

**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) Maloney, Paul L.	2. Court or Organization District Court, WD MI	3. Date of Report 05/08/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) 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 410 W. Michigan Ave. Kalamazoo, MI 49007		
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. 1995-2007	State Judicial Pension calculated based on years of service-Commence Drawing Pension January 2010
2. 1995-2007	Berrien County Pension calculated based on years of service-Commenced Drawing Pension January 2010
3.	

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Name of Person Reporting

Maloney, Paul L.

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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. 2019	State of Michigan Judicial Pension	\$48,624.00
2. 2019	Berrien County, MI Pension	\$15,500.00
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	State of Michigan Teacher Pension
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.				

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Maloney, Paul L.	05/08/2020

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.		

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Name of Person Reporting

Maloney, Paul L.

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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) 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)
1. Brokerage Account # 1 (H)									
2. -UBS Bank USA Dep Acct	A	Interest	J	T					
3. -UBS Pace Money Market INV Fund Class P	A	Dividend	J	T					
4. --Amer Century Short Duration Inflation Prot Bond A	A	Dividend	J	T					
5. --Invesco Small Cap Value Class A	A	Dividend	J	T					
6. --AIG Focused Dividend Strategy Fund Class W fna Sum America Focused	A	Dividend	J	T					
7. --Compass Risk MG DVD GR 1	A	Dividend	J	T					
8. --Copeland Risk Mgmt DVD Growth 1	A	Dividend			Sold	10/11/19	J	A	
9. --Hartford World Bond Fund 1	A	Dividend	J	T					
10. --Victory Sycamore Establ. Value Fund	A	Dividend	J	T					
11. --Putnam Equity Income Fund YSHS	A	Dividend	J	T					
12. --Pioneer Multi-Asset Ultrashort Income	A	Dividend			Sold	10/11/19	J	A	
13. --Nuveen Real Estate Securities Fund 1	A	Dividend	J	T					
14. --Virtus Small Cap Sust Gw 1	A	Dividend	J	T					
15. --Pimco Income Fund Class P	A	Dividend	J	T					
16. --Polen Growth Fund Class 1	A	Dividend	J	T					
17. --John Hancock Intl Growth Fund A	A	Dividend	J	T	Sold (part)	10/10/19	J	A	

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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Name of Person Reporting

Maloney, Paul L.

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05/08/2020

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)
18. --American Funds New World Fund Class F	A	Dividend	J	T	Buy (add'l)	10/10/19	J		
19. --Columbia Strategic Income Fund Class Institutional	A	Dividend	J	T					
20. --Icon Emerging Mkts Class S	A	Dividend	J	T	Sold (part)	10/10/19	J	A	
21. --JP Morgan Large Cap Growth Fund Class 1	A	Dividend	J	T					
22. --Angel Oak Multi-Strategy Income Fund Class Intl	A	Dividend	J	T					
23. --Guggenheim Total Return Bond Fund Class Instit.	A	Dividend	J	T					
24. --Hartford Mid-Cap Class 1	A	Dividend	J	T					
25. --Trans America Intl Equity 1	A	Dividend	J	T					
26. --Lord Abbett Ultra Short Bond Fund Class F	A	Dividend			Sold	10/11/19	J	A	
27. --AQR US Defensive Equity Fund Class 1	A	Dividend	J	T	Buy	10/10/19	J		
28. --Vanguard Intl Growth Fund Admiral	A	Dividend	J	T	Buy	10/10/19	J		
29. --Thornburg LTD Term Income Class 1	A	Dividend	J	T	Buy	10/10/19	J		
30. --Lord Abbett Short Duration Income Fund Class F	A	Dividend	J	T	Buy	10/10/19	J		
31. Brokerage Account #2 (H)									
32. --Apple Computer Common Stock	B	Dividend	M	T					
33. --UBS Deposit Acct	A	Dividend	J	T					
34. --Illinois Tool Works common stock	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	
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NONE (No reportable income, assets, or transactions.)

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	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)
35. --McKesson common stock	A	Dividend	J	T					
36. --Schlumberger common stock	A	Dividend	K	T	Buy (add'l)	04/02/19	J		
37. --Norfolk Southern RR common stock	A	Dividend	K	T					
38. --Starbucks common stock	A	Dividend	K	T					
39. --Guggenheim Dir Alloc	A	Dividend	K	T					
40. --Boeing common stock	A	Dividend	K	T					
41. --Henderson Global Investors European Focus	A	Dividend	J	T					
42. --Intel common stock	A	Dividend	K	T					
43. --Eversource Energy Corp common stock	A	Dividend	J	T					
44. --VP common stock	A	Dividend	J	T					
45. -- Delta Airlines common stock	A	Dividend	J	T					
46. --Gilead Sciences	A	Dividend	J	T					
47. --Thermo Fisher Scientific	A	Dividend	K	T					
48. --Alibaba Grp Holding commons stock	A	Dividend	J	T					
49. --Colgate Palmolive common stock	A	Dividend	J	T					
50. --Unts AAM Dividend Ruler Portfolio Ser 2018D	A	Dividend	K	T					
51. --Kontoor Brands Common Stock	A	Dividend	J	T	Buy	10/10/19	J		

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52. --Davis Select Intl ETF	A	Dividend	K	T	Buy	10/10/19	J		
53. Brokerage Account #3 (H)									
54. --Pace Large Company Growth Equity Investment Fund Class	A	Dividend	J	T					
55. --Pace Intl Emerg Mkts Equity Class P	A	Dividend	J	T					
56. --Lrg Comp Value Equity Fund Class P	A	Dividend	J	T					
57. --Pace Intl Equity Fund Class P	A	Dividend	J	T					
58. --Pace Sm/Medium co Growth Equity Class P	A	Dividend	J	T					
59. --Pace Money Market Investment Fund Class P	A	Dividend	J	T					
60. --Pace Global Real Estate Securities Fund Class P	A	Dividend	J	T					
61. --Pace International Fixed Income Investment Class P	A	Dividend	J	T					
62. --Pace Small/Medium CO Value Equity Investmt Class P	A	Dividend	J	T					
63. --Pace Global Fixed Income Investmt Fund Class P	A	Dividend	J	T					
64. --Pace High Yield Investmt Class P	A	Dividend	J	T					
65. --Pace Intermediate Fixed Income Class P	A	Dividend	J	T					
66. --Pace Statagic Fixed Income Fund Class P	A	Dividend	J	T					
67. State of Michigan 401k (H)									
68. --SSgA Bond Market Index	A	Dividend	K	T					

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69. --Dodge and Cox Stock Fund	B	Dividend	M	T					
70. --American Funds Euro Pacific	B	Dividend	K	T					
71. --Pimco Total Return Fund 1	B	Dividend	K	T					
72. --Voya Small Cap Growth	A	Dividend	K	T					
73. --Oakmark Equity and Income	A	Dividend	L	T					
74. --New Jennison Large Cap Growth	A	Dividend	K	T					
75. 457 Account (H)									
76. --Nationwide Fixed Acct	B	Int./Div.	L	T					
77. --Newberger Genesis Fund TC	A	Dividend	J	T					
78. 403b Account (H)									
79. --New Perspective Fund A	A	Dividend	J	T					
80. --Capital World Growth A	A	Dividend	J	T					
81. --US Govt Securities A	A	Dividend	J	T					
82. Fifth Third Account	A	Interest	K	T					
83. Credit Union Acct 1	A	Interest	K	T					
84. 403b(7) Account (H)									
85. --Prudential Total Return Bond A	A	Dividend	J	T					

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Table with 2 columns: Name of Person Reporting, Date of Report. Row 1: Maloney, Paul L., 05/08/2020

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.)

Table with 10 columns: A (Description of Assets), B (Income during reporting period), C (Gross value at end of reporting period), D (Transactions during reporting period), and 5 sub-columns for D. Rows 86-90: JP Morgan Govt Bond A, American New Perspective Fund R3, American Fund Capital World Growth R3, American US Govt Securities R3, Honor Credit Union CD Account (H).

1 Income Gain Codes: A=\$1,000 or less, B=\$1,001 - \$2,500, C=\$2,501 - \$5,000, D=\$5,001 - \$15,000, E=\$15,001 - \$50,000
2 Value Codes: J=\$15,000 or less, K=\$15,001 - \$50,000, L=\$50,001 - \$100,000, M=\$100,001 - \$250,000, P1=\$1,000,001 - \$5,000,000, P2=\$5,000,001 - \$25,000,000
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

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Maloney, Paul L.

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05/08/2020

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/ **Paul L. Maloney**

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