

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) Dowdell, John E.	2. Court or Organization U.S. District Court, Northern District of Oklahoma	3. Date of Report 9/10/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Active 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 U.S. Courthouse 333 W. 4th Street, Room 411 Tulsa, Oklahoma 74103		
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.		
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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Name of Person Reporting

Dowdell, John E.

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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.		
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	Salary
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.				
2.				
3.				
4.				
5.				

Name of Person Reporting	Date of Report
Dowdell, John E.	9/10/2020

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. Citi	Credit Card	K
2. Southwest Rapid Rewards	Credit Card	K
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)	(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. Mass Mutual Whole Life		None			Closed	08/26/19	J	D	
2.									
3. Tulsa Federal Employee's Credit Union Account		None	J	T					
4.									
5. IRA #1 (H)									
6. -Schwab Govt Money Fund	A	Interest	K	T	Distributed (part)	12/23/19	J	D	
7.									
8. -Invesco Fund f/k/a Powershares Global ETF Fund High YLD USDBond Port		None			Sold	01/03/19	J		
9.									
10. -The Southern Company Stock (common)	A	Dividend	J	T					
11.									
12. -Ishares S&P 500 Growth S&P 500 Growth Index FD	A	Dividend	K	T	Sold (part)	07/01/19	K		
13.									
14. -Schw Intl EQ ETF	A	Dividend	K	T					
15.									
16. -Vanguard FTSE Emerging Markets ETF	A	Dividend	K	T	Buy (add'l)	07/01/19	J		
17.									

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	

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18. -Ishares Core S&P ETF Smallcap	A	Dividend	J	T	Sold (part)	04/01/19	J		
19.					Sold (part)	07/01/19	K	A	
20. -Ishares Core S&P ETF Midcap	A	Dividend			Sold	01/03/19	J		
21.									
22. -Williams Companies Stock (common)	A	Dividend	J	T	Buy (add'l)	10/02/19	J		
23.									
24. -Verizon Communications (common)	A	Dividend	J	T					
25.									
26. -Pattern Energy CL A (common)	A	Dividend			Sold	01/18/19	J	A	
27.									
28. -Lamar Advertising Co. A Class A (common)	A	Dividend	J	T					
29.									
30. -Vodafone Group New ADR F Sponsored ADF (common)	A	Dividend			Sold	02/15/19	J		
31.									
32. -Peoples United Finl Inc. (common)	A	Dividend	J	T					
33.									
34. -GEO Group Inc. (common)	A	Dividend			Sold	11/05/19	J		

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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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35.									
36. -Valley National Banc (common)	A	Dividend			Sold	08/28/19	J	A	
37.									
38. -Doubleline Total Return TTCL ETF	C	Dividend	M	T	Sold (part)	01/08/19	L		
39.									
40. -Weyerhaeuser Co REIT (common)	A	Dividend			Sold	08/28/19	J		
41.									
42. -Blackstone MTG TR REIT (common)	A	Dividend	J	T	Buy (add'l)	08/13/19	J		
43.									
44. -Pfizer Incorporated (common)	A	Dividend	J	T					
45.									
46. -Cisco Systems Inc. (common)	A	Dividend	J	T					
47.									
48. -CME Group Inc. (common)	A	Dividend			Sold (part)	01/18/19	J	C	
49.					Sold	05/15/19	J	B	
50. -iShares IBND Dec 2025 TRM ETF: IBDQ	C	Dividend			Sold	12/03/19	M	C	
51.									

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52. -Coca Cola Company (common)	A	Dividend	J	T					
53.									
54. -Chimera Investment (common)	A	Dividend	J	T	Buy (add'l)	07/15/19	J		
55.									
56. -Virtu Financial Inco (common)		None			Sold	02/15/19	J	A	
57.									
58. -Schwab International Small Cap Equity ETF: SCHC	A	Dividend	J	T	Sold (part)	01/03/19	J		
59.					Buy (add'l)	07/01/19	J		
60. -HSBC Hldgs PLC F Sponsored ADR: HSBC (common)	A	Dividend	J	T					
61.									
62. -Two Harbors Investment Corp REIT (common)	A	Dividend	J	T					
63.									
64. -Park Hotels & Resort (common)	A	Dividend	J	T					
65.									
66. -Dominion Resources I (common)	A	Dividend	J	T	Buy (add'l)	11/05/19	J		
67.									
68. -General Motors Co: GM (common)	A	Dividend	J	T					

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69.									
70. -Ishares Trust Ibonds Dec 2027 Term Corporate ETF: IBDS	C	Dividend	M	T					
71.									
72. -General Mills Inc.: GIS (common)	A	Dividend	J	T					
73.									
74. -Ishares Ibonds Dec 2026 Term Corporate ETF: IBDR	D	Dividend	M	T	Buy (add'l)	01/08/19	L		
75.									
76. -Public Storage REIT: PSA (common)	A	Dividend	J	T	Sold (part)	09/10/19	J	A	
77.									
78. -Flexshares Upstream Natural IDX ETF: GUNR	A	Dividend	J	T	Sold (part)	07/01/19	J		
79.									
80. -Vanguard High Dividend Yield ETF: VYM	A	Dividend	K	T	Buy (add'l)	01/03/19	J		
81.					Sold (part)	07/01/19	J	A	
82. -Invesco Ltd F: IVZ (common)	A	Dividend			Sold	08/13/19	J		
83.									
84. -Intel Corp: INTC (common)	A	Dividend			Sold	05/06/19	J	A	
85.									

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

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86. -Healthcare Realty TR REIT: HR	A	Dividend	J	T					
87.									
88. -Medical Properties REIT: MPW	A	Dividend	J	T					
89.									
90. -Centerpoint Energy: CNP (common)	A	Dividend			Sold	12/12/19	J		
91.									
92. -Lockheed Martin Corp: LMT (common)	A	Dividend	J	T					
93.									
94. -Vanguard Real Estate ETF: VNQ	B	Dividend	K	T	Buy (add'l)	04/01/19	J		
95.									
96. -New Residential Investment Corp.: NRZ (common)	A	Dividend	J	T					
97.									
98. -Leggett & Platt Inc.: LEG (common)	A	Dividend	J	T	Buy (add'l)	06/11/19	J		
99.					Sold (part)	10/29/19	J	B	
100. -Whirlpool Corp: WHR (common)	A	Dividend			Sold	04/26/19	J	A	
101.									
102. - BP PLC (common)	A	Dividend	J	T	Buy	01/18/19	J		

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103.					Buy (add'l)	08/01/19	J		
104. - Ishares Iboxx High Yield Bond ETF: HYG	B	Dividend	K	T	Buy	01/03/19	K		
105.					Buy (add'l)	07/01/19	K		
106. -Eaton Corp PLC F: ETN (common)	A	Dividend	J	T	Buy	02/15/19	J		
107.									
108. - BCE Inc. (common)	A	Dividend	J	T	Buy	03/18/19	J		
109.					Buy (add'l)	07/17/19	J		
110. - Cracker Barrel Old Count: CBRL (common)	A	Dividend	J	T	Buy	05/02/19	J		
111.									
112. - ONEOK Inc.: OKE (common)	A	Dividend	J	T	Buy	05/07/19	J		
113.					Buy (add'l)	07/15/19	J		
114. - Caterpillar Inc: CAT (common)	A	Dividend	J	T	Buy	05/15/19	J		
115.									
116. - Ares Capital Corp: ARCC (common)	A	Dividend	J	T	Buy	08/28/19	J		
117.					Buy (add'l)	11/05/19	J		
118. - Westrock Co: WRK (common)	A	Dividend	J	T	Buy	08/28/19	J		
119.									

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120. - Chevron Corp: CVX (common)		None	J	T	Buy	12/12/19	J		
121.									
122. - Ishares MBS ETF: MBB	A	Dividend	M	T	Buy	12/03/19	M		
123.									
124. TIAA-CREF Retirement (Traditional)	C	Int./Div.	L	T					
125.									
126.									
127.									
128.									
129.									
130.									
131.									
132.									
133.									
134.									
135.									
136.									

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

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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

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)
137.									
138.									

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Dowdell, John E.

Date of Report

9/10/2020

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

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Dowdell, John E.

Date of Report

9/10/2020

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/ John E. Dowdell**

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
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One Columbus Circle, N.E.
Washington, D.C. 20544