

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

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) Helmick, Jeffrey J.	2. Court or Organization U.S. District Court - Northern District of Ohio	3. Date of Report 04/28/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Active Status	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2020 to 12/31/2020
	5b. ☐ Amended Report	
7. Chambers or Office Address 1716 Spielbusch Avenue, Suite 210, Toledo, Ohio 43604		
IMPORTANT NOTES: <i>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>		

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. Member, Board of Trustees	Needmor Fund
2.	
3.	
4.	
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.)*

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.)*

<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. Amex Gold	Credit Card	K
2. Discover	Credit Card	K
3. Amex Delta	Credit Card	K
4. Capital One Visa	Credit Card	J
5. Amex, Standard	Credit Card	J
6. Chase, Freedom	Credit Card	J
7. Chase, Prime	Credit Card	J
8. 5/3 Bank MC	Credit Card	J
9.		
10.		

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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)
1. TRUST #1 -(754)									
2. -First TR Morningstar Div	A	Dividend			Sold	08/18/20	J	D	
3. -iShares Core S&P 500 ETE	E	Dividend	L	T					
4. -iShares Russell MID-CAP ETF	D	Dividend			Sold	10/08/20	J	E	
5. -iShares Russell MID-CAP G ETF	E	Dividend	L	T					
6. -Vanguard Reit ETF	B	Dividend			Sold	5/15/20	J	A	
7. -Alphabet Inc (Google)	D	Dividend	K	T					
8. -Amazon Com Inc Stock	E	Dividend	L	T					
9. -American Express	A	Dividend			Sold	1/27/20	J	A	
10. -American Water Works Co Stock	D	Dividend	J	T					
11. -Apple Inc Stock	E	Dividend	K	T					
12. -Bank of Hawaii Corp Stock	A	Dividend			Sold	1/27/20	J	D	
13. -Biogen Inc.	A	Dividend			Sold	1/27/20	J	C	
14. -Boeing Co.	A	Int./Div.			Sold	10/8/20	J	D	
15. -CME Group Inc Stock	D	Dividend	K	T					
16. -Cincinnati Financial Corp Stock	C	Dividend	J	T					
17. -Comcast Corp (New) Classs A Stock	D	Dividend	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. -Facebook Inc Class A	D	Dividend	K	T					
19. -Honeywell Int Inc Stock	D	Dividend	J	T					
20. -Intel Corp	D	Dividend	J	T					
21. -JP Morgan Chase & Co Stock	D	Dividend	K	T					
22. -McDonalds Corp Stock	D	Dividend	K	T					
23. -Merck & Co Inc.	B	Dividend	J	T					
24. -MetLife Inc Stock	A	Dividend			Sold	9/21/20	J	C	
25. -Microsoft Corp Stock	F	Dividend	L	T					
26. -Oracle Corp Stock	D	Dividend	J	T					
27. -PNC Finl Svcs GP Stock	C	Dividend	J	T					
28. -Pepsico Inc NC Stock	D	Dividend	J	T					
29. -Pfizer Inc Stock	C	Dividend	J	T					
30. -Qualcomm Inc	D	Dividend	K	T					
31. -Republic Services Inc Stock	D	Dividend			Sold	1/27/20	J	D	
32. -Resideo Technologies Corp (Distribution from Honewell)	A	Dividend			Sold	1/27/20	J	A	
33. -Rockwell Automation Inc Stock	D	Dividend	J	T					
34. -Sherwin Williams Co Ohio Stock	A	Dividend			Sold	1/27/20	J	D	

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

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35. -3M Company Stock	A	Dividend			Sold	10/8/20	J	D	
36. -United Technologies Corp Stock (name change to Com)	A	Dividend			Sold	4/3/20	J	A	
37. -Verizon Communications Stock	D	Dividend	K	T					
38. -Wells Fargo & Co Stock	A	Dividend			Sold	7/31/20	J	D	
39. -Welltower Inc Stock	B	Dividend	J	T					
40. -Fidelity Government Cash Reverses	E	Int./Div.	K	T					
41. Raytheon Tech Corp	C	Dividend	J	T	Buy	12/10/20	J		
42. Viatrix Inc Com	A	Dividend	J	T	Buy	12/10/20	J		
43. First TR Morningstar	D	Dividend			Buy	02/10/20	J		
44. First TR Morningstar	D	Dividend			Sold	8/18/20	J		
45. TRUST #2 (Key)									
46. -Google Inc Stock Class A (Alphabet Inc)	E	Dividend	K	T					
47. -Apple Inc.	E	Dividend	L	T					
48. -Dodge & Cox Int'l Stock Fund	F	Dividend	K	T					
49. -Intel Corp Stock	C	Dividend	J	T					
50. -iShares Core MSCI EAFE EFT	E	Dividend	L	T					
51. -iShares Core S&P 500 ETF (formerly S& P 500 Index Fund)	E	Dividend	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 \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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52. -iShares Core S&P MID-CAP ETF	E	Dividend	K	T					
53. -iShares Core S&P SMALL -CAP ETF	D	Dividend	K	T					
54. -JP Morgan US Equity Fund	C	Dividend			Sold	4/13/20	L	A	
55. -Neuberger Berman Emer Mkts Eqty	A	Dividend	J	T					
56. -Vanguard Emerging Markets Fund	C	Dividend	J	T					
57. -Doubleline Total Return Bond Fd	A	Interest	J	T					
58. -KT Short Term Tax-Free Fund	D	Dividend	N	T					
59. -Western Asset Core Plus Bond	B	Interest	L	T					
60. -KT Short Term Deposit/Investment Fund	B	Dividend	J	T					
61. DEFERRED COMP #1 (H)									
62. -Dodge & Cox Stock Fund	C	Int./Div.	K	T					
63. -Fidelity Contrafund CP (formerly Fidelity Contrafund)	D	Int./Div.	M	T					
64. -Ohio DC Stable Value Option	A	Int./Div.	K	T					
65. -Ohio DC Intermediate Bond	A	Int./Div.	J	T					
66. -Ohio DC Small-Cap Value	C	Int./Div.	J	T					
67. -Vanguard Capital Opportunity Stock Fund	C	Dividend	K	T					
68. Ishares MSCI USA	D	Dividend	L	T	Buy	4/14/20	K		

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	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)
69. IRA #1 (638)									
70. Fidelity Cash Reserves	A	Dividend	J	T					
71. Amgen	B	Dividend	J	T					
72. Boeing	D	Dividend	J	T					
73. Disney Walt	A	Dividend	J	T					
74. Facebook Inc.	A	Dividend	J	T					
75. JP Morgan Chase	A	Dividend	J	T					

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

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

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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/ Jeffrey J. Helmick**

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