

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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) STEVENS, JOHN PAUL	2. Court or Organization SUPREME COURT OF THE U. S.	3. Date of Report 05/14/2015
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) ASSOCIATE JUSTICE (Ret.)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2014 to 12/31/2014
7. Chambers or Office Address 1 FIRST STREET, N. E. WASHINGTON, D.C. 20543		
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 9

Name of Person Reporting

STEVENS, JOHN PAUL

Date of Report

05/14/2015

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. 2014	Peter Bernstein Corporation - Book Royalties	\$127,500.00
2. 2014	New York Review of Books - Book Review	\$4,000.00
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. Georgia State College of Law	April 16, 2014	Atlanta, Georgia	Delivered the 54th Distinguished Henry J. Miller Lecture	Transportation, Meals
2. UCLA School of Law	May 15-17, 2014	Los Angeles, California	Delivered Commencement Address	Transportation, Meals, Hotel
3. Chicago Bar Association	September 18, 2014	Chicago, Illinois	Keynote Address - 15th Annual John Paul Stevens Awards Luncheon	Transportation, Meals, Hotel
4. Northwestern Law School	September 19, 2014	Chicago, Illinois	Recipient Dean's Legacy Award - Northwestern Law Alumni Awards Luncheon	Transportation, Meals, Hotel

FINANCIAL DISCLOSURE REPORT

Page 3 of 9

Name of Person Reporting

STEVENS, JOHN PAUL

Date of Report

05/14/2015

5.	The Economic Club of Southwestern Michigan	September 23-24, 2014	Benton Harbor, Michigan	Guest Speaker and Q&A Session - Dinner Program	Transportation, Meals
6.	Gerald R. Ford Presidential Foundation	October 20, 2014	Grand Rapids, Michigan	Participated in panel discussion - Luncheon Program	Transportation, Meals

FINANCIAL DISCLOSURE REPORT

Page 4 of 9

Name of Person Reporting

STEVENS, JOHN PAUL

Date of Report

05/14/2015

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.	Union League Club of Chicago	Honorary Membership (Non-resident fee)	\$840.00
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 5 of 9

Name of Person Reporting

STEVENS, JOHN PAUL

Date of Report

05/14/2015

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. BB&T Ins. Inv., Arlington	B	Interest	L	T					
2. BB&T Ins. Inv., Arlington	B	Interest	O	T					
3. Wells Fargo	B	Interest	N	T					
4. Wells Fargo	B	Interest	L	T					
5. Wells Fargo	A	Interest	J	T					
6. Bank of America	B	Interest	M	T					
7. Income Beneficiary Family Trust No. 2	F	Int./Div.	P1	T					
8. - Bank of America Money Market Savings Account	A	Interest	J	T					
9. - Columbia Dividend Income Fund Class Z Shares	D	Dividend	L	T	Buy	03/17/14	K		
10. - Columbia High Yield Municipal FD Class Z Shares	C	Interest	K	T	Sold (part)	04/22/14	K		
11. - Columbia Short Term Municipal BD Fund Class Z Shares	D	Interest	O	T	Buy	01/15/14	K		
12.					Sold (part)	04/22/14	K		
13. - Dividend Income Common Trust Fund	C	Interest	M	T					
14. - Emerging Markets Stock Common Trust Fund	A	Interest	K	T					
15. - Harbor International Fund Instl Class	B	Dividend	L	T					
16. - International Focused Equity Common Trust Fund	A	Interest	K	T					
17. - iShares Russell 1000 Growth ETF	C	Dividend	M	T	Buy	04/24/14	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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 9

Name of Person Reporting

STEVENS, JOHN PAUL

Date of Report

05/14/2015

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. - IShares Russell 2000 Value ETF	A	Dividend	K	T	Buy	03/11/14	K		
19.					Buy (add'l)	03/19/14	K		
20. - Mid Cap Growth CTF	A	Interest	L	T					
21. - Mid Cap Value CTF	A	Interest	L	T					
22. - Oppenheimer Intl Growth Fund CL Y Shares	A	Dividend	L	T	Buy	04/22/14	L		
23. - Pimco All Asset All Auth Fund Instl Cl	B	Dividend	M	T	Sold (part)	08/28/14	J		
24. - Pimco All Asset Fund Instl Cl	B	Dividend	L	T	Buy	04/22/14	L		
25. - Pimco Commodities Plus Strategy Fund Instl Cl	B	Dividend	K	T	Buy	04/22/14	K		
26. - Pimco High Yield Fd Instl Cl	D	Dividend	L	T	Sold (part)	04/22/14	K		
27. - Reit Common Trust Fund	B	Interest	M	T	Buy	04/30/14	K		
28. - Schroder Emerging Mkt Equity Fund Inv Cl	A	Dividend	L	T	Buy	04/22/14	L		
29. - Small Cap Growth Leaders CTF	A	Interest	K	T	Buy	04/30/14	K		
30. - Small Cap Value CTF	B	Interest	L	T					
31. - Tax Exempt CTF [See Note in Pt. VIII]	A	Interest							
32. - Templeton Global Bd Fund Advisor CL	C	Dividend	L	T	Sold (part)	04/22/14	K		
33. - Thornburg Intl Value Fund CL I	C	Dividend	K	T	Buy	03/07/14	K		
34.					Buy (add'l)	03/17/14	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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 9

Name of Person Reporting

STEVENS, JOHN PAUL

Date of Report

05/14/2015

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)
35. - Thornburg Intl Value Fund CL I	C	Dividend	K	T	Sold (part)	08/28/14	J		
36. - Vanguard Index TR Vanguard Mid-Cap Value ETF	B	Dividend	L	T	Buy	03/11/14	K		
37.					Buy (add'l)	03/19/14	K		
38. - Wisdomtree Emerging Mkts High Yielding Equity Fund	B	Dividend	K	T					
39. Greater Richmond Convention Control	B	Interest	K	T					
40. Henrico County, Va. Econ. Dev.	A	Interest	J	T					
41.									

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 8 of 9

Name of Person Reporting

STEVENS, JOHN PAUL

Date of Report

05/14/2015

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

- 1) Part VII, page 9, line 31 - Asset re: Tax Exempt CTF listed on line 31 was sold entirely in 2013 (12/31/13).

FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

STEVENS, JOHN PAUL

Date of Report

05/14/2015

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/ JOHN PAUL STEVENS**

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