

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) Bailey, John P.	2. Court or Organization Northern District of West Virginia	3. Date of Report 05/14/2020
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 P.O. Box 551 Wheeling, WV 26003		
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

Bailey, John P.

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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	Germain & Co., Inc.
2. 2019	Prompt Analytics LLC
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. ABA	01/25/2019 to 01/28/2019	Las Vegas, Nevada	Midyear meeting	Travel & some expenses
2. West Virginia Bar Foundation	05/11/19 to 05/12/2018	Roanoke, West Virginia	Young Lawyer Leadership Conference	Lodging & meals
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. Chase Bank	Credit Card	J
2. BB&T	Credit Card	J
3. American Express	Credit Card	J
4. BB&T	Mortgage on Rental Property	O
5. Barclay's Bank	Credit Card	J
6. Citibank	Credit Card	J
7. United Bank	Credit Card	J

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. IRA #1 (H)									
2. - Barclays US TIPS Fund	A	Dividend	J	T					
3. - MSCI EAFE Index Fund	A	Dividend	J	T					
4. - MSCI Emerging Mkt Index Fd ETF	A	Dividend	J	T					
5. - SPDR S&P 500 ETF	A	Dividend	K	T					
6. - SPDR S&P Midcap 400 ETF	A	Dividend	J	T					
7. - Russell 2000 Value Index Fd	A	Dividend	J	T					
8. - SPDR S&P Dividend ETF	A	Dividend	J	T					
9. - Federated US Treasury Cash Reserves 395	A	Interest	J	T					
10. Mass Mutual Life Ins. Whole Life Ins.	A	Dividend	J	T					
11. Rental Property, Seabrook Island, SC	E	Rent	O	R					
12. IRA #2 (H)									
13. - Dodge & Cox International Stock FD	A	Dividend	K	T					
14. - Fidelity Govt MMkt Cap Reserves	A	Int./Div.	L	T					
15. - Ishares Russell 2000 Value ETF	A	Dividend	J	T					
16. - Ishares Edge MSCI Min Vol EAFE EFT	A	Dividend	L	T					
17. - MFS Global Equity Fd Class 1	A	Dividend			Sold	03/19/19	K	D	

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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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)
18. - Pimco Foreign Bond Fd Hedged Inst	A	Dividend			Sold	03/18/19	K	C	
19. - SPDR Ser Tr S&P Div. ETF	B	Dividend	L	T					
20. - SPDR S&P Midcap 400 ETF Tr UTSE1	A	Dividend	L	T					
21. - Vanguard Spec. Portfolio Div	A	Dividend	K	T					
22. - Vanguard Equity Inc. Admiral FD	A	Dividend	K	T					
23. - Vanguard Index Fd Vanguard Small Cap	A	Dividend	K	T					
24. - Wisdomtree TR Midcap Div Fd	B	Dividend	K	T					
25. - Wisdomtree Small Cap Div Fd	A	Dividend	K	T					
26. -Oppenheimer Global Opportunities	A	Int./Div.			Sold	08/30/19	K	B	
27. -Capital One NA	B	Interest			Matured	11/04/19	L	A	
28. -Ally Bank CD	B	Interest			Matured	04/08/19	K	A	
29. -Invesco Exch S&P Low Volatility Fd	B	Dividend	L	T					
30. -Invesco Exch. Fd. Pur. Growth	A	Dividend	L	T					
31. -Harding Loevner Intl Equity Port Inst	A	Dividend	K	T	Buy	09/21/19	K		
32. -Federated Ultra Short Bond Is	A	Interest	M	T	Buy	11/06/19	L		
33. Enterprise Products Partners LP	A	Distribution	J	T					
34. Chevron Corp New Com	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 \$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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NONE (No reportable income, assets, or transactions.)

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35. Coca Cola Co.	A	Dividend	J	T					
36. e.l.f. Beauty Inc.	A	Dividend	J	T					
37. Fidelity Govt MMKT Cap. Res.	A	Int./Div.	J	T					
38. Germaine & Co 401(k) (H)									
39. -PNC Stable Value Fd	A	Dividend	K	T					
40. -Am Europacific Growth R6	B	Dividend	K	T					
41. -T Rowe Price Growth Stock	B	Dividend	K	T					
42. - Vanguard 500 Index Admiral	A	Dividend	K	T					
43. - Vanguard Mid Cap Index Adm	A	Dividend	K	T					
44. - Vangaurd Small Cap Index Adm	A	Dividend	K	T					

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

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

Part VII, line 11. Property purchased 02/28/14. Actual purchaseice \$762,500.

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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/ John P. Bailey**

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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