

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) Dalton, Jr., Roy B.	2. Court or Organization U.S. District Court, Middle District of Florida	3. Date of Report 05/11/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge (Active)	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 401 West Central Blvd. Suite 4750 Orlando, FL 32801		
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. Partner	Rugby Property, LLC
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**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	Rugby Property, LLC - Management Fee
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. AMERICAN COLLEGE OF TRIAL LAWYERS	OCTOBER 10-13, 2019	LAKE TAHOE, CA	LEADERSHIP CONFERENCE	TRANSPORTATION, LODGING
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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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. Rugby Property, LLC: (Passive Investment as General Partner)									
2. - Seaside Bank Account		None	J	T					
3. - Rental Property #3 (Pensacola, FL)	F	Rent	O	W					
4. Rental Property, Orlando, FL	E	Rent	M	W					
5. Government Personnel Mutual Whole Life	A	Interest	J	T					
6. Seaside Bank Accounts	A	Interest	J	T					
7. John Hancock Guaranteed Universal Life Policy		None	N	T					
8. Working Interest - Baker, Fisher County, TX	A	Royalty	J	W					
9. Working Interest - Baldwin, Clay County, TX		None	J	W					
10. Working Interest - Cato #11, Hardeman County, TX	B	Royalty	J	W					
11. Working Interest - Gibson 1, Cottle County, TX		None	J	W					
12. Working Interest - Hamilton #2, Palo Pinto County, TX	A	Royalty	J	W					
13. Working Interest, Lytle Unit, Hardeman County, TX	A	Royalty	J	W					
14. Working Interest, Mayfield - Clay County, TX	A	Royalty	J	W					
15. Working Interest - McLellan-Swofford, Hardeman County, TX	A	Royalty	J	W					
16. Working Interest - McNeese West, Hardeman County, TX	A	Royalty	J	W					
17. Working Interest - Minshew Unit, Hardeman County, TX	B	Royalty	J	W					

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. Working Interest - Smith Eagle Creek #1, Nolan County, TX		None	J	W					
19. Working Interest - Smith Eagle Creek #2, Nolan County, TX		None	J	W					
20. Working Interest - Southern Cotton, Hardeman County, TX	D	Royalty	K	W					
21. Working Interest - Stell #2, Clay County, TX	A	Royalty	J	W					
22. Working Interest - Word #5, Hardeman County, TX	A	Royalty	J	W					
23. Working Interest - Word #A-2, Hardeman County, TX	A	Royalty	J	W					
24. Working Interest - Young, Hardeman County, TX	B	Royalty	J	W					
25. Working Interest - Word #4, Hardeman County, TX		None	J	W					
26. Working Interest - Johnson #1, King County, TX	A	Royalty	J	W					
27. Working Interest - Word #6, Hardeman County, TX	A	Royalty	J	W					
28. Working Interest - Southern Cotton A-1, Hardeman County, TX	A	Royalty	J	W					
29. Working Interest - House, Jack County, TX	A	Royalty	J	W					
30. Three Shores Bancorporation, Common Stock		None	N	T					
31. GK Aviation, LLC (Passive Investment as a Limited Partner)		None	J	U					
32. GK Aviation, Inc. (Passive Investment as a Limited Shareholder)		None	K	U					
33. Brokerage Account #1:									
34. - Seaside Bank Account Sweep Fund	A	Interest	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	
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35. - Three Shores Bancorporation		None	N	T					
36. Brokerage Account #2:									
37. - Seaside Bank Account Sweep Fund	A	Interest	K	T					
38. - Carrizo Springs TX Cons Dept	A	Interest			Sold	04/22/19	K	A	
39. - Eagle Mtn & Saginaw Tex Indpt Ultd Tax Ref Bds	A	Interest	K	T					
40. - Florida St Brd Ed Cap Outlay Cap Outlay Bds	A	Interest			Sold	01/22/19	K	A	
41. - Maine Mun Bd Bk Serial Bond	A	Interest			Sold	04/22/19	K	A	
42. - Old Saybrook Conn GO Bds	A	Interest			Sold	12/02/19	K		
43. - Wheelerville NY Un Free Sch D GO Sch Dist Bds	A	Interest	K	T					
44. - Lord Abbett Investment Trust	B	Int./Div.	K	T	Buy (add'l)	04/11/19	K		
45.					Sold (part)	05/15/19	K		
46.					Buy (add'l)	05/16/19	K		
47. - Metropolitan West Total Return Fund	B	Dividend	K	T	Buy (add'l)	01/17/19	J		
48.					Buy (add'l)	04/02/19	J		
49.					Sold (part)	10/01/19	J	A	
50. - T Rowe Price Institutional Floating Rate Fund #170 Mutual Fund (Y)									
51. - Vanguard Total Stock Market Index Fund - ADM #585 Mutual Fund	A	Dividend	K	T	Sold (part)	01/16/19	J	B	

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52.					Sold (part)	01/23/19	J	B	
53. -Threshores Bancorporation Common Stock		None	L	T					
54. - Fargo N D Ref Impt Bonds 2012	A	Interest	K	T					
55. - Berks County PA Go Bonds 2015	A	Interest	K	T					
56. - Wilkes County NC Ltd Oblig Ref Bonds 2015	B	Interest	K	T					
57. - Bellingham Washington Go Bonds	A	Interest	K	T					
58. - Daytona Beach FL Go Ref Bonds 2012	A	Interest	K	T					
59. - Tulsa OK Go Bonds 2011	A	Interest			Redeemed	12/02/19	K		
60. - Vivaldi Merger Arbitrage I		None			Sold	07/19/19	J	A	
61. - Clearbridge Large Cap Growth I Fund	A	Dividend	J	T	Sold (part)	03/25/19	J	B	
62.					Sold (part)	04/15/19	J	A	
63.					Sold (part)	07/08/19	J	A	
64. - Columbia Dividend Income Fund Cl Y	A	Dividend	K	T	Sold (part)	01/23/19	J		
65.					Sold (part)	04/15/19	J	A	
66.					Sold (part)	07/08/19	J	A	
67. - Cohen & Steers Low Duration Preferred and Income Fund	A	Dividend			Sold	04/29/19	K		
68. - Hays Cnty Tex Ltd Tax Ref Bonds 2013	A	Interest	K	T					

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69. - Vanguard Fenway Fds Equity Income Fd (FKA: Vang Equity Income Fd)	B	Dividend	K	T	Sold (part)	01/23/19	J		
70.					Sold (part)	10/29/19	J	A	
71. - Albuquerque N Mex Gen 3% Bond 2013	A	Interest	K	T					
72. - Tampa Bay Wtr Fla A Regl Wtr Ref Bonds 2015	A	Interest	K	T					
73. - Washington Cnty Ore Sch 5% Bond 2014	B	Interest	K	T					
74. - Vanguard Admiral Treasury Money Market Fund	A	Dividend			Redeemed (part)	04/02/19	K		
75.					Redeemed	04/11/19	K		
76. - Pimco FDS Income Fund	B	Dividend	K	T	Buy	04/02/19	K		
77.					Sold (part)	09/13/19	J		
78. - Bank of America Corp Fr Dtd 08/26/14	A	Interest	K	T	Buy	04/22/19	K		
79. - Marriott Intl Inc New Sr Gbl Dtd 09/14/15	A	Interest	K	T	Buy	04/22/19	K		
80. - Goldman Sachs Group Inc Sr Gbl		None	K	T	Buy	12/11/19	K		
81. - CVS Health Corp 2.875%		None	K	T	Buy	12/04/19	K		
82. - Bucks County PA Wtr & Sewer	A	Interest	K	T	Buy	02/11/19	K		
83. - Cohen & Steers Real Estate Securities	A	Dividend	J	T	Buy	07/22/19	J		
84. - Cohen & Steers Preferred Sec & Income	B	Dividend	K	T	Buy	04/30/19	K		
85.					Sold (part)	07/08/19	J	A	

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

1) Part VII (Investments and Trusts): The royalty income disclosed in Column B for each working interest is gross income from the specific oil well.

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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/ **Roy B. Dalton, Jr.**

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