

FINANCIAL DISCLOSURE REPORT FINAL FILING

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) Cavaneau, Jerry W.	2. Court or Organization District Court, ED Arkansas	3. Date of Report 03/04/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Ret.U.S.Magistrate Judge, Recall Status ended 01/13/2017	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☐ Annual ☒ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 01/13/2017
7. Chambers or Office Address R.S. Arnold U.S. Courthouse 500 W. Capitol Little Rock, AR 72201-3325		
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. Co-Trustee	Trust A (See note, Part VIII)
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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE 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.)*SOURCEDATESLOCATIONPURPOSEITEMS 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.)*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. ROCKEFELLER CTR PROPERTIES, INC Common.		None	J	T					
2. CENTENNIAL BANK ACCOUNTS	A	Interest	K	T					
3. Unimproved acreage, White Co, AR, purch 10/10/78, \$20,000	B	Royalty	K	R					See note, Part VIII
4. (H) BROKERAGE ACCOUNT D									See note, Part VIII
5. - (H) TRUST A									See note, Part VIII
6. -FIDELITY MONEY MARKET	A	Interest	J	T					
7. -ALGER HEALTH SCIENCES FUND (AHSAX)	A	Dividend	J	T					
8. -COLUMBIA ENERGY & NAT RES FUND (UMCSX)	A	Dividend	J	T					
9. -DAVIS FINANCIAL FUND (RPFGX)	A	Dividend	J	T					
10. SPDR Dow Jones Industrial Avg (DIA) ETF	C	Dividend	M	T					
11. -Prudential GLOBAL R/E FUND (PURAX)	A	Dividend	J	T					
12. -EATON VANCE WLDWD HEALTH FUND (ECHSX)	A	Dividend	J	T					
13. -FIDELITY LATIN AMERICA FUND (FLATX)	A	Dividend	J	T					
14. -FIDELITY SELECT ENERGY FUND (FSENX)	A	Dividend	J	T					
15. -ICON HEALTHCARE FUND (ICHCX)	A	Dividend	J	T					
16. -ISHARES COHEN & STEERS REALTY ETF (ICF)	B	Dividend	K	T					
17. -ISHARES DJ US HEALTHCARE ETF (IYH)	A	Dividend	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 \$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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☐ 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 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

18. -ISHARES KLD SEL SOC INDEX ETF (KLD)	B	Dividend	M	T					
19. -ISHARES S&P 500 INDEX ETF (IVV)	A	Dividend	K	T					
20. -ISHARES S&P GLOBAL ENERGY ETF (IXC)	A	Dividend	J	T					
21. -ISHARES S&P GLOBAL HEALTHCARE ETF (IXJ)	A	Dividend	K	T					
22. -ISHARES S&P MIDCAP 400 ETF (IJH)	B	Dividend	M	T					
23. -ISHARES S&P NATURAL RESOURCES ETF (IGE)	A	Dividend	K	T					
24. -ISHARES TR DJ US FINANCIAL ETF (IYG)	A	Dividend	K	T					
25. -T ROWE PRICE EMERG EUROPE FUND (TREM)	A	Dividend	J	T					
26. -FORD HOLDINGS INC. DEBENTURE Corp Bond	A	Interest	J	T					
27. -SUNAMERICA INC. MEDIUM TERM NOTES Corp Bond	A	Interest	J	T					
28. -GNMA II GUARANTEED PASS THRU CERTIFICATE POOL # 2563	A	Interest	J	T					
29. -GNMA II GUARANTEED PASS THRU CERTIFICATE POOL #3053	A	Interest	J	T					
30. -REDWOOD TRUST INC. (RWT) Common	A	Dividend	J	T					
31. -BUCKEYE PARTNERS LP (BLP) Common	A	Dividend	J	T					
32. -HEALTH CARE PROPERTY INVS. INC. (HCP) Common	A	Dividend	J	T					
33. -CALVERT GLOBAL ALTERNATIVE ENERGY FUND	A	Dividend	J	T					
34. -CALVERT GLOBAL WATER FUND		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 = \$5,001 - \$15,000 H2 = More than \$15,000	D = \$5,001 - \$15,000 L = \$50,001 - \$100,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000 N = \$250,001 - \$500,000 O = \$500,001 - \$1,000,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less Q = Appraisal U = Book Value	K = \$15,001 - \$50,000 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)
35. -NEW ALTERNATIVES FUND	A	Dividend	J	T					
36. -KLH 400 SOCIAL INDEX (DSI)	A	Dividend	K	T					
37. ISHARES DOW JONES US FINANCIAL SECTOR (IYF)	A	Dividend	J	T					
38. POWERSHARES WATER RESOURCES (PHO)	A	Dividend	J	T					
39. POWERSHARES WINDERHILL CLEAN ENERGY (PBW)	A	Dividend	J	T					
40. LAZARD EMERGING MARKETS	A	Dividend	K	T					
41. ISHARES TR LEHMAN AGENCY BOND ETF (AGZ)	B	Dividend	M	T	Buy (add'l)	12/28/16	J		
42. POWERSHARES PREFERRED (PGX)	A	Dividend	J	T					
43. Lehman Brthrs Hldgr Bond 0% 12/30/16	A	Distribution	J	T					
44. ISHARES INTERMEDIATE CRED BOND (CIU)	B	Dividend	L	T					
45. POWERSHARES ETF S&P EMRG MKT LOW VOL (EELV)	A	Dividend	J	T					
46. ISHARES CORE MSCI EMERGING MARKETS (IEMG)	A	Dividend	J	T					
47. QUALITY CARE PROPERTIES INC (QCP)	A	Dividend	J	T	Spinoff (from line 32)	11/04/16	J		
48. ISHARES TR IBOXX (HYG)		None	J	T	Buy	12/28/16	J		
49. ISHARES 10+ CREDIT (CLY)		None	J	T	Buy	12/28/16	J		
50. - (H) FIDELITY SELF DIRECTED IRA									See note, Part VIII
51. -Fidelity Money Market	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 \$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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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				
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52. -ABERDEEN GLOBAL EQUITY FUND (GLFAX)	A	Dividend	J	T					See Note, Part VIII
53. -ALGER HEALTH SCIENCES FUND (AHSX)		None	J	T					
54. -COLUMBIA ENERGY & NAT RES FUND (UMESX)	A	Dividend	J	T					
55. -DAVIS FINANCIAL FUND (RPRGX)	A	Dividend	J	T					
56. -SPDR Dow Jones Industrial Avg TRUST ETF (DIA)	C	Dividend	M	T	Sold (part)	11/17/16	L	E	
57. -Prudential GLOBAL R/E FUND (PURAX)	A	Dividend	J	T					
58. -FIDELITY HIGH INCOME FUND (SPHIX)	A	Dividend	J	T					
59. -FIDELITY LATIN AMERICA FUND (FLATX)	A	Dividend	J	T					
60. -FIDELITY SELECT ENERGY FUND (FSENX)	A	Dividend	J	T					
61. -ICON HEALTH CARE FUND (IHCX)	A	Dividend	J	T					
62. -ISHARES DJ US FINANCIAL ETF (IYF)	A	Dividend	J	T					
63. -ISHARES KLD 400 SOCIAL INDEX ETF (DSI)	A	Dividend	K	T	Sold (part)	11/17/16	K	D	
64. -ISHARES S&P 500 INDEX ETF (IVV)	A	Dividend	K	T					
65. -ISHARES S&P MIDCAP 400 ETF (IJH)	A	Dividend	J	T	Sold (part)	11/17/16	K	D	
66. -WELLS FARGO LARGE CO VALUE (WLCAX)	A	Dividend	J	T					
67. -CALVERT GLOBAL ALTERNATIVE FUND	A	Dividend	J	T					
68. -CALVERT GLOBAL WATER FUND		None	J	T					

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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	
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69. -LAZARD EMERGING MARKETS FUND	A	Dividend	J	T					
70. -Fidelity Government Income Fund - (FGOVX)	A	Dividend	J	T					
71. iShares Dow Jones US Financial Sector ETF (IYG)	A	Dividend	K	T					
72. Powershares FTSE RAFI Emerging Mkts ETF (PXH)	A	Dividend	J	T					
73. ISHARES DOW JONES US REAL ESTATE ETF (IYR)	B	Dividend	K	T					
74. POWERSHARES FINANCIAL PREFERRED ETF (PGF)	A	Dividend	J	T					
75. MICROSOFT 2.5% BOND	A	Interest			Matured	02/18/16	K		
76. ISHARES INTERMEDIATE CREDIT BOND (CIU)	B	Dividend	L	T					
77. GOLDMAN SACHS 3.75% 02/15/2017	A	Interest	K	T					
78. SCHWAB STRATEGIC EMERGING MARKETS (SCHE)	A	Dividend	J	T					
79. SPDR BARCLAYS SHORT TERM (SCPBY)	A	Dividend	J	T					
80. VIRGINIA ELEC & POWER 1.2% 01/15/2018	A	Interest	K	T					
81. CLAYMORE GUGGENHEIM BULLETS 2019 (BSCJ)	A	Dividend	K	T	Buy	11/23/16	K		
82. ISHARES CORP EX-FINANCIALS 2018 (IBCC)	A	Int./Div.	K	T	Buy	11/23/16	K		
83. ISHARES 1-3 YR CREDIT (CSJ)	A	Int./Div.	K	T	Buy	11/23/16	K		
84. ISHARES CORP EX FINANCIAL 2023 (IBCE)	A	Int./Div.	K	T	Buy	11/23/16	K		
85. - (H) Fidelity self directed IRA									See note, Part VIII

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86. -FIDELITY MONEY MKT	A	Dividend	J	T					
87. -SPDR Dow Jones Industrial Avg TRUST ETF (DIA)	A	Dividend	K	T	Sold (part)	02/10/16	J	A	
88. -ISHARES KLD SELECT SOCIAL ETF (KLD)	A	Dividend	K	T					

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

Part I. Line 1. This is a joint revocable trust created April 18, 2008. All assets of the trust are individually included in Part VII, listed under the header "TRUST A."

Part VII. Line 3. Unimproved real property located in White County, Arkansas. Fee simple. Purchase date October 10, 1978. Purchase price \$20,000. There were no transactions during 2014 to be reported under column D(1). The sole activity re this asset was receipt of gas royalty income.

Part VII. Line 4. This is a header. This brokerage holds the reportable assets in Trust A (Line 5), the self-directed IRA (Line 50) and a second self-directed IRA (Line 85). The values and income for each of these entities is reported for each asset rather than in the aggregate.

Part VII. Line 5. Revocable Joint trust created April 18, 2008. This is a header (or subheader). The assets listed in lines 6 through 49 are the reportable assets of the trust. The value and income is reported for each individual asset rather than in the aggregate.

Part VII. Line 50. This is a subheader. The reportable assets included in this IRA are listed in lines 51 through 84. The values and income are listed for each individual asset rather than in the aggregate.

Part VII Line 52. In 2013, the name of this equity was changed to Aberdeen Global Equity Fund (GLFAX). This year, there was income, but no transaction. When I ran the audit, it prompted me to complete Column D(1). However, there was no transaction. Just income.

Part VII Line 85. This is a subheader. The reportable assets included in this IRA are listed in lines 86 through 88. The values and income are listed for each individual asset rather than in the aggregate.

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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/ Jerry W. Cavaneau

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