

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) Graham, James L.	2. Court or Organization U.S. District Court, SD/OH	3. Date of Report 08/10/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge-Senior	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2019 to 12/31/2019
7. Chambers or Office Address 349 Joseph P. Keinnery U.S. CH 85 Marconi Blvd. Columbus, OH 43215		
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.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 8

Name of Person Reporting	Date of Report
Graham, James L.	08/10/2020

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.)

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.				

Name of Person Reporting	Date of Report
Graham, James L.	08/10/2020

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.			
2.			
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.			
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 8

Name of Person Reporting

Graham, James L.

Date of Report

08/10/2020

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 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. Partnership-Farm Land-Franklin Co. Ohio	A	Rent	L	R					
2. Huntington National-Checking and Savings	C	Interest	L	T					
3. Gold & Silver Coins		None	J	T					
4. Charles Schwab Money Market Account	A	Interest	L	T					
5. Middletown OH RFDG/IMPR 3.75%Due 12/01/19	A	Interest			Matured	12/02/19	J		
6. OH ST Infnt/Impr 3.25% DUE 08/01/20	B	Interest	L	T					
7. Wells Fargo Bank Sweep Account	D	Interest			Distributed	06/19/19	N		
8. Charles Schwab Bank	A	Interest	J	T					
9. Charles Schwab Bank-IRA	E	Distribution	N	T					
10. 20000 SHS Theratechnologies THTX Schwab Acct		None			Sold	12/16/19	L		
11. Eaton Vance NAT Itd Mat-Muni inc A IRA	B	Distribution			Closed	10/24/19	K		
12. American FD Income FD IRA	A	Distribution			Closed	10/24/19	K		
13. Charles Schwab IRA	D	Distribution			Closed	10/24/19	K		
14. Ally Bank-Checking	A	Interest	K	T					
15. Ally Bank - Savings & CD's	E	Interest	O	T					
16. 14,000 SHS Theratechnologies THTX (9,000 remaining) Schwab Acct.		None	K	T	Sold (part)	12/16/19	K	E	
17. Synchrony Bank - Savings	D	Interest	M	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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 8

Name of Person Reporting

Graham, James L.

Date of Report

08/10/2020

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 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)
18. General Motors Finance BD Due 01/15/19	A	Interest			Matured	01/15/19	K		
19. Marathon Oil Corp BD Due 06/02/20	B	Interest			Matured	10/03/19	K	A	
20. Ford Motor Credit Bd Due 06/20/20- Raymond James	B	Interest	K	T					
21. Barclay's Bank Note Due 06/20/19	B	Interest			Matured	06/20/19	M		
22. Ford Motor Credit Bd Due 05/20/21- Raymond James	C	Interest	M	T					
23. CreditAgricale CIB 3% Bd Due 09/28/20	B	Interest			Matured	09/30/19	K		
24. Barclay's Bank PLC 3.25% BD Due 07/20/21- Raymond James Acct.	B	Interest	L	T					
25. Dublin OH BD 2.5% Due 12/01/21- Raymond James Account	C	Interest	M	T					
26. 33,000 SHS Theratechnologies THTX Schwab Acct.sold 29,000 4,000,remain		None	J	T	Sold (part)	12/16/19	J		
27. Synchrony Bank - CD 2.616% Due 10/06/19	B	Interest			Matured	10/06/19	N		
28. Synchrony Bank - CD 1.931% Due 02/26/19	C	Interest			Matured	02/16/19	N		
29. Synchrony Bank - CD 2.713% Due 01/29/20	D	Interest	N	T					
30. Ally Bank - CD Due 2.03% Due 02/26/19	B	Interest			Matured	02/26/19	M		
31. Ally Bank CD 2.42% Due 08/13/19	D	Interest			Matured	08/13/19	N		
32. 1,100SHS Trerathnologies THTX- Held in Raymond James Act.		None	J	T	Buy	05/24/19	J		
33. Reymond James Sweap Account	A	Interest	K	T	Open	06/19/19	K		
34. Bk Of Am Bond-due 10/30/22 -2.1%- Raymond James Acct.	B	Interest	L	T	Buy	10/28/19	L		

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	
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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)
35. Ford Bond - due 08/20/23- 3.35% -Raymond James	B	Interest	K	T	Buy	08/19/19	K		
36. General Motors Bd due 0708/22-3.55% Raymond James	C	Interest	L	T	Buy	07/23/19	L		
37. Morgan Stanley BD -due 07/31/20 - 3.50% - Raymond James	A	Interest	K	T	Buy	01/29/19	K		
38.									

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

Page 7 of 8

Name of Person Reporting

Graham, James L.

Date of Report

08/10/2020

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

Part VII, Page 1, Line 1 -The date of purchase was April 2, 2002. The actual cost was \$75,291.90.

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

Graham, James L.

Date of Report

08/10/2020

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/ James L. Graham**

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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544