

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) Grimm, Paul W.	2. Court or Organization U.S. District Court, District of Maryland	3. Date of Report 05/24/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States District Judge (active status)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2020 to 12/31/2020
7. Chambers or Office Address Chambers 465A U.S. Courthouse 6500 Cherrywood Lane Greenbelt, MD 20770		
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. Adjunct Professor, Part Time	University of Maryland School of Law
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.	

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Name of Person Reporting

Grimm, Paul W.

Date of Report

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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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2020	State of Maryland	\$2,500.00
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	Dietician-Health Care Services Group (HCSG)
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.				
2.				
3.				
4.				
5.				

Name of Person Reporting	Date of Report
Grimm, Paul W.	05/24/2021

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.		

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. M&T Bank accounts	A	Interest	L	T					
2. AXA Equitable TSA (Equi-Vest)		None	L	T					
3. Fidelity Government Cash Reserves Roth	A	Dividend	J	T					
4. Fidelity Government Cash Reserves Roth	A	Dividend	J	T					
5. T Rowe Price Government Money	A	Dividend	L	T					
6. IRA - MORGAN STANLEY (#1) (H):									
7. - Morgan Stanley Bank	A	Interest	J	T					
8. -iShares S&P 500 Value ETF	A	Dividend	K	T	Buy (add'l)	02/24/20	J		
9.					Buy (add'l)	02/25/20	J		
10.					Buy (add'l)	02/28/20	J		
11.					Buy (add'l)	03/11/20	J		
12.					Buy (add'l)	06/03/20	J		
13.					Buy (add'l)	09/23/20	J		
14. -iShares S&P Mid-Cap 400 V ETF	A	Dividend	J	T	Buy (add'l)	02/24/20	J		
15.					Buy (add'l)	02/25/20	J		
16.					Buy (add'l)	02/28/20	J		
17.					Buy (add'l)	03/11/20	J		

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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	(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.					Buy (add'l)	06/03/20	J		
19. -Invesco S&P 500 Revenue ETF	A	Dividend	K	T	Buy (add'l)	02/24/20	J		
20.					Buy (add'l)	02/25/20	J		
21.					Buy (add'l)	02/28/20	J		
22.					Buy (add'l)	03/11/20	J		
23.					Buy (add'l)	06/03/20	J		
24.					Buy (add'l)	09/23/20	J		
25. -Invesco S&P 500 Low Volatility ETF	A	Dividend			Buy (add'l)	02/24/20	J		
26.					Buy (add'l)	02/25/20	J		
27.					Buy (add'l)	02/28/20	J		
28.					Buy (add'l)	03/11/20	J		
29.					Sold	05/13/20	J	A	
30. -American Century Emerging Markets I	A	Dividend	K	T	Buy (add'l)	02/24/20	J		
31.					Buy (add'l)	02/25/20	J		
32.					Buy (add'l)	02/28/20	J		
33.					Buy (add'l)	03/11/20	J		
34.					Buy (add'l)	06/03/20	J		

1 Income Gain Codes: (See Columns B1 and D4)	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	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	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	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

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	(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.					Buy (add'l)	09/23/20	J		
36. -Goldman Sachs Absolute Return Tracker	A	Dividend	K	T	Buy (add'l)	02/24/20	J		
37.					Buy (add'l)	02/25/20	J		
38.					Buy (add'l)	02/28/20	J		
39.					Buy (add'l)	03/11/20	J		
40.					Buy (add'l)	06/03/20	J		
41.					Buy (add'l)	09/23/20	J		
42. -Janus Henderson International Opportunity	A	Dividend	K	T	Buy (add'l)	02/24/20	J		
43.					Buy (add'l)	02/25/20	J		
44.					Buy (add'l)	02/28/20	J		
45.					Buy (add'l)	03/11/20	J		
46.					Buy (add'l)	06/03/20	J		
47.					Buy (add'l)	09/23/20	J		
48. -Neuberger Berman Core Bond Inst	B	Dividend	K	T	Buy (add'l)	02/24/20	J		
49.					Buy (add'l)	02/25/20	J		
50.					Buy (add'l)	02/28/20	J		
51.					Buy (add'l)	03/11/20	J		

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	

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)
	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)
52.					Sold (part)	06/03/20	K	A	
53.					Buy (add'l)	09/23/20	J		
54. -PGIM Jennison Mid Cap Growth Z	C	Dividend	J	T	Buy (add'l)	02/24/20	J		
55.					Buy (add'l)	02/25/20	J		
56.					Buy (add'l)	02/28/20	J		
57.					Buy (add'l)	03/11/20	J		
58.					Buy (add'l)	06/03/20	J		
59.					Buy (add'l)	09/23/20	J		
60. -PGIM Absolute Return Bond Z	A	Dividend			Buy (add'l)	02/24/20	J		
61.					Buy (add'l)	02/25/20	J		
62.					Buy (add'l)	02/28/20	J		
63.					Buy (add'l)	03/11/20	J		
64.					Sold (part)	06/03/20	J		
65.					Buy (add'l)	09/23/20	J		
66.					Sold	12/04/20	J		
67. -Royce Opportunity Inv		None			Buy (add'l)	02/24/20	J		
68.					Buy (add'l)	02/25/20	J		

1 Income Gain Codes:
(See Columns B1 and D4)

2 Value Codes
(See Columns C1 and D3)

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(See Column C2)

A =\$1,000 or less
F =\$50,001 - \$100,000
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C =\$2,501 - \$5,000
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P1 =\$1,000,001 - \$5,000,000
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Name of Person Reporting

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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.					Buy (add'l)	02/28/20	J		
70.					Buy (add'l)	03/11/20	J		
71.					Buy (add'l)	06/03/20	J		
72.					Sold	06/16/20	J		
73. -Touchstone Sands Capital Select Growth Y	A	Dividend	J	T	Buy (add'l)	02/24/20	J		
74.					Buy (add'l)	02/25/20	J		
75.					Buy (add'l)	02/28/20	J		
76.					Buy (add'l)	03/11/20	J		
77.					Sold (part)	06/03/20	J	A	
78.					Buy (add'l)	09/23/20	J		
79. -Lord Abbett Total Return	B	Dividend	K	T	Buy (add'l)	02/24/20	J		
80.					Buy (add'l)	02/25/20	J		
81.					Buy (add'l)	02/28/20	J		
82.					Buy (add'l)	03/11/20	J		
83.					Sold (part)	06/03/20	J	A	
84.					Buy (add'l)	09/23/20	J		
85. -Guggenheim Macro Opportunity	A	Dividend	J	T	Buy (add'l)	02/24/20	J		

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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86.					Buy (add'l)	02/25/20	J		
87.					Buy (add'l)	02/28/20	J		
88.					Buy (add'l)	03/11/20	J		
89.					Sold (part)	06/03/20	J		
90.					Buy (add'l)	09/23/20	J		
91.					Buy (add'l)	12/04/20	J		
92. -Hartford Multi Factor Develop		None			Buy (add'l)	02/24/20	J		
93.					Buy (add'l)	02/25/20	J		
94.					Buy (add'l)	02/28/20	J		
95.					Buy (add'l)	03/11/20	J		
96.					Sold	06/03/20	J		
97. -AB Concentrated Gw Adv	A	Dividend	K	T	Buy (add'l)	02/24/20	J		
98.					Buy (add'l)	02/25/20	J		
99.					Buy (add'l)	02/28/20	J		
100.					Buy (add'l)	03/11/20	J		
101.					Buy (add'l)	06/03/20	J		
102.					Buy (add'l)	09/23/20	J		

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

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P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

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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

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M =\$100,001 - \$250,000

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103. -Federated Hermes Kaufmann Small Cap	A	Dividend	J	T	Buy (add'l)	02/24/20	J		
104.					Buy (add'l)	02/25/20	J		
105.					Buy (add'l)	02/28/20	J		
106.					Buy (add'l)	03/11/20	J		
107.					Buy (add'l)	06/03/20	J		
108.					Buy (add'l)	09/23/20	J		
109. -Franklin Intl Growth	A	Dividend	J	T	Buy	06/03/20	J		
110.					Buy (add'l)	09/01/20	J		
111. -Victory Shares US Min Vol	A	Dividend	J	T	Buy	05/13/20	J		
112.					Buy (add'l)	06/03/20	J		
113.					Buy (add'l)	09/23/20	J		
114. -Virtus KAR SM-CAP Value	A	Dividend	J	T	Buy	06/16/20	J		
115.					Buy (add'l)	09/23/20	J		
116. -WCM Focused Intl Gwth	A	Dividend	J	T	Buy	06/03/20	J		
117.					Buy (add'l)	09/23/20	J		
118. IRA - MORGAN STANLEY (#2) (H):									
119. -SPDR S&P 500 ETF Trust	A	Dividend			Sold (part)	03/04/20	K	C	

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
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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)
120.					Sold	03/04/20	K	C	
121. -Schwab US Mid Cap ETF	A	Dividend	J	T	Buy (add'l)	02/12/20	K		
122.					Sold (part)	02/26/20	K		
123.					Buy (add'l)	11/11/20	K		
124.					Sold (part)	11/16/20	J	A	
125. -SPDR S&P Mid Cap 400 ETF Trust	A	Dividend	K	T	Buy (add'l)	03/09/20	J		
126.					Buy (add'l)	03/09/20	J		
127.					Buy (add'l)	03/12/20	J		
128.					Buy (add'l)	07/24/20	J		
129.					Buy (add'l)	07/24/20	K		
130.					Sold (part)	09/16/20	K	A	
131.					Sold (part)	11/09/20	K	C	
132.					Sold (part)	11/09/20	J	D	
133. -Vanguard Mid Cap ETF	A	Dividend	J	T	Sold (part)	02/05/20	K	B	
134.					Sold (part)	03/03/20	K	A	
135.					Sold (part)	03/04/20	K	A	
136.					Buy (add'l)	06/03/20	J		

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		

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)
137.					Buy (add'l)	06/10/20	K		
138.					Sold (part)	06/17/20	K		
139.					Buy (add'l)	10/07/20	K		
140.					Sold (part)	10/09/20	J	A	
141.					Sold (part)	11/05/20	J	A	
142.					Sold (part)	11/05/20	J	A	
143. -SPDR DJIA Trust	A	Dividend	K	T	Sold (part)	03/02/20	K		
144.					Buy (add'l)	07/07/20	K		
145.					Buy (add'l)	07/14/20	J		
146.					Buy (add'l)	07/28/20	K		
147.					Sold (part)	09/29/20	K	A	
148.					Sold (part)	11/09/20	J	B	
149. -Morgan Stanley Bank	A	Interest	M	T					
150. -Invesco S&P 500 Revenue ETF					Sold (part)	01/16/20	J	A	
151.					Sold (part)	02/27/20	K		
152.					Buy (add'l)	10/08/20	K		
153.					Sold (part)	10/29/20	K		

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.)

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)
154. -Schwab US Large Cap ETF	A	Dividend			Buy	02/11/20	K		
155.					Sold	03/03/20	K		
156.					Buy	06/09/20	J		
157.					Sold	06/30/20	J		
158. -iShares Russell Top 200	A	Dividend			Sold (part)	02/04/20	K	A	
159.					Sold (part)	03/02/20	K		
160.					Sold	03/02/20	K		
161.					Buy (add'l)	09/01/20	K		
162.					Sold	09/29/20	K		
163.					Buy	11/10/20	K		
164.					Sold (part)	11/24/20	J	A	
165.					Sold	11/24/20	J	A	
166. -FEDERATED GOVT OBLIG ADV	A	Dividend			Buy	01/09/20	K		
167.					Buy (add'l)	03/04/20	M		
168.					Sold (part)	03/06/20	K		
169.					Sold (part)	03/09/20	K		
170.					Sold (part)	03/12/20	K		

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.)

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)
171.					Sold	03/17/20	M	A	
172. -INVESCO S&P 500 EQUAL WEIGHT	A	Dividend	K	T	Buy	03/11/20	J		
173.					Buy (add'l)	03/12/20	J		
174.					Buy (add'l)	03/16/20	J		
175.					Sold (part)	10/01/20	K	C	
176. -VANGUARD INDEX FDS S&P 500 ETF	A	Dividend	J	T	Buy	05/28/20	J		
177.					Buy (add'l)	06/04/20	K		
178.					Sold (part)	07/21/20	J	A	
179.					Sold (part)	08/11/20	J	A	
180.					Sold (part)	08/13/20	J	A	
181.					Sold (part)	08/26/20	J	B	
182.					Sold (part)	09/02/20	J	B	
183.					Sold (part)	10/01/20	J	A	
184.					Buy (add'l)	11/12/20	K		
185.					Sold (part)	12/01/20	J	A	
186. VANGUARD VALUE ETF INDEX	A	Dividend	J	T	Buy	03/09/20	J		
187.					Buy (add'l)	03/09/20	J		

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.)

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)
188.					Buy (add'l)	03/12/20	J		
189.					Sold (part)	06/30/20	J		
190.					Buy (add'l)	08/18/20	J		
191.					Sold (part)	08/25/20	K	A	
192.					Buy (add'l)	10/06/20	K		
193.					Buy (add'l)	10/13/20	K		
194.					Sold (part)	11/03/20	K		
195. IRA - MORGAN STANLEY (#3) (H):									
196. -Morgan Stanley Bank	A	Interest							
197. -Eaton Vance Tax Mg By-WR	B	Dividend	K	T	Sold (part)	01/27/20	J	A	
198. -iShares Cohen & Steers REIT ETF	A	Dividend			Buy (add'l)	01/27/20	J		
199.					Sold	04/24/20	J		
200. -Invesco S&P 500 High Dividend	A	Dividend	J	T	Buy (add'l)	01/27/20	J		
201. -SPDR Barclays Convertible	A	Dividend			Sold (part)	01/27/20	J	B	
202.					Sold	04/24/20	J	B	
203. -SPDR S&P Dividend	A	Dividend	K	T	Sold (part)	01/27/20	J	A	
204. -Voya Global Advantage	B	Dividend	J	T	Sold (part)	01/27/20	J		

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

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Name of Person Reporting

Grimm, Paul W.

Date of Report

05/24/2021

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)
205. -AB High Income Adv	A	Dividend	J	T	Sold (part)	01/27/20	J	A	
206. -Janus Henderson Global Income	B	Dividend	K	T	Sold (part)	01/27/20	J		
207. -Principal Preferred Sec Inst.	A	Dividend	K	T	Sold (part)	01/27/20	J	A	
208. -PGIM Absolute Return Bond Z	A	Dividend			Buy (add'l)	01/27/20	J		
209.					Sold	12/04/20	K		
210. -Columbia Strategic Income	A	Dividend	K	T	Buy (add'l)	01/27/20	J		
211.					Buy (add'l)	12/04/20	J		
212. -Guggenheim Macro Opport I	A	Dividend	K	T	Buy (add'l)	01/27/20	J		
213.					Buy (add'l)	12/04/20	J		
214. -CALAMOS CONVERTIBLE FUND I	A	Dividend	J	T	Buy	04/24/20	J		
215.					Sold (part)	10/05/20	J	A	
216. -FEDERATED HRMS STR VAL DIV IS	A	Dividend	J	T	Buy	04/24/20	J		
217. -PERFORMANCE TRUST STRAT BD I	A	Dividend	K	T	Buy	01/27/20	J		
218.					Buy (add'l)	12/04/20	J		
219. Exelon Corporation stock	A	Dividend	J	T					

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		

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Grimm, Paul W.

Date of Report

05/24/2021

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

Part VII, Line 103 Federated Kaufmann Small Cap: name change to Federated Hermes Kaufmann Small Cap

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Grimm, Paul W.

Date of Report

05/24/2021

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/ **Paul W. Grimm**

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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One Columbus Circle, N.E.
Washington, D.C. 20544