

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) Sweeney II, James R.	2. Court or Organization U.S. District Court, Southern District of Indiana	3. Date of Report 07/31/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. 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 46 E. Ohio Street Indianapolis, IN 46204		
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.	Immediate Past President	The Reserve Officers Association of the United States
2.	Chair	ROA STARS (Standing Together for Americas Reservists) Foundation
3.	Board Member	The Propyleaum Historic Foundation
4.	Member	Atir SemaJ LLC
5.	Partner	Barnes & Thornburg LLP
6.	Member	Brebeuf Preparatory School Alumni Board
7.	Member	Homeless Veterans Assistance Foundation

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. 2018	Barnes & Thornburg LLP-Partnership Agreement
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. 2018	Self employed (attorney)	\$926,176.00
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.)*

SOURCE	DESCRIPTION	VALUE
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.)*

CREDITOR	DESCRIPTION	VALUE 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. Alliant FCU (cash)	A	Interest	M	T					
2. BT Building - Indianapolis, IN	B	Rent			Sold	10/24/18	J	A	
3. BT Capital Account (cash)		None			Sold	10/24/18	M		
4. BT Cash Balance Plan (cash)	A	Interest	N	T					
5. First Financial Bank (formerly Mainsource Bank) (cash)	A	Interest	K	T					
6. NFCU (cash)	A	Interest	P1	T					
7. Navy Mutual Aid Association (whole life insurance policy)	A	Dividend	M	T					
8. Gard Group LLC		None	K	V					
9. Account #1 (H)									
10. Materra LLC	A	Int./Div.	M	U					
11. Account #2 (H)									
12. Health Equity HSA (X)		None	K	T					
13. Account #3 (H)									
14. Stifel Insured Bank Account (cash)	A	Interest	J	T					
15. IVA Worldwide C1 A (IVWAX)	D	Dividend	M	T					
16. Account #4 (H)									
17. Stifel Insured Bank Account (cash)	A	Interest	J	T					12

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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18. ADOBE INC (ADBE)		None	K	T					14
19. ALPHABET INC CL A (GOOGL)		None	K	T					23
20. ALTRIA GROUP INC (MO)		None	J	T	Buy	11/02/18	J		
21.					Sold	11/28/18	J		
22.					Buy	12/31/18	J		
23. AMAZON.COM INC (AMZN)		None	J	T	Buy	11/02/18	J		
24. APPLE INC (AAPL)	A	Dividend	K	T					13
25. BANK OF AMERICA CORP (BAC)	A	Dividend	J	T					16
26. BERKSHIRE HATHAWAY INC CL B (BRKB)		None	K	T					17
27. BIOGEN INC (BIIB) (X)		None	K	T					
28. BRISTOL MYERS SQUIBB COMPANY (BMY) (X)	A	Dividend			Sold	11/02/18	J		
29. CELGENE CORP (CELG) (X)		None			Buy (add'l)	10/09/18	J		
30.					Sold	11/02/18	J		
31. CBOE GLOBAL MARKETS INC (CBOE)	A	Dividend	J	T					18
32. CHURCHILL DOWNS INC (CHDN) (X)		None	J	T					
33. COMCAST CORP CL A NEW (CMCSA) (X)	A	Dividend	J	T					
34. COSTAR GROUP INC (CSGP)		None	J	T					19

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 - \$3,000,000	P2 = \$3,000,001 - \$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 = Assessed	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

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35. WALT DISNEY CO (DIS) (X)	A	Dividend	J	T					
36. ELECTRONIC ARTS INC (EA)		None	J	T	Sold	11/28/18	J		21
37.					Buy	12/31/18	J		
38. HOME DEPOT INC (HD) (X)	A	Dividend			Sold	11/02/18	J		
39. HUNTINGTON INGALLS INDS INC (HII)	A	Dividend	J	T					24
40.					Buy (add'l)	11/05/18	J		
41. INTEL CORP (INTC) (X)	A	Dividend	K	T	Buy (add'l)	11/05/18	J		
42. INTERCONTINENTAL EXCHANGE INC (ICE)	A	Dividend	J	T					25
43. INTUITIVE SURGICAL INC (ISRG) (X)		None	J	T					
44. KEYCORP (KEY)	A	Dividend	J	T					27
45. LVMH MOET HENNESSY LOUIS VUITTON ADR (LVMUY) (X)		None	J	T	Sold	11/28/18	J		
46.					Buy	12/31/18	J		
47. MGM RESORTS INTL (MGM) (X)	A	Dividend	J	T	Buy (add'l)	11/05/18	J		
48.					Sold	11/28/18	J		
49.					Buy	12/31/18	J		
50. MADISON SQUARE GARDEN CO CL A (MSG) (X)		None	J	T					
51. MASTERCARD INC CL A (MA)	A	Dividend	K	T					29

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52. MERCK & COMPANY INC (MRK)		None	J	T	Buy	11/02/18	J		
53. MICROSOFT CORP (MSFT)	A	Dividend	K	T	Sold (part)	11/02/18	J	A	31
54. MOODYS CORP (MCO) (X)	A	Dividend	J	T					
55. NORTHROP GRUMMAN CORP (NOC)	A	Dividend	J	T					33
56. ONEOK INC (OKE) (X)	A	Dividend			Sold	11/02/18	J	A	
57. PAYPAL HOLDINGS INC (PYPL)		None	J	T					38
58. PFIZER INC (PFE)	A	Dividend	K	T	Sold (part)	10/08/18	J	B	36
59. PIONEER NATURAL RESOURCES CO (PXD)	A	Dividend	J	T	Sold	11/28/18	J		37
60.					Buy	12/31/18	J		
61. REGIONS FINANCIAL CORP (RF)	A	Dividend	J	T					39
62. ROYCE VALUE TRUST INC (RVT) (X)	A	Dividend			Sold	11/02/18	J		
63. SIRIUS XM HLDGS INC (SIRI) (X)	A	Dividend	J	T					
64. SOUTHWEST AIRLINES CO (LUV)	A	Dividend	J	T	Sold	11/28/18	J		28
65.					Buy	12/31/18	J		
66. SPDR S&P 500 ETF (SPY)		None			Buy	11/28/18	L		
67.					Sold	12/31/18	L		
68. STANLEY BLACK & DECKER INC (SWK) (X)	A	Dividend	J	T	Buy (add'l)	11/05/18	J		

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69.					Sold	11/28/18	J		
70.					Buy	12/31/18	J		
71. TEXAS INSTRUMENTS INC (TXN)		None	J	T	Buy	11/02/18	J		
72. UNION PACIFIC CORP (UNP)	A	Dividend	J	T	Sold (part)	11/02/18	J	B	44
73. UNITEDHEALTH GROUP INC (UNH)	A	Dividend	K	T	Buy (add'l)	11/05/18	J		43
74. VAIL RESORTS INC (MTN)	A	Dividend	J	T					32
75. WALMART INC (WMT)		None	J	T	Buy	11/02/18	J		
76. ZEBRA TECHNOLOGIES CORP CL A (ZBRA) (X)		None	J	T					
77. PERNOD RICARD (PDRDF) (X)	A	Dividend	J	T					
78. FERRARI NV (RACE) (X)	A	Dividend	J	T	Sold (part)	11/02/18	J	A	
79.					Sold	11/28/18	J		
80.					Buy	12/31/18	J		
81. FIAT CHRYSLER AUTOMOBILES N V (FCAU) (X)		None	J	T					
82. Account #5 (H)									
83. Fidelity Low-Priced Stock (FLPSX)	D	Dividend	K	T					
84. Harbor Capital Appr Ret (HNACX)	B	Dividend	J	T					
85. Keybank EB Magic 20 Fund (EBMGICX)		None	M	T					

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86. Pimco Total Return Instl (PTTRX)	D	Dividend	M	T					
87. Schwab Treas Infl-Prot Sec Idx (X)	B	Dividend	M	T					
88. Vanguard Inst Index Fund (VINIX)	C	Dividend	M	T					
89. Vanguard Retirement Inc Instl (VTINX)	A	Dividend	K	T					
90. Vanguard Windsor II Fund (VWNAX)	E	Dividend	M	T					
91. Account #6 (H)									
92. Ferrari NV (RACE) (X)	A	Interest	J	T					
93. Fiat Chrysler Auto (FCAU) (X)		None	J	T					
94. Amazon Com Inc (AMZN)		None	J	T	Buy	11/02/18	J		
95. Churchill Downs Inc (CHDN) (X)		None	J	T					
96. Home Depot Inc (HD) (X)	A	Dividend			Sold	11/02/18	J		
97. MGM Resorts Intl (MGM) (X)	A	Dividend	J	T					
98. Madison Square Garden Co (MSG) (X)		None	J	T					
99. Vail Resorts Inc (MTN) (X)	A	Dividend	J	T					
100. Pernod Ricard (PDRDF) (X)	A	Dividend	J	T					
101. Altria Group Inc (MO)		None	J	T	Buy	11/02/18	J		
102. LVMH Moet Hennessy Louis (LVMUY) (X)	A	Dividend	J	T					

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103. Walmart Inc (WMT)		None	J	T	Buy	11/02/18	J		
104. Pioneer Nat Res (PXD)	A	Dividend	J	T					
105. Bank of America Corp (BAC)	A	Dividend	J	T					
106. Berkshire Hathaway Inc (BRKB)		None	J	T					
107. CBOE Global Markets Inc (CBOE)	A	Dividend	J	T					
108. Intercontinental Exchange Inc (ICE)	A	Dividend	J	T					
109. Keycorp New (KEY)	A	Dividend	J	T					
110. Moody's Corp (MCO) (X)	A	Dividend	J	T					
111. Regions Financial Corp (RF)	A	Dividend	J	T					
112. Biogen Inc (BIIB) (X)		None	J	T					
113. Bristol Myers Squibb Co (BMY) (X)	A	Dividend			Sold	11/02/18	J		
114. Celgene Corp (CELG) (X)		None			Sold	11/02/18	J		
115. Intuitive Surgical Inc (ISRG)		None	J	T	Buy	10/01/18	J		
116. Merck & Co Inc (MRK)		None	J	T	Buy	11/02/18	J		
117. Pfizer Inc (PFE)	A	Dividend	J	T	Sold (part)	10/01/18	J	A	
118. Unitedhealth Group Inc (UNH)	A	Dividend	J	T					
119. Costar Group Inc (CSGP)		None	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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Sweeney II, James R.

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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. Huntington Ingalls Inds Inc (HII)	A	Dividend	J	T					
121. Northrop Grumman Corp (NOC)	A	Dividend	J	T					
122. Southwest Airlines Co (LUV)	A	Dividend	J	T					
123. Stanley Black & Decker Inc (SWK) (X)	A	Dividend	J	T					
124. Union Pacific Corp (UNP) (X)	A	Dividend	J	T	Sold (part)	11/02/18	J	A	
125. Adobe Systems Inc (ADBE)		None	J	T	Sold (part)	10/01/18	J	C	
126. Apple Inc (AAPL)	A	Dividend	J	T					
127. Intel Corp (INTC) (X)	A	Dividend	J	T	Buy (add'l)	11/05/18	J		
128. Mastercard Inc Cl A (MA)	A	Dividend	J	T					
129. Microsoft Corp (MSFT)	A	Dividend	K	T					
130. Paypal Holdings Inc-W/I (PYPL)		None	J	T					
131. Texas Instruments Inc (TXN)		None	J	T	Buy	11/02/18	J		
132. Zebra Technologies Corp Class A (ZBRA) (X)		None	J	T					
133. Alphabet Inc/CA-CL A (GOOGL)		None	J	T					
134. Comcast Corp (CMCSA) (X)	A	Dividend	J	T					
135. Disney Walt Co (DIS) (X)	A	Dividend	J	T					
136. Electronic Art (EA)		None	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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Name of Person Reporting

Sweeney II, James R.

Date of Report

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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. Sirius XM Holdings (SIRI) (X)	A	Dividend	J	T					
138. Royce Value Trust Inc (RVT) (X)	A	Dividend			Sold	11/02/18	J		
139. Account #7 (H)									
140. Stifel Insured Bank Account (cash)	A	Interest	J	T					
141. INDIANA ST FIN AUTH REV RFDG EDL FAC PURDUE RESH FNDTN (4550575W5)	A	Interest	J	T					
142. INDIANAPOLIS IN LOC PUB IMPT BD BK RFDG SER E REV AMBAC (45528SYH3)	A	Interest	J	T					
143. FISHERS IN REDEV DIST EXIT 10 INFRA SER A B/E OID (33803KBB0)	A	Interest	J	T					
144. INDIANA ST FIN AUTH REV RFDG FACS SER C B/E Cpn 5.000% (45506DBD6)	A	Interest	K	T					
145. HAMILTON STHESTRN IN CONS SCH BLDG CORP REV RFDG 1ST MTG (40785EJ49)	B	Interest	K	T					
146. CARLISLE SULLIVAN IN SCH BLDG CORP RFDG 1ST MTG REV (142523BX6) (X)	A	Interest	K	T					
147. FRANKLIN TWP IN MULT SCH BLDG CORP RFDG B/E 1ST MTG SER A (355137BU3)	A	Interest	J	T					
148. CROWN POINT IN MLTI SCH BLDG CORP REV RFDG 1ST MTG B/E (228485KN7)	B	Interest	K	T					
149. IVY TECH CMNTY CLLG IN RFDG STDNT FEE SER O REV B/E (46603ACS8)	A	Interest	K	T					
150. GREENFIELD IN SEW WKS REV B/ E PTC Cpn 3.000% Due 01/01/26 (395028DP5)	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
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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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)
151. HAMILTON STHESTRN IN B/E CONS SCH BLDG CORP RFDG 1ST MTG (40785EWZ5)	B	Interest	K	T					
152. PLAINFIELD IN CMNTY HIGH SCH BLDG CORP RFDG 1ST (726286EM5) (X)		None	K	T					
153. DECATUR TWP MARION CNTY IN MULT SCH BLDG CORP 1ST (243360EZ3) (X)		None	K	T					
154. SOUTH ADAMS IN SCH BLDG CORP 1ST MTG RFDG & IMP (836193DB5) (X)		None	K	T					
155. Account #8 (H)									
156. Stifel Insured Bank (cash)	A	Interest	L	T					
157. CIT BANK SALT LAKE CITY UT CD FDIC #35575 Cpn 4.000% (17284P2S3)	A	Interest	J	T					
158. BANK OF INTERNET USA SAN DIEGO CA CD FDIC #35546 Cpn 3.600 (06279LAT1)	A	Interest	J	T					
159. CAPITAL ONE BANK USA NA GLEN ALLEN VA CD FDIC #33954 (140420TX8)	A	Interest	J	T					
160. BMW BANK OF NORTH AMER SALT LAKE CITY UT CD FDIC #35141 (05580ADF8)	A	Interest	K	T					
161. BMW BANK OF NORTH AMER SALT LAKE CITY UT CD FDIC #35141 (05580ADU5)	A	Interest	J	T					
162. GOLDMAN SACHS BANK USA NEW YORK NY CD FDIC #33124 (381426PY5)	A	Interest			Redeemed	10/15/18	J		
163. SALLIE MAE BANK SALT LAKE CITY UT CD FDIC #58177 Cpn (795450VE2)	A	Interest			Redeemed	11/26/18	J		
164. Account #9 (H)									
165. Schwab Cash & Money Market Account (cash)	A	Interest	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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Sweeney II, James R.

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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)
166. ALPS ALERIAN MLP (AMLP) (X)		None			Sold	09/26/18	J		
167. COHEN & STEERS CLOSED EN (FOF)	A	Dividend	J	T					
168. CONOCOPHILLIPS (COP) (X)	A	Dividend			Sold	12/07/18	J		
169. POWERSHARES PREFERRED (PGX)	A	Dividend			Sold	09/26/18	J		
170. PROSHARES ULTRA QQQ ETF (QLD) (X)		None			Sold	12/07/18	J		
171. PROSHARES TR/PROSHARES ULTRASHORT 2 (TBT) (X)		None			Buy (add'l)	10/04/18	J		
172.					Sold	10/18/18	J	A	
173.					Buy	11/07/18	J		
174.					Sold	11/12/18	J	A	
175.					Buy	12/07/18	J		
176.					Sold	12/20/18	J		
177. TRANSCANADA CORP (TRP) (X)		None			Sold	09/27/18	J		
178. VANGUARD EXTENDED DURATION ETF (EDV) (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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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

Sweeney II, James R.

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07/31/2019

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

Part VII, line 8: Valuation is based upon the original purchase price.

This report has been restructured by account with assets arranged in brokerage order. Where necessary for clarity or to address name changes, the corresponding line numbers from the prior report are included in Column D(5) for ease of review. This is not indicative of reportable transactions.

Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value, per page 42 of the filing instructions.

Part VII, lines 15, 20, 22, 26, 30, 34, 35, 40-42, 45, 46, 49, 56, 60, 62, 75, 77-86, 88, 96, 100, 109, 111, 112, 115, 123-136, 138-146, 148, and 149 of the prior report are not reportable in this cycle; there are not corresponding reportable transactions.

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Name of Person Reporting

Sweeney II, James R.

Date of Report

07/31/2019

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 R. Sweeney II**

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