

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2009

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) Schwab, Arthur J.	2. Court or Organization Western District of Pennsylvan	3. Date of Report 05/12/2010
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 01/01/2009 to 12/31/2009
7. Chambers or Office Address U.S. Courthouse 700 Grant Street, Suite 7280 Pittsburgh, PA 15219	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	

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. Sign on last page.

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)

POSITION	NAME OF ORGANIZATION/ENTITY
1. Part-time Professor (evening course)	Grove City College
2. Secretary and member of the Board of Trustees (non-compensated)	Grove City College
3. Faculty member (non-compensated)	University of Virginia School of Law - Trial Advocacy Program
4.	
5.	

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

☐ NONE (No reportable agreements.)

DATE	PARTIES AND TERMS
1. 07/11/91	Single life annuity through a life insurance company through prior employer, Reed Smith LLP beginning monthly on 01/01/2012.
2. 2009	Grove City College - Part-time Professor - evening course- intellectual property law (compensation is within the applicable judicial guidelines)
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. 2009	Grove City College - teaching	\$12,500
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.	
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. University of Virginia, School of Law	01/02/09 to 01/05/09	Charlottesville, Virginia	Faculty	mileage, tolls (27th Annual National Trial Advocacy College)
2. Allegheny County Bar Association	06/18/09 to 06/19/09	Champion, Pennsylvania	(1) Presentation to ADR Section; and (2) Presentation to Federal Court Section	mileage, tolls
3. Court	09/23/09 to 09/25/09	Cooksburg, Pennsylvania	District Court Meeting	mileage, meals, lodging, tips
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 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 I (A-H)	(5) Identity of buyer/seller (if private transaction)
1. ROLLOVER IRA NO. 1:	E	Dividend	O	T					
2. -SPDR Trust Unit Ser 1 (S&P 500 Index Fund)					Sold	03/11/09	L		
3. -SPDR Trust Unit Ser 1 (S&P 500 Index Fund)					Sold	03/12/09	L		
4. -Fidelity Gov't Money Market									
5. -Riverfront Capital Fund (A) See VIII					Distributed	03/23/09	K		
6. -Baron Small Cap Fund					Sold (part)	02/04/09	J		
7. -Artisan Small Cap Value					Buy	02/04/09	J		
8. -Calamos Growth Fund									
9. -T Rowe Price Mid Cap Value									
10. -Harbor International Fund					Sold (part)	03/10/09	K		
11. -Dodge & Cox Int'l Fund					Sold (part)	03/10/09	J		
12. -Artisan International Fund					Sold (part)	03/10/09	J		
13. -MFS Core Growth Fund					Sold	12/04/09	K		
14. -(a) iShares TR MSCI Emerging Mkts Index Fund					Sold (part)	02/06/09	J		
15. -(b) iShares TR MSCI Emerging Mkts Index Fund					Buy	06/15/09	J		
16. -(c) iShares TR MSCI Emerging Mkts Index Fund					Buy	12/08/09	J		
17. -iShares US Treasury					Buy	02/09/09	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 \$5,000,000	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)
18. -MFS Value Fund					Sold	12/08/09	K		
19. -JP Morgan US Large Cap					Sold (part)	03/09/09	L		
20. -Ivy Gbl Nat Resources FD					Buy	03/10/09	J		
21. -Pimco Funds Total Return					Buy	06/11/09	J		
22. -BellSouth Comp. Note					Buy	03/27/09	K		
23. -Verizon Comm Inc. Note					Buy	05/13/09	K		
24. -JP Morgan Chase Note					Buy	03/27/09	K		
25. -Morgan Stanley Note					Buy	03/30/09	K		
26. -Goldman Sachs Note					Buy	05/13/09	K		
27. -Western Union Note					Buy	04/02/09	J		
28. -AT&T					Buy	12/08/09	J		
29. -BP PLC					Buy	12/08/09	J		
30. -Bristol Myers Squibb					Buy	12/08/09	J		
31. -Chevron Comp					Buy	12/08/09	J		
32. -Coca Cola					Buy	12/08/09	J		
33. -ConocoPhillips					Buy	12/08/09	J		
34. -Consolidated Edison					Buy	12/08/09	J		

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2. Value Codes (See Columns C1 and D3)					
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value				

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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. -Dominion Resources					Buy	12/08/09	J		
36. -Emerson Electric					Buy	12/08/09	J		
37. - (a) Exxon Mobil					Buy	12/08/09	J		
38. - (b) Exxon Mobil					Buy	12/30/09	J		
39. -Healthcare REIT Inc.					Buy	12/08/09	J		
40. -Home Depot Inc.					Buy	12/08/09	J		
41. -Intel Corp					Buy	12/08/09	J		
42. -International Business Machs Corp.					Buy	12/08/09	J		
43. -Johnson & Johnson					Buy	12/08/09	J		
44. -Johnson Controls Inc.					Buy	12/08/09	J		
45. -Kimberly-Clark Corp.					Buy	12/08/09	J		
46. -Lilly Eli & Co.					Buy	12/08/09	J		
47. -Linn Energy LLC Units					Buy	12/08/09	J		
48. -McDonalds Corp.					Buy	12/08/09	J		
49. -McKesson Corporation					Buy	12/08/09	J		
50. -Medco Health Solutions Inc.					Buy	12/08/09	J		
51. -Microsoft Corp.					Buy	12/08/09	J		

1. Income/Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	C = \$2,501 - \$5,000 I11 = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	
3. Value Method Codes (See Column C2)					

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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
52. -NYSE Euronext					Buy	03/12/09	J		
53. -Parker Hannifin Corp.					Buy	03/12/09	J		
54. -Pepsico Inc.					Buy	12/08/09	J		
55. -Price T Rower Group Inc.					Buy	12/08/09	J		
56. -Procter & Gamble Co.					Buy	12/08/09	J		
57. -Qualcomm Inc.					Buy	12/08/09	J		
58. -Rio Tinto PLC					Buy	12/08/09	J		
59. -United Technologies Corp.					Buy	12/08/09	J		
60. -Verizon Communications Inc.					Buy	12/08/09	J		
61. -Wal-Mart Stores Inc.					Buy	12/08/09	J		
62. -Waste Management Inc.					Buy	12/08/09	J		
63. -Wisconsin Energy Cop.					Buy	12/08/09	J		
64. -JP Morgan Chase & Co.					Buy	12/30/09	J		
65. RIVERFRONT CAPITAL FUND (A) See VIII	F	Distribution	K	U					
66. RIVERFRONT CAPITAL FUND (B) See VIII	G	Distribution	K	U					

1. Income Gain Codes:
(See Columns B1 and D4)

A = \$1,000 or less
F = \$50,001 - \$100,000

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

3. Value Method Codes
(See Column C2)

Q = Appraisal
U = Book Value

B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000
K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000

R = Cust (Real Estate Only)
V = Other

C = \$2,501 - \$5,000
H1 = \$1,000,001 - \$5,000,000
L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000
P4 = More than \$50,000,000

S = Assessment
W = Estimated

D = \$5,001 - \$15,000
H2 = More than \$5,000,000
M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000

T = Cash Market

E = \$15,001 - \$50,000

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

PART 2: Parties and Terms re: Grove City College, cntd . . . (started part-time teaching on 01/21/02).

PART 7: Investments and Trusts, cntd . . . (Limited Partnership with investment in CENTRIA) through Riverfront Capital Fund. Two different investments - (a) held within IRA until distributed around 03/23/2009, and (b) always held outside IRA. Both (a) and (b) are now held (as of 03/23/2009) as two stand-alone investments. I have no management responsibilities therein -- solely passive investment.

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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

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544