

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) GWIN, JAMES S.	2. Court or Organization N.D. OHIO	3. Date of Report 12/17/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) JUDGE, ACTIVE	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 CARL B. STOKES US COURT HOUSE 801 WEST SUPERIOR AVENUE CLEVELAND, OH 44113		
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. Monthly	STATE OF OHIO PUBLIC EMPLOYEE RETIREMENT SYSTEM AND OHIO STATE TEACHERS RETIREMENT SYSTEM. RIGHT TO RETIREMENT BENEFITS
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 10

Name of Person Reporting

GWIN, JAMES S.

Date of Report

12/17/2021

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. Monthly	INTERNATIONAL BUSINESS MACHINES, INC., spouse pension
2. Monthly	spouse salary, bonus, restricted stock
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.				

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting	Date of Report
GWIN, JAMES S.	12/17/2021

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.		
2.		
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 10

Name of Person Reporting

GWIN, JAMES S.

Date of Report

12/17/2021

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. Goldman Sachs Financial Square Government Fund (FGTXX)	C	Int./Div.	M	T					
2. IBM common stock (IBM)	A	Dividend	K	T					
3. Berkshire Hathaway common stock (BRKA)	A	Dividend	N	T					
4. Vanguard Total Stock Market Index Fund, tax deferred	E	Dividend	P1	T	Buy (add'l)	01/14/20	K		
5.	E	Distribution			Buy (add'l)	01/31/20	K		
6. [REDACTED] common stock, [REDACTED]	D	Dividend	O	T					
7. Ohio Deferred Compensation LifePath 2035	A	Dividend	N	T					
8. Public Square Partners, LLC	A	Distribution	K	U					
9. Vanguard Total Intl Stock Index Admiral (VTIAX)	E	Dividend	O	T					
10. Ishares S&P Midcap 400 Growth Index Fund (IJK)	B	Dividend	M	T					
11. iShares S&P Smallcap 600 Growth Index Fund (IJT)	E	Dividend	M	T					
12. SPDR S&P MidCap 400 ETF (MDY)	D	Dividend	N	T					
13. Vanguard Intermediate-Term Tax-Exempt Fund Admiral Shares (VWIUX)	C	Dividend	L	T					
14. Vanguard Short-Term Treasury Index Fund Institutional Shares (VSBIX)	B	Dividend	K	T					
15. Vanguard Limited-Term Tax-Exempt Fund Admiral Shares (VMLUX)	C	Dividend	K	T					
16. Vanguard FTSE Developed Markets Index Fund ETF Shares (VEA) (x)	D	Dividend	N	T					
17. Vanguard High Dividend ETF (VYM)	E	Dividend	O	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 10

Name of Person Reporting

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12/17/2021

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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) 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. IQ Hedge Multi-Strategy Tracker ETF (QAI)	D	Dividend	N	T					
19. iShares Core S&P Small-Cap (IJR)	C	Dividend	M	T					
20. WisdomTree U.S. Quality Dividend Growth Fund (DGRW)	A	Dividend	K	T					
21. Vanguard REIT Index ETF (VNQ)	C	Dividend	L	T					
22. iShares S&P 500 Growth (IVW)	A	Dividend	P1	T	Donated (part)	09/04/20	L	A	
23.					Buy (add'l)	09/04/20	L		
24. iShares S&P 500 Value (IVE)	E	Dividend	P1	T					
25. Vanguard FTSE Pacific ETF (VPL)	C	Dividend	M	T					
26. Vanguard Target Retirement 2030 Inv (VTHRX)	E	Dividend	P1	T					
27. Vanguard Balanced Index Fund Admiral Shares (VBIAX)	E	Dividend	O	T					
28. Austin Texas Water & Wastewater Sy (0524766Q)	B	Interest	K	T					
29. Austin Texas Water & Wastewater Sy (524766V5)	A	Interest			Redeemed	04/20/20	K	A	
30. Austin Texas Water & Wastewater Sy (052477CP9)	A	Interest	J	T	Buy	04/20/20	J		
31. Brookville, Ohio Local School District Bond (114691FN3)	A	Interest	K	T					
32. Bethlehem Pennsylvania Government Bonds (0873475M8)	B	Interest	K	T					
33. Bowling Green State University Ohio Bonds (102885JD3)	B	Interest	K	T					
34. California State Various Purpose Bonds (13063DAS7)	B	Interest	K	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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FINANCIAL DISCLOSURE REPORT

Page 6 of 10

Name of Person Reporting

GWIN, JAMES S.

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35. Cincinnati Ohio Wtr Sys Rev Bond (172311MT6)	B	Interest	K	T					
36. Cincinnati Ohio Various Purpose Bond (172217A35)	B	Interest	K	T					
37. Cocoa Florida Wtr & SWR Rev. Bonds (191783EZ8)	A	Interest	K	T					
38. Connecticut St Spl Tax Oblig Rev Bds (207758XU2)	A	Interest	K	T					
39. Cleveland, Ohio Water Revenue Bonds (186427EP1)	A	Interest	K	T					
40. Cuyahoga Community College Revenue Bonds (232393FJ2)	B	Interest	K	T					
41. Fremont Ohio City School District Bonds (357568FW9)	A	Interest	K	T					
42. Hamilton County Ohio Sewar System Revenue Bonds (407288YM5)	B	Interest	K	T					
43. Harris Cnty Tex Metr Trans Auth (41422EHP1)	B	Interest	K	T					
44. Harris Cnty Tex Trans. Auth (4140185U1)	B	Interest	K	T					
45. Holbrook Mass Sch. Bonds (434722JB0)	A	Interest			Redeemed	12/01/20	K	A	
46. Hurst Bedford Texas Independent School District (447819ET6)	B	Interest	K	T					
47. Kentucky State Property & Bldgs Bonds (49151FWB2)	B	Interest			Redeemed	05/01/20	K	A	
48. Lake Orion Mich Community School District Bond (510336QZ6)	B	Interest	K	T					
49. Lakewood Ohio City School District Bond (512624RC3)	B	Interest	K	T					
50. Metropolitan Transn Auth N Y Rev Trans Bonds (59261AXC6)	B	Interest			Redeemed	09/01/20	K	A	
51. Metropolitan Transportation Authority Revenue Bonds (59261ANG8)	B	Interest	K	T					

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FINANCIAL DISCLOSURE REPORT

Page 7 of 10

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GWIN, JAMES S.

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52. Miami Beach Florida Water & Sewer Revenue Bond (593241BK7)	B	Interest	K	T					
53. Miami Univ Ohio Gen Rcpts Rev Bonds (593791HE9)	A	Interest	K	T					
54. Miami Univ Ohio Gen Rcpts Rev Bonds (593791FK7)	C	Interest	L	T					
55. Middletown Ohio School District SCh Impt (597137GT9)	C	Interest	L	T	Buy	01/20/20	L		
56. New York State Dormitory Bonds (64990FAT1)	B	Interest			Redeemed	05/20/20	K		
57. New York State Dormitory Bonds (64990FVX9)	A	Interest	K	T	Buy	05/20/20	K		
58. North Royalton Ohio School District Bond (662055KA9)	B	Interest	K	T					
59. Ohio State Infrastructure Impt (6775214F0)	A	Interest	K	T	Buy	01/15/20	K		
60. Ohio State GO Hwy Cap Impt Bds (677522B86)	A	Interest	K	T	Buy	05/06/20	K		
61. Ohio State Adult Correctional Bonds (677524CT5)	B	Interest	K	T					
62. Ohio State Adult Correctional Bonds (677524AU3)	A	Interest	K	T					
63. Ohio St Dept Adm Svcs (67755NHR9)	A	Interest	K	T	Buy	05/05/20	J		
64. Ohio State Cap FACS Lease Appropriation (677521W28)	B	Interest	K	T					
65. Oshkosh Wisconsin Bond (68825WDY2)	B	Interest	K	T					
66. Phoenix AR, Civic Impr Bond (71883MGL1)	B	Interest			Redeemed	07/20/20	K	A	
67. Strongsville Ohio City School Bong (863387ME3)	A	Interest	K	T					
68. Princeton, Ohio City School Dst Bds (742327DR7)	B	Interest	K	T					

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FINANCIAL DISCLOSURE REPORT

Page 8 of 10

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GWIN, JAMES S.

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69. Tulsa Oklahoma County Industrial Authority Bonds (899518FZ2)	B	Interest	K	T					
70. Virginia Commonwealth Transportation Board Bond (92778UBR0)	B	Interest	K	T					
71. Seattle Wash Mun Lt &Pwr Rev Bds (812643PA6)	B	Interest			Redeemed	02/20/20	K	A	
72. Sidney Ohio City School District Bonds (826129EK0)	A	Interest	K	T					
73. University of Cincinnati Gen Rcpts Bds (914119B43)	B	Interest	K	T					
74. Wisconsin St Clean Wtr Rev Clean Wtr Rev Bds (977092UB9)	B	Interest	K	T					
75. T. Rowe Price Instl Floating Rate Fund Class F (PFFRX) (x)	A	Dividend	J	T					
76. Cisco Systems, Inc. (CSCO) (x)	A	Dividend	J	T					
77. Cummings, Inc. (CMI) (x)	A	Dividend	J	T					
78. iShares Tips Bond ETF (TIP) (x)	A	Dividend	J	T					
79. iShares Core S&P 500 ETF (IVV) (x)	C	Dividend	L	T					
80. iShares Floating Rate Bond ETF (FLOT) (x)	B	Int./Div.	K	T					
81. iShares Edge MSCI USA Quality Factor ETF (QUAL) (x)	A	Dividend	K	T					
82. Vanguard FTSE All-World ex-US Index Fund ETF Shares (VEU) (x)	A	Dividend	J	T					
83.									

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FINANCIAL DISCLOSURE REPORT

Page 9 of 10

Name of Person Reporting

GWIN, JAMES S.

Date of Report

12/17/2021

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

Regarding the investment in the Vanguard Fund, this investment is made through an employer 401 plan sponsored at [REDACTED] employer. The yearly statutory maximum is met in the first quarter although we do not know the exact dates of purchase.

Regarding Goldman Sachs Financial Square Government Fund (FGTXX), this fund is used as a money market account with intermittent deposits and withdrawal

Investments listed in Part VIII, line 22 was donated to a charitable entity and a similar investments was purchased in line 23.

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

GWIN, JAMES S.

Date of Report

12/17/2021

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 S. GWIN

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