

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) Harvey, Gordon M.	2. Court or Organization U.S. District Court for the District of Columbia	3. Date of Report 05/15/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Magistrate Judge -- Full Time	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
7. Chambers or Office Address U.S. District Court for District of Columbia 333 Constitution Avenue, NW Washington, DC 20001		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

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

☐ NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Board Member	Moto, Inc.
2. Trustee	☐ Trust #3
3. Trustee	☐ Trust #4
4. Trustee	☐ Trust #5
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.	
2.	
3.	

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions)*

A. Filer's Non-Investment Income



NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1.		
2.		
3.		
4.		

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.*

(Dollar amount not required except for honoraria.)



NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2019	-- Administration
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. Moto, Inc.	February 15-16, 2019	Belleville, IL	Board Meeting	Transportation, Hotel, Meals
2. Moto, Inc.	May 3-5, 2019	St. Louis, MO	Shareholder/Board Meeting	Transportation, Hotel, Meals
3.				
4.				
5.				

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*☐NONE *(No reportable gifts.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.	Bryant American Inn of Court	Honorary Membership	\$395.00
2.	Brian and Robin Baker	Box seats to concert	\$1,260.00
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*☐NONE *(No reportable liabilities.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.		Tuition Agreement	K
2.		Tuition Agreement	L
3.		Tuition Agreement	L
4.	Suntrust Bank	College Loans	K
5.	Federal Government	College Loans	K

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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. Fidelity Account -- Cash	A	Interest	L	T					
2. Forsyth Carterville Coal Stock (H)	G	Dividend	P1	U					
3. --Sold Forsyth Carterville Coal Stock					Sold (part)	01/29/19	K	E	Forsyth Cartervill Coal Co
4. --Sold Forsyth Cartervillw Coal Stock					Sold (part)	01/29/19	K	E	Forsyth Cartervill Coal Co
5. Missouri Real Estate Stock	E	Dividend	P1	U					
6. Moto, Inc. Stock	F	Dividend	P1	U					
7. Fidelity IRA # 1 (H)									
8. --Vanguard Target Ret 2035 FD Inv	A	Int./Div.	K	T					
9. Fidelity IRA #2 (H)									
10. --Vanguard Target Ret 2035 FD Inv	A	Int./Div.	M	T					
11. TIAA Account LFCYCLE 2030T4	A	Int./Div.	L	T					
12. Real Estate, Mercer County, WV Property		None	K	W					
13. Trust #1 (H)									
14. --Cash Account Managed by the Commerce Trust Co	A	Interest	J	T					
15. --Missouri Real Estate Stock	D	Dividend	N	U					
16. Trust #2 (H)									
17. --Cash Account Managed by the Commerce Trust Co	A	Interest	J	T					

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

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

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. --Missouri Real Estate Stock	C	Dividend	M	U					
19. Trust #3 (H)									
20. --Alliance Growth (SA AB Growth)	A	Int./Div.	J	T					
21. --Emerging Mkts mgd by JP Morgan Inv. Mgmt	A	Int./Div.	J	T					
22. -- Growth Opportunities mgd by Invesco Advisors	A	Int./Div.	J	T					
23. --Invesco VI Comstock Fund	A	Int./Div.	J	T					
24. --Natural Resources mgd by Wellington Mgmt Fund (see note below)					Sold	01/01/19	J	A	
25. --Fidelity Institutional AM Real Estate	A	Int./Div.	J	T					
26. --Small & Mid Cap Value mgd by Alliance Bernstein	A	Int./Div.	J	T					
27. --Templeton Franklin Foreign Value	A	Int./Div.	J	T					
28. Trust #4 (H)									
29. --Alliance Growth (SA AB Growth)	A	Int./Div.	J	T					
30. --Emerging Mkts mgd by JP Morgan Inv. Mgmt	A	Int./Div.	J	T					
31. -- Growth Opportunities mgd by Invesco Advisors	A	Int./Div.	J	T					
32. --Invesco VI Comstock Fund	A	Int./Div.	J	T					
33. --Natural Resources mgd by Wellington Mgmt Fund (see note below)					Sold	01/01/19	J	A	
34. --Fidelity Institutional AM Real Estate	A	Int./Div.	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
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	(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)
35. --Small & Mid Cap Value mgd by Alliance Bernstein	A	Int./Div.	J	T					
36. --Templeton Franklin Foreign Value	A	Int./Div.	J	T					
37. █████ Trust #5 (H)									
38. --Alliance Growth (SA AB Growth)	A	Int./Div.	J	T					
39. --Emerging Mkts mgd by JP Morgan Inv. Mgmt	A	Int./Div.	J	T					
40. -- Growth Opportunities mgd by Invesco Advisors	A	Int./Div.	J	T					
41. --Invesco VI Comstock Fund	A	Int./Div.	J	T					
42. --Natural Resources mgd by Wellington Mgmt Fund (see note below)					Sold	01/01/19	J	A	
43. --Fidelity Institutional AM Real Estate	A	Int./Div.	J	T					
44. --Small & Mid Cap Value mgd by Alliance Bernstein	A	Int./Div.	J	T					
45. --Templeton Franklin Foreign Value	A	Int./Div.	J	T					
46. Bank of America Cash Account	A	Interest	K	T					
47. Wells Fargo Cash Account	A	Interest	J	T					
48.									
49.									

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

--The [REDACTED] Trusts #3, #4, and #5 listed in Part VII hold assets inside a variable annuity. As such, dividend and capital gain distributions paid from the underlying assets (also reported in Section VII) are not disclosed on the statements for these annuities. The undersigned has reported an "A" in column B1 and "Int/Div" in column B2 in an effort to provide as much transparency as possible.

--Natural Resources managed by Wellington Mgmt was mistakenly reported in last year's financial disclosure as being held in [REDACTED] Trusts #3, #4, and #5 as of December 31, 2018. Closer review of records received from the trusts have confirmed that the entire position in the fund in each of the three trusts was sold at some point between 9/29/18 and 12/31/18. To provide as much transparency as possible, the disposition of the fund is shown above, but the date of the sale (i.e., 1/1/19) is not correct. The software will not permit an earlier disposition date than 1/1/19, so that is what is entered above. Again, the actual disposition date of all shares of the Natural Resources fund in all three trusts is sometime between 9/29/18 and 12/31/18. The quarterly statements with respect to the trusts do not permit more specificity as to the date of the sale.

--No interest, dividends or capital gain distributions can be identified in the statements for the TIAA LFCYCLE 2030T4 Account in Part VII. In an abundance of caution, an "A" has been entered for income under column B(1) for this asset.

--Three of the four Bank of America accounts reported in the aggregate in Part VII are accounts owned by the undersigned's [REDACTED]. The undersigned does not own the cash in any of those three accounts. The undersigned was made signatory on the accounts to manage his [REDACTED] affairs in the event of [REDACTED] death or disability.

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IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: **s/ Gordon M. Harvey**

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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