

**FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2019**

*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) Gilman, Ronald L.	2. Court or Organization U. S. Court of Appeals, Sixth Circuit	3. Date of Report 03/25/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U. S. Circuit Judge (Senior Status)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
7. Chambers or Office Address 167 North Main Street, Suite 1176 Memphis, TN 38103		
IMPORTANT NOTES: <i>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>		

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

☒ NONE *(No reportable positions.)*

POSITION

NAME OF ORGANIZATION/ENTITY

1.	
2.	
3.	
4.	
5.	

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

☒ NONE *(No reportable agreements.)*

DATE

PARTIES AND TERMS

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

[X] 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.)

[X] 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.)

[X] 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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Name of Person Reporting

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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)	(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)
1. Gulf Housing Ltd. Partnership (5 apt. projects in Ala. and Miss.)	A	Interest	J	W					
2.	C	Rent							
3. FedTrust Federal Credit Union (cash-equivalent)	A	Interest	K	T					
4. Schwab Cash & Bank Sweep (cash-equivalent)	A	Interest	K	T					
5. Barclays Bank iPath Pure Beta		None	L	T					
6. Barclays ETN Shiller CAPE		None			Sold	02/08/19	L		
7. Blackrock Strategic Income Opportunities Portfolio	A	Dividend			Sold	06/28/19	K	A	
8.			K	T	Buy	12/10/19	K		
9. Charles Schwab U.S. REIT	C	Dividend	L	T	Sold (part)	06/28/19	J	B	
10. DFA Emerging Markets Core Equity Portfolio	C	Dividend	M	T	Sold (part)	06/28/19	J	B	
11. DFA International Core Equity	D	Dividend	N	T					
12. DFA U.S. Small Cap Value	C	Dividend	M	T					
13. Doubleline Shiller Enhanced CAPE	C	Dividend	L	T	Buy	02/08/19	L		
14.					Sold (part)	06/28/19	K	B	
15. Fidelity Money Market Premium Class	B	Dividend	L	T	Buy	04/16/19	M		
16.					Sold (part)	06/03/19	M		
17.					Buy (add'l)	07/02/19	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 - \$500,000,000	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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	(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)
18.					Buy (add'l)	08/19/19	J		
19.					Buy (add'l)	08/21/19	J		
20. Fidelity Large Cap Enhanced Index		None			Sold	04/16/19	L	D	
21. Fidelity Mid Cap Enhanced Index		None			Sold	04/16/19	L	C	
22. Fidelity Select IT Services Portfolio	C	Dividend	M	T	Buy	06/03/19	M		
23. Fidelity Select Software & IT Services	D	Dividend			Buy (add'l)	01/03/19	K		
24.					Sold	04/16/19	L	D	
25. Global X FDS MSCI China Financials Fund	A	Dividend			Buy	02/19/19	J		
26.					Sold	08/19/19	J		
27. Goldman Sachs Note - S&P 500 due 5/23/19		None			Matured	05/23/19	M	D	
28. Goldman Sachs Growth Equity Linked Note due 7/9/20		None	M	T	Buy	06/03/19	M		
29. Invesco S&P 500 Quality	B	Dividend	M	T	Sold (part)	06/28/19	J	C	
30. iShares Edge MSCI Int'l Quality		None			Sold	06/12/19	J		
31. iShares S&P Midcap 400 Value	C	Dividend	M	T	Sold (part)	06/28/19	K	C	
32. iShares Tr. Russell 3000 Index	E	Dividend	P1	T	Sold (part)	06/28/19	K	E	
33.					Sold (part)	12/10/19	K	E	
34. JP Morgan Strategic Income Opportunity Port.	A	Dividend	J	T	Buy	12/10/19	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	
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	(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. JP Morgan Tax Aware Real Return	A	Dividend			Sold	06/28/19	K	A	
36. JP Morgan Ultra-Short Income	A	Dividend			Sold	06/28/19	J	A	
37. Matthews Asia Growth	A	Dividend	L	T	Buy	01/30/19	L		
38. Morgan Stanley Note Zero CPN due 2/25/20		None	L	T					
39. Pimco Enhanced Short Maturity Strategy	A	Dividend	K	T					
40. Stone Ridge Alt. Lending Risk Premium	B	Dividend	K	T					
41. Stone Ridge Reinsurance Risk Premium Interval	B	Dividend	M	T					
42. T Rowe Price Summit Int. Term Bond	D	Interest	M	T	Sold (part)	06/28/19	L	B	
43.					Buy (add'l)	12/10/19	J		
44. Thornburg Ltd. Term Muni	C	Interest	M	T	Sold (part)	06/28/19	K		
45. Tortoise MLP & Pipeline	A	Dividend			Sold	06/28/19	J		
46. Tortoise North American Pipeline	C	Dividend	L	T					
47. Vanguard FTSE Pacific		None			Sold	01/30/19	L		
48. Vanguard International Dividend	B	Dividend	L	T	Sold (part)	06/28/19	J	B	
49. Vanguard Ltd. Term Tax Exempt (Admiral Share)	B	Interest	L	T	Sold (part)	07/01/19	J		
50. Vanguard Real Estate	A	Dividend			Sold	06/28/19	J	A	
51.									

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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 \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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52. IRA #1 (H)									
53. - Schwab Cash & Bank Sweep (cash-equivalent)	A	Interest	J	T					
54. - Blackrock Strategic Income Opportunities Portfolio	B	Dividend	L	T	Sold (part)	03/11/19	J		
55. - DFA Int'l Core Equity	C	Dividend	M	T	Sold (part)	06/28/19	K	B	
56. - DFA Int'l Small Company Port.	C	Dividend	M	T					
57. - DFA U.S. Small Cap Value	C	Dividend	L	T	Sold (part)	12/10/19	K	C	
58. - JP Morgan Strategic Income Oppty.	B	Dividend	K	T	Sold (part)	06/28/19	J		
59. -JP Morgan Tax Aware Real Return	A	Dividend	K	T	Buy	06/28/19	K		
60. - Stone Ridge Alt. Lending Risk Premium	B	Dividend	K	T					
61.									
62. IRA #2 (H)									
63. -Schwab Cash & Bank Sweep (cash-equivalent)	A	Interest	J	T					
64. -DFA Int'l Small Company Portfolio	A	Dividend			Sold	12/10/19	J	A	
65. -Dodge & Cox Income Fund	A	Dividend	J	T	Buy	06/28/19	J		
66. Flexshares iBoxx 5-year Tips Index	A	Dividend			Sold	06/28/19	J	A	
67. -Goldman Sachs Equity linked Note due 5/23/19		None			Matured	05/23/19	K	B	
68. -Goldman Sachs Gr. Equity Linked Note due 7/9/20		None	K	T	Buy	06/03/19	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
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69. -JP Morgan Strategic Income Opportunity	A	Dividend	K	T					
70. -Matthews Asia Growth	A	Dividend	K	T					
71. - Stone Ridge Alt. Lending Risk Premium	C	Dividend	L	T					
72. -Stone Ridge Reinsurance Risk Premium Interval	A	Dividend	J	T					
73.									
74. College Savings Plan (529 account) for Grandchild #1 (H)									
75. - Fidelity/Delaware Money Market		None	M	T					
76.									
77. College Savings Plan (529 account) for Grandchild #2 (H)									
78. - Fidelity/Delaware Total Market Index Fund		None			Sold	04/16/19	M	F	
79. -Fidelity/Delaware Money Market		None	M	T	Buy	04/16/19	M		
80.									
81. College Savings Plan (529 account) for Grandchild #3 (H)									
82. - Fidelity/Delaware Total Market Index Fund		None	K	T	Sold (part)	04/17/19	M	E	
83. -Fidelity/Delaware Money Market		None	M	T	Buy	04/17/19	M		
84.									
85. College Savings Plan (529 account) for Grandchild #4 (H)									

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86. - Fidelity/Delaware Total Market Index Fund		None	K	T	Sold (part)	04/17/19	M	E	
87. -Fidelity/Delaware Money Market		None	M	T	Buy	04/17/19	M		

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

Part VII, Lines 74-87. I have shown "None" for "Income during reporting period" for these college savings plans (Sec. 529 accounts) because that information is not generated by Fidelity Investments due to the tax free nature of the accounts.

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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/ **Ronald L. Gilman**

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