

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) Bailey, John P.	2. Court or Organization Northern District of West Virginia	3. Date of Report 01/24/2022
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 U.S. Courthouse P.O. Box 551 Wheeling, WV 26003		
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

Bailey, John P.

Date of Report

01/24/2022

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.		
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.)

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2020	Prompt Analytics LLC
2. 2020	Engage Analytics LLC
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.				
2.				
3.				
4.				
5.				

Name of Person Reporting	Date of Report
Bailey, John P.	01/24/2022

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. Chase Bank	Credit Card	J
2. BB&T	Credit Card	J
3. American Express	Credit Card	J
4. Barclay's Bank	Credit Card	J
5. BB&T	Mortgage on Rental Prop., Part VII, line 11	None
6. Wells Fargo	Mortgage on Rental Prop., Part VII, line 11	O
7. United Bank	Mortgage on Rental Prop., Part VII, line 11	K
8. Citibank	Credit Card	J
9. United Bank	Credit Card	J
10. WesBanco	Credit Card	J

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)
1. IRA #1 (H)									
2. - Barclays US TIPS Fund	A	Dividend			Sold	12/30/20	J	A	
3. - MSCI EAFE Index Fund	A	Dividend			Sold	12/30/20	J	A	
4. - MSCI Emerging Mkt Index Fd ETF	A	Dividend			Sold	12/30/20	J	A	
5. - SPDR S&P 500 ETF	A	Dividend			Sold	12/30/20	K	E	
6. - SPDR S&P Midcap 400 ETF	A	Dividend			Sold	12/30/20	J	D	
7. - Russell 2000 Value Index Fd	A	Dividend			Sold	12/30/20	J	D	
8. - SPDR S&P Dividend ETF	A	Dividend			Sold	12/30/20	J	D	
9. - Federated US Treasury Cash Reserves 395	A	Interest			Sold	12/30/20	J	A	
10. - Cash - Hazlett, Burt & Watson		None	L	T					
11. Mass Mutual Life Ins. Whole Life Ins.	A	Dividend	J	T					
12. Rental Property, Seabrook Island, SC	E	Rent	P1	Q					
13. IRA #2 (H)									
14. - Dodge & Cox International Stock FD	A	Dividend			Sold	05/06/20	K	A	
15. - Fidelity Govt MMkt Cap Reserves	A	Int./Div.	K	T					
16. - Ishares Russell 2000 Value ETF	A	Dividend	J	T					
17. - Ishares Edge MSCI Min Vol EAFE EFT	A	Dividend	L	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

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.)

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
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18. - SPDR Ser Tr S&P Div. ETF	B	Dividend	L	T					
19. - SPDR S&P Midcap 400 ETF Tr UTSE1	A	Dividend	K	T	Sold (part)	11/13/20	K	D	
20. - Vanguard Spec. Portfolio Div	A	Dividend	K	T					
21. - Vanguard Equity Inc. Admiral FD	A	Dividend	K	T					
22. - Vanguard Index Fd Vanguard Small Cap	A	Dividend	K	T					
23. - Wisdomtree TR Midcap Div Fd	B	Dividend	L	T					
24. - Wisdomtree Small Cap Div Fd	A	Dividend	K	T					
25. -Invesco Exch S&P Low Volatility Fd	B	Dividend	L	T					
26. -Invesco Exch. Fd. Pur. Growth	A	Dividend	K	T	Sold (part)	01/29/20	J	C	
27. - Invesco Exch. Fd. Pur. Growth					Sold (part)	11/13/20	K	D	
28. -Harding Loevner Intl Equity Port Inst	A	Dividend			Sold	01/29/20	K	C	
29. -Federated Ultra Short Bond Is	B	Interest	M	T					
30. - ABM Income Fund Advisor	B	Dividend	K	T	Buy	01/29/20	K		
31.					Buy (add'l)	11/16/20	K		
32. - CTI Biopharma	A	Dividend	J	T	Buy	08/13/20	J		
33. - JP Morgan Large Cap Growth	A	Dividend	K	T	Buy	11/16/20	K		
34. - Fidelity 500 Index Fund	A	Dividend	K	T	Buy	11/16/20	K		

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(See Columns B1 and D4)

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35. Enterprise Products Partners LP	A	Distribution	J	T					
36. Chevron Corp New Com	A	Dividend	J	T					
37. Coca Cola Co.	A	Dividend	J	T					
38. e.l.f. Beauty Inc.	A	Dividend	J	T					
39. Fidelity Govt MMKT Cap. Res.	A	Int./Div.	J	T					
40. Germaine & Co 401(k) (H)									
41. -PNC Stable Value Fd	A	Dividend			Sold	06/11/20	K	A	
42. -Am Europacific Growth R6	B	Dividend			Sold	06/11/20	K	C	
43. -T Rowe Price Growth Stock	B	Dividend			Sold	06/11/20	K	C	
44. - Vanguard 500 Index Admiral	A	Dividend			Sold	06/11/20	K	C	
45. - Vanguard Mid Cap Index Adm	A	Dividend			Sold	06/11/20	K	C	
46. - Vangaurd Small Cap Index Adm	A	Dividend			Sold	06/11/20	K	C	
47. Engage Analytics 401(k) (H)									
48. - John Hancock Multi-Index 2045 Lifetime Fd.	C	Dividend	M	T	Buy	06/11/20	M		

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FINANCIAL DISCLOSURE REPORT

Page 7 of 8

Name of Person Reporting Bailey, John P.	Date of Report 01/24/2022
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

- Part VII, line 12. Property purchased 02/28/14. Actual purchaseice \$762,500.
- Part VII, Line 12. Appraisal dated July 10, 2020.
- Part VII, lines 41-48. Interest in Germaine & Co. 401(k) was liquidated and transferred to the Engage Analytics 401(k).

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

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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/ John P. Bailey**

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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