

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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) Manion, Daniel A.	2. Court or Organization USCA-7	3. Date of Report 05/15/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Article III	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2018 to 12/31/2018
7. Chambers or Office Address 301 Grant Federal Building 204 S. Main Street South Bend, IN 46601		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

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

☒ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
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.)*

DATE

SOURCE AND TYPE

INCOME

(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.)*

DATE

SOURCE AND TYPE

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.)*

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

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.)

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A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. Key Bank Saving	B	Interest	M	T					
2. Key Bank checking accounts	A	Interest	M	T					
3. UBS Account: items 3-17									
4. UBS deposit account	A	Distribution	M	T					
5. Boeing Company common stock (BA)	C	Dividend	M	T					
6. Blackrock Muni (BTT)	B	Dividend	L	T					
7. Barclays Bank preferred	A	Dividend			Sold	12/15/18	J	B	
8. Brownsville TX bond -General Purpose Local Public Improvement	A	Interest			Sold	02/15/18	J		
9. Kane McHenry Muni Bond	B	Int./Div.			Sold	07/01/18	K		
10. Indiana St. Fin. Auth. bond	A	Int./Div.			Sold	07/01/18	J		
11. Ohio State Higher Ed Bond	A	Int./Div.			Sold	01/01/18	J		
12. Oppenheimer Steelpath (MLPDX)	C	Distribution	K	T					
13. Gaslog Ltd preferred	A	Dividend	J	T					
14. Nuveen Interduration (NID)	B	Int./Div.	L	T					
15. Indianapolis IN loc bond -General Purpose Local Public Improvement	A	Interest	J	T					
16. Indianapolis IN gas bond	A	Interest			Sold	08/15/18	J	A	
17. RMB Mendon Financial (RMBKX)	B	Distribution	L	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 \$5,000,000	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. University of Akron bond	A	Interest			Sold	01/01/18	J		
19. IRA Items: items 20-65									
20. Wells Fargo Sweep	A	Distribution	J	T					
21. -Income Fund Amer	A	Distribution	K	T					
22. -Fund America Growth	A	Distribution	K	T					
23. Europacific Growth	A	Distribution	J	T					
24. Qwest Corp preferred	B	Dividend	J	T					
25. First Trust Equity	B	Distribution	K	T					
26. Ishares US Preferred Stock	C	Dividend	K	T					
27. Franklin Income Fund	C	Distribution			Sold	07/23/18	K		
28. American Balanced Fund (ABALX)	A	Distribution	K	T	Buy	07/23/18	K		
29. -American Mutual Fund(AMRFX)(Roth)	A	Distribution			Sold	01/16/18	J	A	
30. -American Mutual Fund(AMRFX)(Roth)	A	Distribution			Sold	04/03/18	K	D	
31. -Powershares S&P 500 Fund (Roth)	A	Distribution	K	T	Sold (part)	12/11/18	J	B	
32. Wells Fargo STYIX (Roth)	A	Distribution	J	T	Buy (add'l)	01/16/18	J		
33. Wells Fargo Short-Term High Yield (STYIX)	A	Distribution	J	T	Sold (part)	04/25/18	J	A	
34. Wells Fargo Emerging Markets (EQIIX)	A	Distribution	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. Wells Fargo Emerging Markets (EQIIX)	A	Distribution	J	T					
36. Advisory Research (INFIX)	A	Distribution			Sold	04/25/18	J	A	
37. Powershares Exchange (XSLV)	A	Distribution	K	T	Buy (add'l)	04/25/18	J		
38. Powershares Exchange (XSLV)	A	Distribution	K	T	Sold (part)	10/03/18	J	A	
39. Flexshares Morning Star (TLTD)	A	Distribution	J	T	Buy	07/01/18	J		
40. Baird General Market (cash equivalent)	A	Distribution	J	T					
41. American Mutual (AMRFX)	A	Distribution	K	T	Sold (part)	04/25/18	K	D	
42. Wells Fargo Fund (EQIIX)	A	Distribution	J	T					
43. Wells Fargo Fund (EQIIX)	A	Distribution	J	T					
44. Wells Fargo Fund (EQIIX)	A	Distribution	J	T					
45. -Vanguard Intermediate Bond Fund (VCIT) (Roth)	A	Distribution	J	T	Buy (add'l)	01/16/18	J		
46. T Rowe Price Growth (PRGFX)	A	Distribution	J	T	Sold (part)	01/16/18	J	A	
47. T Rowe Price Growth (PRGFX)	A	Distribution	J	T	Sold (part)	07/11/18	J	A	
48. T Rowe Price Growth (PRGFX)	A	Distribution	J	T	Sold (part)	10/03/18	J	A	
49. T Rowe Price Growth (PRGFX)	A	Distribution	J	T	Sold (part)	12/11/18	J	A	
50. -SPDR Series Trust Fund (RWR) (Roth)	A	Distribution	J	T	Buy (add'l)	01/16/18	J		
51. -SPDR Series Trust Fund (RWR) (Roth)	A	Distribution	J	T	Sold (part)	12/11/18	J	A	

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52. - Baird General Mkt Fund (Roth)	A	Int./Div.	J	T					
53. - Microsoft Corp (Roth)	A	Dividend		T	Sold (part)	04/25/18	J	C	
54. -Microsoft Corp (Roth)	A	Dividend			Sold	12/11/18	J	C	
55. - Powershares S&P 500 Fund	B	Distribution	K	T	Sold (part)	04/25/18	K	A	
56. - Poweershares S&P 500 Fund	B	Distribution	K	T	Sold (part)	12/11/18	J	A	
57. Permanent portfolio reinvestment (PRPFX) (Roth)	A	Distribution			Sold	04/03/18	J	A	
58. SPDR Series Trust (RWR)	A	Distribution	J	T					
59. - Lord Abbett Short Duration Income Fund (LALDX)	B	Distribution	K	T					
60. - Vanguard Intermediate Term Fund (VCIT)	A	Distribution	K	T	Sold (part)	04/25/18	J	A	
61. Powershares Exchange S&P 600 (Roth)	A	Distribution	K	T	Buy (add'l)	04/25/18	J		
62. Powershares Exchange S&P 600 (Roth)	A	Distribution	K	T	Sold (part)	10/03/18	J	A	
63. Flexshares Morning Star Fund (Roth)	A	Distribution	K	T	Buy	07/11/18	J		
64. Lord Abbett Floating Rate (LFRAX) (Roth)	B	Distribution	K	T	Sold (part)	12/11/18	J	A	
65. Northwestern Mutual Life Insurance (whole life policy)		None	N	T					
66. Unimproved real estate St. Joseph Cty, IN		None	L	W					
67. Baird Trust Acct: items 68-126									
68. - Automatic Data Processing (ADP)	B	Dividend	L	T					

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69. - Target Corp. common	B	Dividend			Donated				
70. - Kellogg Company	B	Dividend	K	T					
71. -Blackrock Inc.	B	Dividend	L	T	Sold (part)	05/11/18	K	E	
72. - Factset Research Systems	B	Dividend	M	T					
73. - Illinois Tool Works common	B	Dividend	L	T					
74. -Intel Corp common	A	Dividend	K	T					
75. - Varian Medical		None	L	T					
76. - Johnson & Johnson	B	Dividend	L	T					
77. - LKQ Corp Common		None	J	T	Buy	08/14/18	K		
78. -LKQ Corp Common		None	J	T	Sold (part)	12/14/18	K	A	
79. - Procter & Gamble common	B	Dividend	L	T					
80. Elkhart, IN muni	A	Interest	K	T					
81. Nike Common	A	Dividend	K	T					
82. Locort Managed Futures Fund	C	Distribution	J	T	Sold (part)	05/11/18	K	A	
83. - Fiserv Inc.		None	O	T					
84. - Becton Dickinson & Co.	B	Dividend	L	T					
85. - Ecolab common	B	Dividend	M	T					

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86. - Patterson Companies common	C	Dividend	L	T					
87. - Barclays Bank Bond	B	Int./Div.	K	T					
88. - Cognizant Technology	A	Dividend	K	T					
89. - Fastenal common	C	Dividend	M	T					
90. Walt Disney Common	A	Dividend	L	T					
91. - Bio Techne Corp.	A	Dividend	L	T					
92. - Barnes Group common		None	K	T					
93. - Valmont Industries	A	Dividend	K	T					
94. - Cisco Systems common	D	Dividend	J	T					
95. - Gilead Sciences common	B	Dividend	L	T					
96. - Harley Davidson common	B	Dividend	K	T					
97. Walgreens Boots Alliance	B	Distribution	K	T	Buy	01/04/18	K		
98. - PepsiCo Inc.	C	Dividend	L	T					
99. Middleby Corp		None	K	T	Sold (part)	06/05/18	K		
100. Middleby Corp		None	K	T	Buy	07/12/18	K		
101. - Emerson Electric	B	Dividend	L	T					
102. - EQT Corp.	A	Dividend			Sold	10/26/18	K		

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103. - Microsoft Corp	C	Dividend	M	T					
104. -Intuit Inc (INTU)	A	Dividend	L	T					
105. -CDK Global	A	Dividend	K	T	Buy	05/11/18	K		
106. -CDK Global	A	Dividend	K	T	Buy (add'l)	08/14/18	K		
107. - McCormick & Co.	B	Dividend	L	T					
108. - Wells Fargo Muni Bond --	C	Dividend	M	T					
109. - General Electric	B	Dividend			Donated				
110. - Harris Corp.	B	Dividend			Donated				
111. Vanguard Intermediate Muni Fund	A	Interest			Sold	10/12/18	M	A	
112. -Pfizer Inc.	A	Dividend	J	T					
113. -Corning Common	A	Dividend	K	T					
114. -Dowdupont common	A	Dividend	K	T					
115. -JM Smucker (SJM)	A	Dividend	J	T					
116. Praxair	B	Dividend			Redeemed	10/31/18	M	E	Merged with Linde
117. Skyworks Solutions	A	Dividend	K	T					
118. -Intercontinental Exchange (ICE)	B	Dividend	L	T					
119. Apple Common	B	Dividend	L	T	Sold (part)	05/11/18	K	D	

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
120. UBS custodial accts:Fidelity Adv. dividend growth	A	Int./Div.	J	T					
121. 529 Ed. Plan Funds: items 121-128									
122. Invesco College Bound 2017-2018		None	K	T					
123. Invesco College Bound Today		None	K	T					
124. American Balance Fund 529A		None	M	T					
125. Growth Fund of America 529A		None	L	T					
126. College Choice Advisor Plan: 2016 Enrollment		None			Sold	07/11/18	K		
127. College Choice Advisor Plan: 2016 Enrollment		None	K	T	Buy	12/06/18	J		
128. College Choice Advisor Plan: 2016 Enrollment		None			Sold	12/27/18	J		
129. US Charitable Gift Fund		None	K	T					
130. Diamond		None	J	W					
131. Alliance Data Systems	A	Dividend			Buy	03/27/18	K		
132. Alliance Data Systems	A	Dividend			Sold	12/14/18	K	A	
133. Flexshares Trust Intl Quality Div Index FD	C	Distribution	K	T	Buy	12/21/18	K		
134. Linde Corp	A	Dividend			Buy	10/31/18	M		
135. Linde Corp	A	Dividend			Sold	12/06/18	M	A	
136. LKQ Corp	B	Dividend			Buy	08/14/18	K		

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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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Name of Person Reporting

Manion, Daniel A.

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 Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
137. LKQ Corp	B	Dividend			Sold	12/14/18	K	A	
138. MSCI Inc Class A	A	Dividend	K	T	Buy	11/23/18	K		
139. Walgreens Boots Alliance Inc	B	Dividend	K	T	Buy	01/04/18	K		
140. IPS MLTI Sch Bldg Corp in 1st MTG RFDG REV CR	B	Interest	K	T	Buy	12/21/18	K		
141. Lebanon IN Cmnty Sch Corp	B	Interest	L	T	Buy	10/12/18	L		
142. Richmond IN Cmnty Sch	B	Interest	L	T	Buy	10/12/18	L		
143. Tippecanoe Cnty IN NSE08 Sch Bldg Corp	A	Interest	J	T	Buy	12/21/18	J		
144. Tri Creek 2002 High Sch Bldg Corp	B	Interest	L	T	Buy	12/21/18	L		
145. Flexshares Trust Qlty Div Index Fund	A	Distribution	K	T	Buy	04/03/18	K		
146. LOCORR MACRO Strategies CL I	A	Distribution	J	T	Buy	04/03/18	J		
147. Flexshares Trust Qlty Div Index Fund	A	Distribution	K	T	Buy	04/25/18	K		

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

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Name of Person Reporting	Date of Report
Manion, Daniel A.	05/15/2019

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

Line 114: Self-directed charitable foundation (value donated to charity reduced corpus in fund)
VII. Investments and Trusts, Line 116: Name change only - from Dupont to Dowdupont.

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Name of Person Reporting

Manion, Daniel A.

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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/ **Daniel A. Manion**

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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