

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) Hodges, Shiva V.	2. Court or Organization U.S. District Court	3. Date of Report 05/15/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States Magistrate Judge, Full-time	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 Matthew J. Perry, Jr. Federal Courthouse 901 Richland Street Columbia, South Carolina 29201		
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Board Member	Federal Magistrate Judges Association
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 11

Name of Person Reporting

Hodges, Shiva V.

Date of Report

05/15/2020

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.		
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. 2019	- Partnership share
2. 2019	- salary
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. Federal Magistrate Judges Association	March 25-27, 2019	Washington, D.C.	Attending board meeting	Lodging/Mileage
2. Federal Magistrate Judges Association	April 17-19, 2019	Miami, FL	Attending conference as representative of FMJA	Lodging/Airfare
3.				
4.				
5.				

Name of Person Reporting	Date of Report
Hodges, Shiva V.	05/15/2020

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 11

Name of Person Reporting

Hodges, Shiva V.

Date of Report

05/15/2020

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. 401K #1 (H)			N	T					
2. -American Beacon SIM High Yield Opptys CL Y	A	Dividend	J	T	Buy	07/31/19	J		
3. -Artisan Intl Value Advisor CL APDKX			J	T	Buy	07/31/19	J		
4. -Artisan Mid Cap Advisor CL					Buy	05/13/19	J		
5.					Sold	07/31/19	J		
6. -ASG Managed Futures Strategy CL Y	A	Dividend	J	T	Buy	05/13/19	J		
7. -ASG Dynamic Alloc CL Y	A	Dividend	J	T	Buy	05/13/19	J		
8. -ASG Tactical US Market CL Y	A	Dividend	K	T	Buy	05/13/19	J		
9. -Bond Fund of America CL F2	A	Dividend	J	T	Buy	05/13/19	J		
10. -Capital Income Builder CL F2	A	Dividend	J	T	Buy	05/13/19	J		
11. -Causeway Intl Value Instl CL					Buy	05/14/19	J		
12.					Sold	07/31/19	J		
13. -Clearbridge Small Cap CL I	A	Dividend	J	T	Buy	05/13/19	J		
14.					Sold (part)	09/18/19	J		
15. -Clearbridge Large Cap Growth CL I	A	Dividend	J	T	Buy	05/13/19	J		
16.					Buy (add'l)	09/18/19	J		
17. -Consumer Distretionary Select Sector Spdr ETF					Buy	05/13/19	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 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	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)					

FINANCIAL DISCLOSURE REPORT

Page 5 of 11

Name of Person Reporting

Hodges, Shiva V.

Date of Report

05/15/2020

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.					Sold	10/02/19	J		
19. -Credit Suisse Floating Rate High Income Instl CL					Buy	05/13/19	J		
20.					Sold (part)	07/31/19	J		
21.					Sold	09/18/19	J		
22. -Deam Small Cap Value					Buy	05/13/19	J		
23.					Sold	09/18/19	J		
24. -Delaware Diversified Income Instl CL	A	Dividend	J	T	Buy	05/13/19	J		
25. -Goldman Sachs Small Cap Growth Insights Investor CL	A	Dividend	J	T	Buy	05/13/19	J		
26. -Growth Fund of America CL F2	A	Dividend	J	T	Buy	05/13/19	J		
27. -Harbor Cap Apprec Instl CL	A	Dividend	J	T	Buy	05/13/19	J		
28.					Sold (part)	07/31/19	J		
29.					Sold (part)	09/18/19	J		
30. -Harding Loevner Emerging Markets Advisor CL	A	Dividend	J	T	Buy	05/13/19	J		
31.					Sold (part)	09/18/19	J		
32. -Intermediate Bond Fund of America CL F2	A	Dividend	J	T	Buy	05/13/19	J		
33. -Investment Company of America CL F2	A	Dividend	K	T	Buy	05/13/19	J		
34. -Ishares Iboxx \$ High Yield Corp Bond ETF	A	Dividend	J	T	Buy	05/13/19	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	
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 11

Name of Person Reporting

Hodges, Shiva V.

Date of Report

05/15/2020

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. -Ishares US Real Estate ETF IYR	A	Dividend	J	T	Buy	07/02/19	J		
36.					Sold	08/02/19	J		
37.					Buy	09/04/19	J		
38. -Janus Henderson Enterprise CL T	A	Dividend	J	T	Buy	07/31/19	J		
39. -John Hancock Disciplines Value CL I	A	Dividend	J	T	Buy	05/13/19	J		
40. -John Hancock Disciplines Val Mid Cap CL I	A	Dividend	J	T	Buy	05/13/19	J		
41.					Buy (add'l)	09/18/19	J		
42. -Loomis Sayles Growth CL Y	A	Dividend	J	T	Buy	05/13/19	J		
43. -Manigate MLP CL I					Buy	05/13/19	J		
44.					Sold	09/18/19	J		
45. -Metropolitan West Total Return Bond CL I	A	Dividend	J	T	Buy	05/13/19	J		
46. -MFS Value CL I	A	Dividend	J	T	Buy	05/13/19	J		
47.					Buy (add'l)	09/18/19	J		
48. -New World CL F2	A	Dividend	J	T	Buy	05/13/19	J		
49. -Nuveen Small Cap Value CL I	A	Dividend	J	T	Buy	09/18/19	J		
50. -Oakmark Intl Investor CL	A	Dividend	J	T	Buy	05/13/19	J		
51. -Payden Low Duration Investor CL	A	Dividend			Buy	09/18/19	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	
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 11

Name of Person Reporting

Hodges, Shiva V.

Date of Report

05/15/2020

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. -Pimco Real Return CL 12					Buy	05/13/19	J		
53.					Sold	09/18/19	J		
54. -Sector Consumer Staples Select Sector SPDR ETF	A	Dividend	J	T	Buy	10/02/19	J		
55. -Sector Technology Select Sector Spdr ETF	A	Dividend	J	T	Buy	05/13/19	J		
56. -Sector Utilities Select Sector SPDR ETF	A	Dividend	J	T	Buy	05/13/19	J		
57. -Smallcap World CL F2	A	Dividend	J	T	Buy	05/13/19	J		
58. -SPDR S&P 500 ETF	A	Dividend	J	T	Buy	05/13/19	J		
59.					Sold (part)	07/02/19	J		
60.					Buy (add'l)	08/02/19	J		
61.					Sold (part)	09/04/19	J		
62. -T Rowe Price Emerging Markets Bond Investor	A	Dividend	J	T	Buy	09/18/19	J		
63. -Vaughan Nelson Value Oppty CL Y	A	Dividend	J	T	Buy	05/13/19	J		
64. -Washington Mutual Investors CL F2	A	Dividend	K	T	Buy	05/13/19	J		
65. -Ishares Russell 1000 GRW ETF	A	Dividend			Sold	05/13/19	K		
66. -Ishares Russell 1000 Value ETF	A	Dividend			Sold	05/13/19	K		
67. -Vanguard Mid-cap ETF Index	A	Dividend			Sold	05/13/19	K		
68. -Clearbridge Aggressive GWTH I	A	Int./Div.			Sold	05/13/19	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	
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 11

Name of Person Reporting

Hodges, Shiva V.

Date of Report

05/15/2020

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)
69. -American Europacific GRW F2	A	Dividend			Sold	05/13/19	K		
70. -MFS International Value I	A	Dividend			Sold	05/13/19	K		
71. -Fidelity ADV Real Estate Inc. I	A	Dividend			Sold	05/13/19	J		
72. -Vanguard Small Cap ETF	A	Dividend			Sold	05/13/19	J		
73. -Victory Incore Low Dur BD A	B	Int./Div.			Sold	05/13/19	J		
74. -JP Morgan Strat Inc. OPP I (X)	B	Int./Div.			Sold	05/13/19	J		
75. -Oppenheimer Developing MKTS Y	A	Dividend			Sold	05/13/19	J		
76. -Wisdomtree Euro SM Cap DIV ETF	A	Dividend			Sold	05/13/19	J		
77. -JPMorgan Value Advantage I	A	Dividend			Sold	05/13/19	J		
78. -Center Coast MLP Focus I	B	Int./Div.			Sold	05/13/19	J		
79. -SPDR Gold TR Gold SHS					Sold	05/13/19	J		
80. -HSBC Bank USA NA cash holding	A	Interest	J	T					
81. Southern First Cash Accounts	A	Interest	K	T					
82. 401K #2 (H)									
83. - Invesco Moderate Allocation	A	Dividend	J	T					
84. Future Scholar 529 (H)									
85. -FS AGGR Track12-13 C	B	Int./Div.			Sold	09/03/19	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
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	

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)
86. -FS AGGR Ttrack 14-15	C	Int./Div.	K	T	Buy	09/03/19	K		
87. JH Multi-Index LS Growth		None	K	T	Buy	02/02/19	J		
88.					Buy (add'l)	02/28/19	J		
89.					Buy (add'l)	04/02/19	J		
90.					Buy (add'l)	04/30/19	J		
91.					Buy (add'l)	05/31/19	J		
92.					Buy (add'l)	07/01/19	J		
93.					Buy (add'l)	07/31/19	J		
94.					Buy (add'l)	09/03/19	J		
95.					Buy (add'l)	10/01/19	J		
96.					Buy (add'l)	11/01/19	J		
97.					Buy (add'l)	12/03/19	J		
98.									

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

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

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 =Cost (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

FINANCIAL DISCLOSURE REPORT

Page 10 of 11

Name of Person Reporting	Date of Report
Hodges, Shiva V.	05/15/2020

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

FINANCIAL DISCLOSURE REPORT

Page 11 of 11

Name of Person Reporting

Hodges, Shiva V.

Date of Report

05/15/2020

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/ Shiva V. Hodges

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