

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)

|                                                                                                                                                                                                           |                                                                                                                                                                                                                                        |                                                                  |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting (last name, first, middle initial)</b><br><br>Schwab, Arthur J.                                                                                                                    | <b>2. Court or Organization</b><br><br>Western District of Pennsylvania                                                                                                                                                                | <b>3. Date of Report</b><br><br>05/07/2020                       |
| <b>4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)</b><br><br>District Judge - Senior                                                       | <b>5a. Report Type (check appropriate type)</b><br><br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final | <b>6. Reporting Period</b><br><br>01/01/2019<br>to<br>12/31/2019 |
|                                                                                                                                                                                                           | <b>5b.</b> <input type="checkbox"/> Amended Report                                                                                                                                                                                     |                                                                  |
| <b>7. Chambers or Office Address</b><br><br>U.S. Courthouse<br>700 Grant Street, Suite 7280<br>Pittsburgh, PA 15219                                                                                       |                                                                                                                                                                                                                                        |                                                                  |
| <p align="center"><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</p> |                                                                                                                                                                                                                                        |                                                                  |

## I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions )

☐ NONE (No reportable positions.)

| <u>POSITION</u>                                               | <u>NAME OF ORGANIZATION/ENTITY</u>                            |
|---------------------------------------------------------------|---------------------------------------------------------------|
| 1. Emeritus Member of the Board of Trustees (non-compensated) | Grove City College                                            |
| 2. Faculty member (non-compensated)                           | University of Virginia School of Law - Trial Advocacy Program |
| 3.                                                            |                                                               |
| 4.                                                            |                                                               |
| 5.                                                            |                                                               |

## II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions )

☐ NONE (No reportable agreements.)

| <u>DATE</u> | <u>PARTIES AND TERMS</u>                                                                                                      |
|-------------|-------------------------------------------------------------------------------------------------------------------------------|
| 1. 07/11/91 | Single life annuity through a life insurance company through prior employer, Reed Smith LLP, beginning monthly on 01/01/2012. |
| 2.          |                                                                                                                               |
| 3.          |                                                                                                                               |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Schwab, Arthur J.

Date of Report

05/07/2020

## 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><br><small>(yours, not spouse's)</small> |
|-------------|------------------------|-------------------------------------------------------|
| 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.          |                        |
| 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. University of Viginia School of Law | 01/04/19 to 01/07/19 | Charlottesville, VA | Faculty        | hotel, mileage, meals (38th Annual National Trial Advocacy College) |
| 2.                                     |                      |                     |                |                                                                     |
| 3.                                     |                      |                     |                |                                                                     |
| 4.                                     |                      |                     |                |                                                                     |
| 5.                                     |                      |                     |                |                                                                     |

|                          |                |
|--------------------------|----------------|
| Name of Person Reporting | Date of Report |
| Schwab, Arthur J.        | 05/07/2020     |

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.       |             |            |

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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 1. Morgan Stanley Bond                                                                                                     | A                                      | Int./Div.                              |                                                |                                    | Sold                                      | 05/13/19         | K                        | A                       |                                                            |
| 2. Potash Corp Bond                                                                                                        | A                                      | Int./Div.                              |                                                |                                    | Sold                                      | 05/15/19         | J                        | A                       |                                                            |
| 3. Bank Amer Corp Bond                                                                                                     | A                                      | Int./Div.                              |                                                |                                    | Sold                                      | 06/01/19         | J                        | A                       |                                                            |
| 4. Lincoln Natl Corp Bond                                                                                                  | B                                      | Int./Div.                              | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 5. Lincoln Natl Corp Bonds                                                                                                 | A                                      | Int./Div.                              | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 6. Cigna Corp Bond                                                                                                         | A                                      | Int./Div.                              | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 7. Carnival Corp Bond                                                                                                      | A                                      | Int./Div.                              | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 8. CSX Corp Bond                                                                                                           | A                                      | Int./Div.                              |                                                |                                    | Sold                                      | 10/14/19         | K                        | A                       |                                                            |
| 9. Dominion Gas Cond                                                                                                       | A                                      | Int./Div.                              | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 10. Tyco Electronics Bond                                                                                                  | B                                      | Int./Div.                              | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 11. American Intl Group Bond                                                                                               | A                                      | Int./Div.                              | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 12. AT&T Inc Bond                                                                                                          | A                                      | Int./Div.                              | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 13. Nordstrom Inc Bond                                                                                                     | A                                      | Int./Div.                              | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 14. KernCity Bond                                                                                                          | A                                      | Int./Div.                              | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 15. Goldman Sach Bond                                                                                                      | B                                      | Int./Div.                              | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 16. Abbvie Inc Bond                                                                                                        | A                                      | Int./Div.                              | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 17. American Express Bond                                                                                                  | A                                      | Int./Div.                              |                                                |                                    | Sold                                      | 08/01/19         | K                        | A                       |                                                            |

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

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Name of Person Reporting

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Date of Report

05/07/2020

## 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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 18. Amgen Inc Bond                                                                                                         | A                                      | Int./Div.                              | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 19. Astrazeneca PLC Bond                                                                                                   | A                                      | Int./Div.                              | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 20. Biogen Inc Bond                                                                                                        | A                                      | Int./Div.                              | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 21. Cigna Corp Bond                                                                                                        | B                                      | Int./Div.                              | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 22. Deere John Corp Bond                                                                                                   | A                                      | Int./Div.                              | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 23. General Electric Bond                                                                                                  | A                                      | Int./Div.                              | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 24. JP Morgan Chase Bond                                                                                                   | A                                      | Int./Div.                              |                                                |                                    | Sold                                      | 10/22/19         | K                        | A                       |                                                            |
| 25. Monsanto Co Bond                                                                                                       | A                                      | Int./Div.                              | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 26. National Rural Util Coop Bond                                                                                          | A                                      | Int./Div.                              | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 27. Oncor Elec Delivery Co LLC Bond                                                                                        | A                                      | Int./Div.                              |                                                |                                    | Sold                                      | 06/01/19         | K                        | A                       |                                                            |
| 28. Prudential Fin Inc Mtns Bond                                                                                           | A                                      | Int./Div.                              |                                                |                                    | Sold                                      | 06/15/19         | K                        | A                       |                                                            |
| 29. Ralston Purine Co. Bond                                                                                                | B                                      | Int./Div.                              | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 30. Royal Bank Bond                                                                                                        | A                                      | Int./Div.                              | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 31. Santander UK PLC Bond                                                                                                  | A                                      | Int./Div.                              | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 32. Sumitomo Mitsui Finl Group Bond                                                                                        | A                                      | Int./Div.                              | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 33. Toronto Dom Bank Bond                                                                                                  | A                                      | Int./Div.                              |                                                |                                    | Sold                                      | 11/05/19         | K                        | A                       |                                                            |
| 34. Tyco Elec Group Bond                                                                                                   | B                                      | Int./Div.                              |                                                |                                    | Sold                                      | 08/01/19         | K                        | A                       |                                                            |

|                         |                                 |                            |                               |                                |                        |
|-------------------------|---------------------------------|----------------------------|-------------------------------|--------------------------------|------------------------|
| 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 |
| (See Columns B1 and D4) | F =\$50,001 - \$100,000         | G =\$100,001 - \$1,000,000 | H1 =\$1,000,001 - \$5,000,000 | H2 =More than \$5,000,000      |                        |
| 2 Value Codes           | J =\$15,000 or less             | K =\$15,001 - \$50,000     | L =\$50,001 - \$100,000       | M =\$100,001 - \$250,000       |                        |
| (See Columns C1 and D3) | N =\$250,001 - \$500,000        | O =\$500,001 - \$1,000,000 | P1 =\$1,000,001 - \$5,000,000 | P2 =\$5,000,001 - \$25,000,000 |                        |
|                         | P3 =\$25,000,001 - \$50,000,000 |                            | P4 =More than \$50,000,000    |                                |                        |
| 3 Value Method Codes    | Q =Appraisal                    | R =Cost (Real Estate Only) | S =Assessment                 | T =Cash Market                 |                        |
| (See Column C2)         | U =Book Value                   | V =Other                   | W =Estimated                  |                                |                        |

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Name of Person Reporting

Schwab, Arthur J.

Date of Report

05/07/2020

## 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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 35. Wells Fargo Bond                                                                                                       | A                                      | Int./Div.                              | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 36. Qualcomm Inc Bond                                                                                                      | A                                      | Int./Div.                              | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 37. Keurig Bond                                                                                                            | A                                      | Int./Div.                              | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 38. PNC Fin Svcs Gp Stock                                                                                                  | A                                      | Int./Div.                              | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 39. Federated Investors Stock                                                                                              | A                                      | Int./Div.                              | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 40. EBay Inc Bond                                                                                                          | A                                      | Int./Div.                              | K                                              | T                                  | Buy                                       | 05/15/19         | K                        |                         |                                                            |
| 41. Goldman Sachs Bond                                                                                                     | B                                      | Int./Div.                              | K                                              | T                                  | Buy                                       | 05/15/19         | K                        |                         |                                                            |
| 42. Wells Fargo Bond                                                                                                       | A                                      | Int./Div.                              | K                                              | T                                  | Buy                                       | 05/15/19         | K                        |                         |                                                            |
| 43. Transcanada Pipeline Bond                                                                                              | A                                      | Int./Div.                              | K                                              | T                                  | Buy                                       | 05/15/19         | K                        |                         |                                                            |
| 44. United States Steel Stock                                                                                              | A                                      | Int./Div.                              | J                                              | T                                  | Buy                                       | 05/08/19         | J                        |                         |                                                            |
| 45. United States Steel Stock                                                                                              | A                                      | Int./Div.                              | J                                              | T                                  | Buy                                       | 07/10/19         | J                        |                         |                                                            |
| 46. United States Steel Stock                                                                                              | A                                      | Int./Div.                              | J                                              | T                                  | Buy                                       | 08/09/19         | J                        |                         |                                                            |
| 47. United States Steel Stock                                                                                              | A                                      | Int./Div.                              | J                                              | T                                  | Buy                                       | 10/04/19         | J                        |                         |                                                            |
| 48. US Express Stock                                                                                                       | A                                      | Int./Div.                              | J                                              | T                                  | Buy                                       | 05/03/19         | J                        |                         |                                                            |
| 49. US Express Stock                                                                                                       | A                                      | Int./Div.                              | J                                              | T                                  | Buy                                       | 07/12/19         | J                        |                         |                                                            |
| 50. Key Corp Stock                                                                                                         | A                                      | Int./Div.                              | J                                              | T                                  | Buy                                       | 02/11/19         | J                        |                         |                                                            |
| 51. Express Script Bond                                                                                                    | A                                      | Int./Div.                              | J                                              | T                                  | Buy                                       | 07/08/19         | J                        |                         |                                                            |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|-------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
| 1 Income Gain Codes:<br>(See Columns B1 and D4) | A =\$1,000 or less<br>F =\$50,001 - \$100,000                                      | B =\$1,001 - \$2,500<br>G =\$100,001 - \$1,000,000   | C =\$2,501 - \$5,000<br>H1 =\$1,000,001 - \$5,000,000                                  | D =\$5,001 - \$15,000<br>H2 =More than \$5,000,000         | E =\$15,001 - \$50,000 |
| 2 Value Codes<br>(See Columns C1 and D3)        | J =\$15,000 or less<br>N =\$250,001 - \$500,000<br>P3 =\$25,000,001 - \$50,000,000 | K =\$15,001 - \$50,000<br>O =\$500,001 - \$1,000,000 | L =\$50,001 - \$100,000<br>P1 =\$1,000,001 - \$5,000,000<br>P4 =More than \$50,000,000 | M =\$100,001 - \$250,000<br>P2 =\$5,000,001 - \$25,000,000 |                        |
| 3 Value Method Codes<br>(See Column C2)         | Q =Appraisal<br>U =Book Value                                                      | R =Cost (Real Estate Only)<br>V =Other               | S =Assessment<br>W =Estimated                                                          | T =Cash Market                                             |                        |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Schwab, Arthur J.

Date of Report

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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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                               | C<br>Gross value at end<br>of reporting period |                                           | D<br>Transactions during reporting period       |                         |                                 |                                |                                                                   |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------|------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e g ,<br>div , rent,<br>or int ) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e g ,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
|                                                                                                                            |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 52. JP Morgan Bond                                                                                                         | A                                      | Int./Div.                                     | K                                              | T                                         | Buy                                             | 07/22/19                | K                               |                                |                                                                   |
| 53. CBS Corp Bond                                                                                                          | A                                      | Int./Div.                                     | J                                              | T                                         | Buy                                             | 07/22/19                | J                               |                                |                                                                   |
| 54. Capital One Fincl. Bond                                                                                                | A                                      | Int./Div.                                     | K                                              | T                                         | Buy                                             | 08/23/19                | K                               |                                |                                                                   |
| 55. Morgan Stanley Bond                                                                                                    | A                                      | Int./Div.                                     | K                                              | T                                         | Buy                                             | 08/23/19                | K                               |                                |                                                                   |
| 56. Altaria Group Bond                                                                                                     | A                                      | Int./Div.                                     | J                                              | T                                         | Buy                                             | 10/08/19                | J                               |                                |                                                                   |
| 57. INVESTMENT ACCOUNT NO. 1                                                                                               | D                                      | Int./Div.                                     | L                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 58. -Oneok Partners Bond                                                                                                   | A                                      | Int./Div.                                     | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 59. -Humana Inc Bond                                                                                                       | A                                      | Int./Div.                                     |                                                |                                           | Sold                                            | 05/21/19                | J                               | A                              |                                                                   |
| 60. -Cardinal Health Bond                                                                                                  | A                                      | Int./Div.                                     |                                                |                                           | Sold                                            | 11/15/19                | J                               | A                              |                                                                   |
| 61. -Xerox Corp Bond                                                                                                       | A                                      | Int./Div.                                     |                                                |                                           | Sold                                            | 11/08/19                | K                               | A                              |                                                                   |
| 62. -Potash Corp Bond                                                                                                      | A                                      | Int./Div.                                     | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 63. -EMC Corp Bond                                                                                                         | A                                      | Int./Div.                                     |                                                |                                           | Sold                                            | 05/21/19                | J                               | A                              |                                                                   |
| 64. -Prudential Fin Bond                                                                                                   | A                                      | Int./Div.                                     | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 65. -Stifel Fin Bond                                                                                                       | A                                      | Int./Div.                                     | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 66. -Amer Int'l Grp Bond                                                                                                   | A                                      | Int./Div.                                     | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 67. -Kinder Morgan Energy Bond                                                                                             | A                                      | Int./Div.                                     | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 68. -Best Buy Bond                                                                                                         | A                                      | Int./Div.                                     |                                                |                                           | Sold                                            | 05/21/19                | J                               | A                              |                                                                   |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|-------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
| 1 Income Gain Codes:<br>(See Columns B1 and D4) | A =\$1,000 or less<br>F =\$50,001 - \$100,000                                      | B =\$1,001 - \$2,500<br>G =\$100,001 - \$1,000,000   | C =\$2,501 - \$5,000<br>H1 =\$1,000,001 - \$5,000,000                                  | D =\$5,001 - \$15,000<br>H2 =More than \$5,000,000         | E =\$15,001 - \$50,000 |
| 2 Value Codes<br>(See Columns C1 and D3)        | J =\$15,000 or less<br>N =\$250,001 - \$500,000<br>P3 =\$25,000,001 - \$50,000,000 | K =\$15,001 - \$50,000<br>O =\$500,001 - \$1,000,000 | L =\$50,001 - \$100,000<br>P1 =\$1,000,001 - \$5,000,000<br>P4 =More than \$50,000,000 | M =\$100,001 - \$250,000<br>P2 =\$5,000,001 - \$25,000,000 |                        |
| 3 Value Method Codes<br>(See Column C2)         | Q =Appraisal<br>U =Book Value                                                      | R =Cost (Real Estate Only)<br>V =Other               | S =Assessment<br>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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 69. -Carnival Corp Stock (CCL)                                                                                             | A                                      | Int./Div.                              | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 70. -JP Morgan Chase Bond                                                                                                  | A                                      | Int./Div.                              | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 71. -Abbvie Inc Bond                                                                                                       | A                                      | Int./Div.                              |                                                |                                    | Sold                                      | 12/15/19         | J                        | A                       |                                                            |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|-------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
| 1 Income Gain Codes:<br>(See Columns B1 and D4) | A =\$1,000 or less<br>F =\$50,001 - \$100,000                                      | B =\$1,001 - \$2,500<br>G =\$100,001 - \$1,000,000   | C =\$2,501 - \$5,000<br>H1 =\$1,000,001 - \$5,000,000                                  | D =\$5,001 - \$15,000<br>H2 =More than \$5,000,000         | E =\$15,001 - \$50,000 |
| 2 Value Codes<br>(See Columns C1 and D3)        | J =\$15,000 or less<br>N =\$250,001 - \$500,000<br>P3 =\$25,000,001 - \$50,000,000 | K =\$15,001 - \$50,000<br>O =\$500,001 - \$1,000,000 | L =\$50,001 - \$100,000<br>P1 =\$1,000,001 - \$5,000,000<br>P4 =More than \$50,000,000 | M =\$100,001 - \$250,000<br>P2 =\$5,000,001 - \$25,000,000 |                        |
| 3 Value Method Codes<br>(See Column C2)         | Q =Appraisal<br>U =Book Value                                                      | R =Cost (Real Estate Only)<br>V =Other               | S =Assessment<br>W =Estimated                                                          | T =Cash Market                                             |                        |

**FINANCIAL DISCLOSURE REPORT**

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|                                                          |                                         |
|----------------------------------------------------------|-----------------------------------------|
| <b>Name of Person Reporting</b><br><br>Schwab, Arthur J. | <b>Date of Report</b><br><br>05/07/2020 |
|----------------------------------------------------------|-----------------------------------------|

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Schwab, Arthur J.

Date of Report

05/07/2020

## 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/ **Arthur J. Schwab**

**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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Washington, D.C. 20544