

FINANCIAL DISCLOSURE REPORT

Nomination Report

Report required by the Ethics in Government Act of 1978, as amended (5 U.S.C. App. 4, Sec. 101-112)

1. Person Reporting (Last name, first, middle initial) Schwab, Arthur J.		2. Court or Organization Dist. Court-Western D. of PA	3. Date of Report 01/25/2002
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge (nominee)		5. Report Type (check type) ☒ Nomination, Date 01/23/2002 Initial _____ Annual _____ Final _____	6. Reporting Period 01/01/2001 to 12/31/2001
7. Chambers or Office Address Buchanan Ingersoll, P.C. One Oxford Centre, 20th Floor Pittsburgh, PA 15219-1410		8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each section where you have no reportable information. Sign on the last page.			

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

POSITION	NAME OF ORGANIZATION / ENTITY
☐ NONE (No reportable positions.)	
1 Shareholder; Chief Counsel - Complex Litigation	Buchanan Ingersoll Professional Corporation (BIPC) (Law Firm)
2 Part-time Professor (evening course)	Grove City College
3 Trustee (non-compensated)	Grove City College

II. AGREEMENTS (Reporting individual only; see pp. 14-16 of Instructions.)

DATE	PARTIES AND TERMS
☐ NONE (No reportable agreements.)	
1 2002	BIPC Severance Agreement (no actual agreement yet -- the amount will be a sum certain and will not be based upon the sharing of (cntd Part 9)
2 2002	BIPC Pension Plan and Profit Sharing Plan (no control)
3 08/07/01	Grove City College - Part-time Professor - evening course - intellectual property law (compensation will be within the applicable judicial (cntd Part 8)

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

DATE	SOURCE AND TYPE	GROSS INCOME (yours, not spouse's)
☐ NONE (No reportable non-investment income.)		
1 2001	BIPC compensation	\$789,380
2 2000	BIPC compensation	\$967,266
3		
4		

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IV. REIMBURSEMENTS -- transportation, lodging, food, entertainment.
(Includes those to spouse and dependent children. See pp. 25-28 of Instructions.)

	SOURCE	DESCRIPTION
☐	NONE (No such reportable reimbursements.)	
1	EXEMPT	
2		
3		
4		
5		
6		
7		

V. GIFTS
(Includes those to spouse and dependent children. See pp. 29-32 of Instructions.)

	SOURCE	DESCRIPTION	VALUE
☐	NONE (No such reportable gifts.)		
1	EXEMPT		
2			
3			

VI. LIABILITIES
(Includes those of spouse and dependent children. See pp 33-35 of Instructions.)

	CREDITOR	DESCRIPTION	VALUE CODE*
☒	NONE (No reportable liabilities.)		
1			
2			
3			
4			
5			
6			

* VAL CODES: J=\$15,000 or less K=\$15,001-\$50,000 L=\$50,001 to \$100,000 M=\$100,001-\$250,000 N=\$250,001-\$500,000
0=\$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=\$50,000,001 or more

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VII. Page 1 INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children. See pp. 36-54 of Instructions.)

A. Description of Assets (including trust assets) <i>Place "(X)" after each asset exempt from prior disclosure.</i>	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code (A-H)	(2) Type (e.g., dividend, rent or interest)	(1) Value Code (J-P)	(2) Value Method Code (Q-W)	(1) Type (e.g., buy, sell, partial sale, merger, redemption)	If not exempt from disclosure			
						(2) Date: Month-Day	(3) Value Code (J-P)	(4) Gain Code (A-H)	(5) Identity of buyer/seller (if private transaction)
NONE (No reportable income, assets, or transactions.)									
1 ROLLOVER IRA No. 1:	D	Dividend/Int	O	T	EXEMPT				
2 -SPDR Trust Unit Ser 1 (S&P 500 Index Fund)					EXEMPT				
3 -Blackrock Fund Core Bond Total Return					EXEMPT				
4 -RS Investment Mgmt - Microcap Growth Fund					EXEMPT				
5 -Fidelity Gov't Money Mkt					EXEMPT				
6 -Riverfront Capital Fund (A) See VIII					EXEMPT				
7 ROLLOVER IRA No. 2:	C	Dividend/Int	M	T	EXEMPT				
8 -SPDR Trust Unit Ser 1 (S&P 500 Index Fund)					EXEMPT				
9 -Blackrock Fund Core Bond Total Return					EXEMPT				
10 -Fidelity Gov't Money Mkt					EXEMPT				
11 RETIREMENT PLAN No. 1:	D	Dividend/Int	M	T	EXEMPT				
12 -Armada Equity Index Fund (S&P 500 Index Fund)					EXEMPT				
13 -Oak Associates Aggressive Growth Fund					EXEMPT				
14 -Putnam Income Fund (Money Market)					EXEMPT				
15 CASH BALANCE PENSION FUND	A	Interest	K	T	EXEMPT				
16 IRA No. 3 (spouse) - FIDELITY SPARTAN 500 INDEX FUND	A	Dividend	K	T	EXEMPT				
17 LIFE INSURANCE (CASH VALUE)	D	Interest	M	T	EXEMPT				

1 Inc/Gain Codes: A=\$1,000 or less (Col. B1, D4) 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=\$5,000,001 or more	E=\$15,001-\$50,000
2 Val Codes: J=\$15,000 or less (Col. C1, D3) O=\$500,001-\$1,000,000	K=\$15,001-\$50,000 P1=\$1,000,001-\$5,000,000	L=\$50,001-\$100,000 P2=\$5,000,001-\$25,000,000	M=\$100,001-\$250,000 P3=\$25,000,001-\$50,000,000	N=\$250,001-\$500,000 P4=\$50,000,001 or more
3 Val Mth Codes: Q=Appraisal (Col. C2) U=Book Value	R=Cost (real estate only) V=Other	S=Assessment W=Estimated	T=Cash/Market	

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VII. Page 2 INVESTMENTS and TRUSTS— income, value, transactions

(Includes those of spouse and
dependent children. See pp. 36-54 of Instructions.)

A. Description of Assets (including trust assets) <i>Place "(X)" after each asset exempt from prior disclosure.</i>	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code (A-H)	(2) Type (e.g., dividend, rent or interest)	(1) Value Code (J-P)	(2) Value Method Code (Q-W)	(1) Type (e.g., buy, sell, partial sale, merger, redemption)	If not exempt from disclosure			
						(2) Date: Month- Day	(3) Value Code (J-P)	(4) Gain Code (A-H)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income, assets, or transactions.)									
18 RIVERFRONT CAPITAL FUND (B) See VIII		None	K	U	EXEMPT				
19 LAW FIRM CAPITAL ACCOUNT		None	K	U	EXEMPT				
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32									
33									
34									

1 Inc/Gain Codes: A=\$1,000 or less (Col. B1, D4)	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=\$5,000,001 or more	E=\$15,001-\$50,000
2 Val Codes: J=\$15,000 or less (Col. C1, D3)	K=\$15,001-\$50,000 O=\$500,001-\$1,000,000	L=\$50,001-\$100,000 P1=\$1,000,001-\$5,000,000	M=\$100,001-\$250,000 P2=\$5,000,001-\$25,000,000	N=\$250,001-\$500,000 P3=\$25,000,001-\$50,000,000	P4=\$50,000,001 or more
3 Val Mth Codes: Q=Appraisal (Col. C2)	U=Book Value	R=Cost (real estate only) V=Other	S=Assessment W=Estimated	T=Cash/Market	

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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS.

(indicate part of report.)

PART 2: Parties and Terms re: BIPC Severance, cntd ...profits earned by the Firm after my departure).

PART 2: Parties and Terms re: Grove City, cntd ...guidelines) (started part-time teaching on 01/21/02).

PART 7: Regarding Riverfront Capitol Fund -- I am inclined to invest all IRAs and Retirement Accounts in mutual funds, index funds, or money market funds, except the two existing investments in Riverfront Capital Fund (Limited Partnership with investment in CENTRIA). I have no managerial responsibilities therein -- solely passive investments.

IX. CERTIFICATION

I certify that all the 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. 4, section 501 et. seq., 5 U.S.C. 7353 and Judicial Conference regulations.

Signature



Date

01/25/2002

Note:

Any individual who knowingly and wilfully falsifies or fails to file this report may be subject to civil and criminal sanctions (5 U.S.C. App. 4, Section 104).

FILING INSTRUCTIONS

Mail original and three additional copies to:

Committee on Financial Disclosure
Administrative Office of the United States Courts
One Columbus Circle, N.E.
Suite 2-301
Washington, D.C. 20544

FINANCIAL STATEMENT NET WORTH

Provide a complete, current financial net worth statement which itemizes in detail all assets (including bank accounts, real estate, securities, trusts, investments, and other financial holdings) all liabilities (including debts, mortgages, loans, and other financial obligations) of yourself, your spouse, and other immediate members of your household.

ASSETS				LIABILITIES			
Cash on hand and in banks (est.) (1/25/02)	\$	13	000	Notes payable to banks-secured (1/25/02)	\$	117	000
U.S. Government securities-add schedule				Notes payable to banks-unsecured			
Listed securities-add schedule				Notes payable to relatives			
Unlisted securities-add schedule				Notes payable to others			
Accounts and notes receivable:				Accounts and bills due			
Due from relatives and friends				Unpaid income tax			
Due from others				Other unpaid income and interest			
Doubtful				Real estate mortgages payable-add schedule (12/31/01) (on personal residence only)		275	000
Real estate owned-add schedule (12/31/01) (personal residence only)		600	000	Chattel mortgages and other liens payable			
Real estate mortgages receivable				Other debts-itemize:			
Autos and other personal property (est.)		460	000				
Cash value-life insurance (12/31/01)		103	000				
Other assets itemize: Law Firm Capital Account (12/31/01 - est.)		33	000				
Cash Balance Pension Fund (12/31/01 - est.)		24	000				
Retirement Account - (12/31/01)		238	000				
Rollover IRAs (12/30/01)		821	000				
Traditional IRA (12/12/01)		23	000				
Riverfront Capital (cost)		50	000	Total liabilities		392	000
				Net Worth	1	973	000
Total Assets	2	365	000	Total liabilities and net worth	2	365	000
CONTINGENT LIABILITIES				GENERAL INFORMATION			
As endorser, comaker or guarantor			NO	Are any assets pledged? (Add schedule)			NO