

**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) Maggs, Gregory E.	2. Court or Organization U.S. Court of Appeals for the Armed Forces	3. Date of Report 05/07/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Judge	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 450 E Street, N.W. Washington, DC 20442		
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. Professorial Lecturer	The George Washington University
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. 2019	West Academic Publishing, copyright royalty	\$36,306.00
2. 2019	The George Washington University, adjunct pay	\$22,328.00
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.	
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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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. Cash accounts (H)									
2. - Ally Bank cash account	C	Interest	M	T					
3. - Bank of America cash account (Y)									
4. - Capitol One cash account (Y)									
5. - Citibank cash accounts	A	Interest	N	T					
6. - E*Trade cash accounts	A	Interest	K	T					
7. - HealthHub cash account	A	Interest	J	T					
8. - T. Rowe Price cash account	C	Interest	M	T					
9. - Wells Fargo cash accounts	A	Interest	K	T					
10. Brokerage account #1 (H)									
11. - Staples common stock (Y)									
12. - Williams Cos. common stock	A	Dividend	J	T					
13. -WPX Energy common stock	A	Dividend	J	T					
14. Brokerage account #2 (H)									
15. - BNY Mellon (formerly Advantage) Dynamic Tot. Return Fund mutual fund	A	Dividend	K	T					
16. - ASG Global Alternatives Fund mutual fund	A	Dividend	K	T					
17. - ASG Managed Futures Strategy Funds mutual fund	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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18. - BNY Mellon Absolute Insight Multi-Strategy Fund mutual fund	A	Dividend			Sold	07/24/19	K	A	
19. - BNY Mellon cash accounts	C	Interest	N	T					
20. - BNY Mellon Corporate Bond Fund mutual fund	B	Interest	K	T					
21. - BNY Mellon Income Stock mutual fund	C	Dividend	M	T					
22. - BNY Mellon International Fund mutual fund	A	Dividend	K	T					
23. - BNY Mellon Mid Cap Multi-Strategy Fund mutual fund	A	Dividend	M	T					
24. - BNY Mellon Municipal Opportunities Fund mutual fund	C	Interest	L	T					
25. - BNY Mellon National Intermediate Municipal Bond Fund mutual fund	D	Interest	O	T					
26. - BNY Mellon National Short-Term Municipal Bond Fund mutual fund	C	Interest	N	T					
27. - DFA Emerging Markets Core Equity Fund mutual fund	A	Dividend	J	T					
28. - BNY Mellon (formerly Dreyfus) Diversified Int'l Fund mutual fund	A	Dividend	L	T					
29. - BNY Mellon (formerly Dreyfus) Floating Rate Income Fund mutual fund	B	Interest	K	T					
30. - BNY Mellon (formerly Dreyfus) Global Real Est. Secs Fund mutual fund	A	Dividend	K	T					
31. - BNY Mellon (formerly Dreyfus) Global Real Return Fund mutual fund	A	Dividend	K	T					
32. - BNY Mellon (formerly Dreyfus) High Yield Fund mutual fund	B	Interest	K	T					
33. - BNY Mellon (formerly Dreyfus) Infl. Adj. Securities Fund mutual fund	A	Interest	K	T					
34. - BNY Mellon (formerly Dreyfus) Int'l Small Cap Fund mutual fund	A	Dividend	J	T					

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2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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35. - BNY Mellon (formerly Dreyfus) Large Cap Equity Fund mutual fund	B	Dividend	M	T					
36. - BNY Mellon (formerly Dreyfus) Opportunistic Sm. Cap Fund mutual fund	A	Dividend			Sold	12/13/19	J	A	
37. - Dreyfus Select Managers Small Cap Growth Fund mutual fund (Y)									
38. - BNY Mellon (formerly Dreyfus) Sel. Mgrs Sm Cap Growth mut. fund (X)	A	Dividend	K	T					
39. - BNY Mellon (fomerly Dreyfus) Sel Mgr Small Cap Value F mutual fund	A	Dividend	K	T					
40. - BNY Mellon (formerly Dreyfus) International Equity Fund mutual fund	A	Dividend	K	T					
41. - Virtus Emerging Markets Opportunites Fund mutual fund	A	Dividend	K	T					
42. Brokerage account #3 (H)									
43. - ML Bank Program (formerly listed as BIF) cash account	A	Interest	N	T					
44. - Air Products & Chemicals common stock	B	Dividend	L	T					
45. - Automatic Data Processing common stock	C	Dividend	M	T					
46. - Berkshire Hathaway Inc common stock	A	Dividend	L	T					
47. - Boeing Co. common stock	B	Dividend	L	T					
48. - Broadridge Final Solutions common stock	A	Dividend	K	T					
49. - CBS Corp New common stock	A	Dividend			Merged (with line 67)	12/05/19	J	A	
50. - CDK Global Inc common stock	A	Dividend	J	T					
51. - Century Link Inc SHS common stock	A	Dividend	J	T					

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		
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52. - Cigna Corp common stock	A	Dividend			Sold	01/04/19	J	A	
53. - Conduent Inc Reg SHS common stock	A	Dividend	J	T					
54. - CSG Sysys Intl Inc Com common stock	A	Dividend	K	T					
55. - Intel Corp common stock	A	Dividend	K	T					
56. - IBM common stock	A	Dividend	K	T					
57. - MBIA Inc common stock	A	Dividend	J	T					
58. - Merck and Co Inc SHS common stock	A	Dividend	K	T					
59. - Merrill cash account	A	Dividend	J	T					
60. - Pfizer Inc common stock	A	Dividend	K	T					
61. - Schlumberger Ltd common stock	A	Dividend	K	T					
62. - Sprint Corp common stock	A	Dividend	J	T					
63. - Texas Instruments common stock	B	Dividend	K	T					
64. - Transocean Ltd common stock	A	Dividend	J	T					
65. - United Parcel Service Co. common stock	B	Dividend	K	T					
66. - Versum Materials LLC common stock	A	Dividend			Sold	10/07/19	J	D	
67. - Viacom Inc common stock	A	Dividend	J	T	Buy (add'l)	12/05/19	J		
68. - Western Union Co common stock	A	Dividend	K	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
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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)
69. - Weyerhaeuser Co common stock	A	Dividend	J	T					
70. - Xerox Corp common stock	A	Dividend	J	T					
71. - Zebra Technologies common stock	A	Dividend	M	T					
72. - I Shares S&P 500 (X)	A	Dividend	K	T					
73. Brokerage Account #4 (H)									
74. - Merrill Cash Account (Y)									
75. Mutual funds (H)									
76. - Vanguard Balanced Index Fund Admiral #1 mutual fund	D	Int./Div.	M	T					
77. - Vanguard Balanced Index Fund Admiral #2 mutual fund	E	Int./Div.	P1	T	Buy (add'l)	01/07/19	J		
78.					Buy (add'l)	01/14/19	J		
79.					Buy (add'l)	01/18/19	J		
80.					Buy (add'l)	01/28/19	J		
81.					Buy (add'l)	02/04/19	J		
82.					Buy (add'l)	02/11/19	J		
83.					Buy (add'l)	02/15/19	J		
84.					Buy (add'l)	02/25/19	J		
85.					Buy (add'l)	03/04/19	J		

1 Income Gain Codes: (See Columns B1 and D4)	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	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	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	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
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86.					Buy (add'l)	03/11/19	J		
87.					Buy (add'l)	03/18/19	J		
88.					Buy (add'l)	03/25/19	J		
89.					Buy (add'l)	04/01/19	J		
90.					Buy (add'l)	04/08/19	J		
91.					Buy (add'l)	04/15/19	J		
92.					Buy (add'l)	04/22/19	J		
93.					Buy (add'l)	04/29/19	J		
94.					Buy (add'l)	05/06/19	J		
95.					Buy (add'l)	05/13/19	J		
96.					Buy (add'l)	05/20/19	J		
97.					Buy (add'l)	05/24/19	J		
98.					Buy (add'l)	06/03/19	J		
99.	- Vanguard Balanced Index Fund Admiral #3 mutual fund (Y)								
100.	- Vanguard Total Stock Market Index Admiral #1	D	Dividend	M	T				
101.	- Vanguard Total Stock Market Index Admiral #2	E	Dividend	P1	T				
102.	- Vanguard Total Stock Market Index Admiral #3 (Y)								

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103. ` - VMMXX	D	Dividend	J	T	Open	05/22/19	J		
104.					Buy (add'l)	05/25/19	L		
105.					Buy (add'l)	06/05/19	N		
106.					Sold (part)	10/17/19	M	A	
107. Retirement accounts (H)									
108. - TIAA Traditional #1	C	Interest	N	T					
109. - TIAA Traditional #2	B	Interest	M	T	Buy (add'l)	01/31/19	J		
110.					Buy (add'l)	02/28/19	J		
111.					Buy (add'l)	03/29/19	J		
112.					Buy (add'l)	04/30/19	J		
113.					Buy (add'l)	05/31/19	J		
114.					Buy (add'l)	09/30/19	J		
115.					Buy (add'l)	10/31/19	J		
116.					Buy (add'l)	11/30/19	J		
117.					Buy (add'l)	12/28/19	J		
118. - TIAA Traditional #3	A	Int./Div.	N	T					
119. - QCSTRX #1 mutual fund	A	Dividend	O	T					

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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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)
120. - QCSTRX #2 mutual fund	A	Dividend	O	T	Buy (add'l)	01/31/19	J		
121.					Buy (add'l)	02/28/19	J		
122.					Buy (add'l)	03/29/19	J		
123.					Buy (add'l)	04/30/19	J		
124.					Buy (add'l)	05/31/19	J		
125.					Buy (add'l)	09/30/19	J		
126.					Buy (add'l)	10/31/19	J		
127.					Buy (add'l)	11/30/19	J		
128.					Buy (add'l)	12/28/19	J		
129. - QCSTRX #3 mutual fund	A	Dividend	L	T					
130. - FID FREEDOM K 2030	A	Dividend	J	T					
131. Rental Properties (H)									
132. -- Rental Property #1 Barrington RI	A	Rent			Sold	06/03/19	N	G	Steven Calabresi
133. Trust #1 (H)									
134. VMFXX #1	A	Dividend	K	T	Open	09/03/19	K		
135. VMFXX #2	A	Dividend	K	T	Open	09/24/19	K		
136. Trust #2 (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
(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		

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
137. VMFXX #3	A	Dividend	K	T	Open	10/09/19	K		
138. Inherited IRA #1 (H)									
139. VMFXX #3	D	Dividend	P1	T	Open	09/24/19	P1		
140.									
141.									
142.									
143.									
144.									

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

Maggs, Gregory E.

Date of Report

05/07/2020

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

Part VII. Investments and Trusts

Lines 3, 4, 74, 99, and 102: These assets are owned by a person who was a dependent in 2018 but who was not a dependent in 2019.

Line 11: This asset was cashed out on 09/13/2017 for \$7687.50 as a result of a merger and should not have been included in the 2018 Report.

Lines 15, 28-36, 38-39: The names of these assets were changed as indicated.

Lines 37, 38: In my 2018 Report, I mistakenly entered sale data (D1=Sold, D2=12/04/18, D3=K, D4=A) in line 38 instead of line 37. The Dreyfus Select Managers Small Cap Growth Fund (line 38) was sold. The Dreyfus Select Managers Long/Short Equity Fund mutual fund was not sold.

Line 43: The name of this asset has been corrected.

Lines 49 & 67: CBS Corp. New common stock was exchanged for additional stock in Viacom Inc.

Line 72: In my 2018 Report, I mistakenly omitted this asset. The entries should have been B1=A, B2=Dividend, C1=K, C2=T.

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Maggs, Gregory E.

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/ **Gregory E. Maggs**

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
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