

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) MUSGRAVE, R. KENTON	2. Court or Organization U.S. COURT OF INT'L TRADE	3. Date of Report 05/31/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) SENIOR 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 ONE FEDERAL PLAZA NEW YORK NEW YORK 10278-0001		
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.	TRUSTEE EMERITUS	THE DIAN FOSSLEY GORILLA FUND
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.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 9

Name of Person Reporting

MUSGRAVE, R. KENTON

Date of Report

05/31/2019

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.

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.

FINANCIAL DISCLOSURE REPORT

Page 3 of 9

Name of Person Reporting

MUSGRAVE, R. KENTON

Date of Report

05/31/2019

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.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 9

Name of Person Reporting

MUSGRAVE, R. KENTON

Date of Report

05/31/2019

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. DUKE ENERGY CORP	D	Dividend	M	T					
2. AT&T	B	Dividend	K	T					
3. SOUTHERN CO	B	Dividend	K	T					
4. YAMANA GOLD, INC.	A	Dividend	J	T					
5. EXXON MOBILE CORP	A	Dividend	J	T					
6. BANK OF AMERICA MONEY MARKET CHECK INTEREST CHECKING (X)	A	Interest	J	T					
7. AEGON NV	A	Dividend	J	T					
8. MARATHON PETROLEUM CORP COM	A	Dividend	K	T					
9. VERIZON COMM COM	A	Dividend	K	T					
10. AMERICAN WRT WORKS CO	A	Dividend	K	T					
11. AMN ELECTRIC POWER	A	Dividend	K	T					
12. MARATHON OIL CORP	A	Dividend	J	T					
13. KINDER MORGAN ENERGY PARTNERS	B	Dividend	L	T					
14. BANK SWEEP	A	Interest	J	T					
15. AMG FUNDS III		None			Sold	05/03/18	K		
16. INVESCO GLOBAL REAL		None			Sold	05/03/18	J	A	
17. AMERICAN CENTY INVT TR		None			Sold	05/03/18	K		

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 = \$250,000,001 - \$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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 9

Name of Person Reporting

MUSGRAVE, R. KENTON

Date of Report

05/31/2019

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. COHEN & STEERS		None			Sold	05/03/18	J		
19. DODGE & COX STK FD	A	Dividend	J	T	Buy	03/28/18	J		
20.					Sold (part)	05/03/18	J	A	
21. FIDELITY ADVISOR	A	Dividend			Sold	05/03/18	J		
22. GOLDMAN SACH TR	A	Dividend	J	T					
23. HARTFORD MUTL FDS	A	Dividend	J	T					
24. AMERICAN FUNDS	A	Dividend			Sold	05/03/18	K	A	
25. MAINSTAY MACKAY	A	Dividend			Sold	05/03/18	J		
26. MFS SER TR X	A	Dividend	J	T					
27. METROPOLITAN WEST	A	Dividend			Sold	05/03/18	K		
28. CHAMPLAIN FUNDS SMALL CO FUND INSTL	A	Dividend			Sold	03/21/18	J		
29. WELLS FARGO FDS TR SMALL CO GROW CL INS	A	Dividend			Sold	05/03/18	J	A	
30. WELLS FARGO EMERGING MARKETS EQ FD	A	Dividend			Sold	05/03/18	J	A	
31. AMERICAN FUNDS EUROPACIFIC GROWTH FD	A	Dividend			Sold	03/21/18	J	A	
32. OPPENHEIMER INTL FD CLASS Y	A	Dividend			Sold	05/03/18	J		
33. PIMCO FDS PAC INVT MGMT SFR COMM REAL RET	A	Dividend			Sold	05/03/18	J	A	
34. PRINCIPAL FDS INC SMALL MIDCAP DIV INC FD	A	Dividend			Sold	05/03/18	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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 9

Name of Person Reporting

MUSGRAVE, R. KENTON

Date of Report

05/31/2019

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)

35. T ROWE PRICE BLUE CHIP GROW FD	A	Dividend			Sold	05/03/18	K	C	
36. THORNBURG INVT TR INVT INC BULR FD	A	Dividend			Sold	05/03/18	J	A	
37. WELLS FARGO FDS TR SPECIAL MID CAP VALUE FD	A	Dividend			Sold	05/03/18	J		
38. AMERICAN CENT GROWTH CLASS	B	Dividend	K	T	Buy	05/03/18	K		
39.					Sold (part)	09/17/18	J	A	
40. BARON SMALL CAP	B	Dividend	J	T	Buy	05/03/18	J		
41.					Sold (part)	09/17/18	J	A	
42. FIRST EAGLE OVERSEAS		None			Buy	05/03/18	J		
43.					Sold	08/15/18	J		
44. HARBOR CAP APPREC	B	Dividend	J	T	Buy	05/03/18	K		
45.					Sold (part)	09/17/18	J	A	
46. MFS VALUE	A	Dividend	K	T	Buy	05/03/18	K		
47. OAKMARK EQ		None			Buy	05/03/18	K		
48.					Sold	11/05/18	K	A	
49. ABERDEEN FDS	A	Dividend	J	T	Buy	05/03/18	J		
50. DWS ENHANCED COMMODITY	A	Dividend	J	T	Buy	05/03/18	J		
51. DELAWARE GROUP EQ	A	Dividend	J	T	Buy	11/05/18	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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 9

Name of Person Reporting

MUSGRAVE, R. KENTON

Date of Report

05/31/2019

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)
52. EATON VANCE SER II	A	Dividend	J	T	Buy	05/03/18	J		
53. JP MORGAN TR II	A	Dividend	K	T	Buy	05/03/18	K		
54. PRINCIPAL GLOBAL	A	Dividend	J	T	Buy	05/03/18	J		
55. T ROWE PRICE REAL EST	A	Dividend	J	T	Buy	05/03/18	J		
56. T ROWE PRICE INT FED	A	Dividend	J	T	Buy	08/15/18	J		
57. VIRTUS FUNDS	B	Dividend	J	T	Buy	05/03/18	J		
58. VIRTUS ASSET TR	A	Dividend	J	T	Buy	05/03/18	J		
59. VICTORY SYCAMORE	B	Dividend	J	T	Buy	05/03/18	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	

FINANCIAL DISCLOSURE REPORT

Page 8 of 9

Name of Person Reporting

MUSGRAVE, R. KENTON

Date of Report

05/31/2019

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

FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

MUSGRAVE, R. KENTON

Date of Report

05/31/2019

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/ R. KENTON MUSGRAVE**

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