLY) (X)	A	Dividend	J	T					
133. --International Paper Co (IP) (X)	A	Dividend	J	T					
134. --Mondelez Intl (MDLZ)	A	Dividend	J	T	Buy	02/14/18	J		
135. --Macy's (M)	A	Dividend	J	T	Buy	02/19/18	J		
136. --BB&T (BBT)	A	Dividend	J	T	Buy	03/19/18	J		

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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Name of Person Reporting

Swank, Kimberly A.

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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)
137. --Medtronic (MDT)	A	Dividend	J	T	Buy	05/16/18	J		
138. --Huntington Bancshares (HBAN)	A	Dividend	J	T	Buy	06/21/18	J		
139. --Ventas Inc (VTR)	A	Dividend	J	T	Buy	08/23/18	J		
140. --Kinder Morgan (KMI)	A	Dividend	J	T	Buy	09/25/18	J		
141. --Pepsico (PEP)		None	J	T	Buy	10/24/18	J		
142. --OGE Energy Corp (OGE) (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
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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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Part VII:

- Brokerage Acct #1, Line 5 FQF Oshares US (OUSA) exchanged for OSI Oshares US (OUSA) on 06/28/18 (corporate reorganization)
- Brokerage Acct #1, Line 6 Guggenheim S&P (RSP) changed name to Powershares Tr S&P 500 Equal (RSP) on 04/09/18; Powershares Tr S&P 500 Equal (RSP) changed name to Invesco Tr S&P 500 Equal (RSP) on 06/04/18
- Brokerage Acct #1, Line 14 Powershares DB Base Metals (DBB) changed name to Invesco DB Multi Sector Base Metals (DBB) on 06/04/18
- Brokerage Acct #1, Line 15 Powershares DB Energy (DBE) changed name to Invesco DB Multi Sector Energy (DBE) on 06/04/18
- Brokerage Acct #1, Line 16 Powershares QQQ (QQQ) changed name to Invesco QQQ (QQQ) on 06/04/18
- Brokerage Acct #4, Line 65 Powershares Emg Mkt (PCY) changed name to Invesco Emg Mkt (PCY) on 06/04/18
- Brokerage Acct #4, Line 65, 67, 72, 75: these investments do not meet the value or income reporting thresholds for the reporting period
- Brokerage Acct #5, Lines 132, 133, 142: these investments increased in value to meet the reporting requirements during the reporting period

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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/ **Kimberly A. Swank**

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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