

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) Maloney, Paul L.	2. Court or Organization District Court, WD MI	3. Date of Report 01/14/2022
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) District 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 410 W. Michigan Ave. Kalamazoo, MI 49007		
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. 1995-2007	State Judicial Pension calculated based on years of service-Commence Drawing Pension January 2010
2. 1995-2007	Berrien County Pension calculated based on years of service-Commenced Drawing Pension January 2010
3.	

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Name of Person Reporting

Maloney, Paul L.

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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 Michigan Judicial Pension	\$48,624.00
2. 2020	Berrien County, MI Pension	\$15,500.00
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. 2020	State of Michigan Teacher Pension
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
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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.		

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Name of Person Reporting

Maloney, Paul L.

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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. Brokerage Account # 1 (H)									
2. - Bank USA Dep Acct	A	Interest	J	T					
3. -Pace Money Market INV Fund Class P	A	Dividend	J	T					
4. --Amer Century Short Duration Inflation Prot Bond A	A	Dividend			Sold	10/05/20	J	A	
5. --Invesco Small Cap Value Class A	A	Dividend			Sold	10/05/20	J	A	
6. --AIG Focused Dividend Strategy Fund Class W fna Sum America Focused	A	Dividend			Sold	10/05/20	J	A	
7. --Compass Risk MG DVD GR 1	A	Dividend			Sold	10/05/20	J	A	
8. --Hartford World Bond Fund 1	A	Dividend	J	T					
9. --Victory Sycamore Establ. Value Fund	A	Dividend			Sold	10/05/20	J	A	
10. --Putnam Equity Income Fund YSHS	A	Dividend	J	T					
11. --Nuveen Real Estate Securities Fund 1	A	Dividend			Sold	10/05/20	J	A	
12. --Virtus Small Cap Sust Gw 1	A	Dividend			Sold	10/05/20	J	A	
13. --Pimco Income Fund Class P	A	Dividend	J	T	Sold (part)	10/05/20	J	A	
14. --Polen Growth Fund Class 1	A	Dividend	J	T	Buy (add'l)	10/05/20	J		
15. --John Hancock Intl Growth Fund A	A	Dividend			Sold	10/05/20	J	B	
16. --American Funds New World Fund Class F	A	Dividend	J	T	Sold (part)	10/05/20	J	A	
17. --Columbia Strategic Income Fund Class Institutional	A	Dividend	J	T	Sold (part)	10/05/20	J	A	

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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18. --Icon Emerging Mkts Class S	A	Dividend			Sold	10/05/20	J	A	
19. --JP Morgan Large Cap Growth Fund Class 1	A	Dividend	J	T					
20. --Angel Oak Multi-Strategy Income Fund Class Intl	A	Dividend			Sold	10/05/20	J	A	
21. --Guggenheim Total Return Bond Fund Class Instit.	A	Dividend	J	T	Buy (add'l)	10/05/20	J		
22. --Hartford Mid-Cap Class 1	A	Dividend			Sold	10/05/20	J	A	
23. --Trans America Intl Equity 1	A	Dividend			Sold	10/05/20	J	A	
24. --AQR US Defensive Equity Fund Class 1	A	Dividend			Sold	10/05/20	J	A	
25. --Vanguard Intl Growth Fund Admiral	A	Dividend	J	T	Buy (add'l)	10/05/20	J		
26. --Thornburg LTD Term Income Class 1	A	Dividend	J	T	Sold (part)	10/05/20	J	A	
27. --Lord Abbett Short Duration Income Fund Class F	A	Dividend	J	T	Sold (part)	10/05/20	J	A	
28. --Baron Asset FD Class 1	A	Dividend	J	T	Buy	10/05/20	J		
29. --Baron Discovery Fund Class 1	A	Dividend	J	T	Buy	10/05/20	J		
30. --Columbia Divid. Income Class Institutional	A	Dividend	J	T	Buy	10/05/20	J		
31. --Delaware Intl Value Equity Instl	A	Dividend	J	T	Buy	10/05/20	J		
32. --Ivy Mid-Cap Income Opportunities	A	Dividend	J	T	Buy	10/05/20	J		
33. --Royce Opportunity Fund	A	Dividend	J	T	Buy	10/05/20	J		
34. --Black Rock Inflation Prot Bond	A	Dividend	J	T	Buy	10/05/20	J		

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35. --Koperink Intl Fund Class 1	A	Dividend	J	T	Buy	10/05/20	J		
36. --Natixis Loomis Sayles Core Plus Bond Fund	A	Dividend	J	T	Buy	10/05/20	J		
37. --PGIM Global Total Return Cl Z	A	Dividend	J	T	Buy	10/05/20	J		
38. --Thornburg Income Builder Cl 1		Dividend	J	T	Buy	10/05/20	J		
39. Brokerage Account #2 (H)									
40. --Apple Computer Common Stock	B	Dividend	N	T					
41. --UBS Deposit Acct	A	Dividend	K	T					
42. --Illinois Tool Works common stock	A	Dividend	J	T					
43. --McKesson common stock	A	Dividend	J	T					
44. --Schlumberger common stock	A	Dividend	J	T					
45. --Norfolk Southern RR common stock	A	Dividend	K	T					
46. --Starbucks common stock	A	Dividend	K	T					
47. --Guggenheim Dir Alloc	A	Dividend	K	T					
48. --Boeing common stock	A	Dividend	K	T					
49. --Henderson Global Investors European Focus	A	Dividend	J	T					
50. --Intel common stock	A	Dividend	K	T					
51. --Eversource Energy Corp common stock	A	Dividend	K	T					

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52. --VP common stock	A	Dividend	J	T					
53. -- Delta Airlines common stock	A	Dividend	J	T					
54. --Gilead Sciences	A	Dividend	J	T					
55. --Thermo Fisher Scientific	A	Dividend	K	T					
56. --Alibaba Grp Holding commons stock	A	Dividend	J	T					
57. --Colgate Palmolive common stock	A	Dividend	J	T					
58. --Unts AAM Dividend Ruler Portfolio Ser 2018D	A	Dividend			Redeemed	1/28/20	L	C	
59. --Kontoor Brands Common Stock	A	Dividend	J	T					
60. --Davis Select Intl ETF	A	Dividend	K	T					
61. Brokerage Account #3 (H)									
62. --Pace Large Company Growth Equity Investment Fund Class	A	Dividend	J	T					
63. --Pace Intl Emerg Mkts Equity Class P	A	Dividend	J	T					
64. --Lrg Comp Value Equity Fund Class P	A	Dividend	J	T					
65. --Pace Intl Equity Fund Class P	A	Dividend	J	T					
66. --Pace Sm/Medium co Growth Equity Class P	A	Dividend	J	T					
67. --Pace Money Market Investment Fund Class P	A	Dividend	J	T					
68. --Pace Global Real Estate Securities Fund Class P	A	Dividend	J	T					

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69. --Pace International Fixed Income Investment Class P	A	Dividend	J	T					
70. --Pace Small/Medium CO Value Equity Investmt Class P	A	Dividend	J	T					
71. --Pace Global Fixed Income Investmt Fund Class P	A	Dividend	J	T					
72. --Pace High Yield Investmt Class P	A	Dividend	J	T					
73. --Pace Intermediate Fixed Income Class P	A	Dividend	J	T					
74. --Pace Statagic Fixed Income Fund Class P	A	Dividend	J	T					
75. State of Michigan 401k (H)									
76. --SSgA Bond Market Index	A	Dividend	K	T					
77. --Dodge and Cox Stock Fund	B	Dividend	M	T					
78. --American Funds Euro Pacific	B	Dividend	L	T					
79. --Pimco Total Return Fund 1	B	Dividend	K	T					
80. --Voya Small Cap Growth	A	Dividend	K	T					
81. --State Street S&P Index, formerly Oakmark Equity and Income	A	Dividend	L	T					
82. --New Jennison Large Cap Growth	A	Dividend	L	T					
83. 457 Account (H)									
84. --Nationwide Fixed Acct	B	Int./Div.	L	T					
85. --Newberger Genesis Fund TC	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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86. 403b Account (H)									
87. --New Perspective Fund A	A	Dividend	K	T					
88. --Capital World Growth A	A	Dividend	J	T					
89. --US Govt Securities A	A	Dividend	J	T					
90. Fifth Third Account	A	Interest	K	T					
91. Credit Union Acct 1	A	Interest	K	T					
92. 403b(7) Account (H)									
93. --Prudential Total Return Bond A	A	Dividend	J	T					
94. --JP Morgan Govt Bond A	A	Dividend	J	T					
95. --American New Perspective Fund R3	A	Dividend	K	T					
96. --American Fund Capital World Growth R3	A	Dividend	K	T					
97. --American US Govt Securities R3	A	Dividend	J	T					
98. Honor Credit Union CD Account (H)	A	Interest	L	T					
99. Brokerage Account 4 (H)	B	Dividend	L	T	Open	01/28/20	L		
100. --Accenture PLC Ireland Common Stock	A	Dividend	J	T	Buy	03/06/20	J		
101. --American Electric Power Common Stock	A	Dividend	J	T	Buy	03/06/20	J		
102.					Buy (add'l)	03/09/20	J		

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103. --Blackrock Common Stock	A	Dividend	J	T	Buy	03/06/20	J		
104. --Chevron Common Stock	A	Dividend			Buy	03/06/20	J		
105.					Sold	12/01/20	J	A	
106. --Chubb Common Stock	A	Dividend	J	T	Buy	03/06/20	J		
107. --Cisco Common Stock	A	Dividend	J	T	Buy	03/06/20	J		
108. --Coca Cola Common Stock	A	Dividend	J	T	Buy	03/06/20	J		
109. --Comcast Common Stock		Dividend	J	T	Buy	03/06/20	J		
110. --Crane Common Stock	A	Dividend	J	T	Buy	03/06/20	J		
111. --Diagego PLC Common Stock	A	Dividend	J	T	Buy	03/06/20	J		
112. --Home Depot Common Stock	A	Dividend	J	T	Buy	03/06/20	J		
113. --Intel Common Stock		Dividend	J	T	Buy	03/06/20	J		
114.					Buy (add'l)	04/08/20	J		
115. --Johnson and Johnson Common stock	A	Dividend	J	T	Buy	03/06/20	J		
116.					Buy (add'l)	04/08/20	J		
117. --JP Morgan Chase Common stock	A	Dividend	J	T	Buy	03/06/20	J		
118. --Linde PLC Eur Common Stock	A	Dividend	J	T	Buy	03/06/20	J		
119. --Lockheed Martin Common Stock	A	Dividend	J	T	Buy	03/06/20	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		

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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)
120. --Marsh and McLennan Common stock	A	Dividend	J	T	Buy	03/06/20	J		
121. --McDonald's Common stock	A	Dividend	J	T	Buy	03/06/20	J		
122. --Medtronic Common stock	A	Dividend	J	T	Buy	03/06/20	J		
123. --Microsoft Common stock	A	Dividend	J	T	Buy	03/06/20	J		
124.					Buy (add'l)	04/08/20	J		
125.					Buy (add'l)	10/06/20	J		
126. --Nextra Energy Common Stock	A	Dividend	J	T	Buy	03/06/20	J		
127. --Novartis Common Stock	A	Dividend	J	T	Buy	03/06/20	J		
128. --Phillips Petroleum Common stock	A	Dividend	J	T	Buy	05/04/20	J		
129. --Proctor and Gamble Common stock	A	Dividend	J	T	Buy	03/06/20	J		
130. --Raytheon Common stock	A	Dividend	J	T	Buy	03/06/20	J		
131. --Republic Services Common stock	A	Dividend	J	T	Buy	03/06/20	J		
132. --Rockwell Common stock	A	Dividend	J	T	Buy	03/06/20	J		
133. --Suncor Energy Common stock	A	Dividend			Buy	03/06/20	J		
134.					Sold	05/04/20	J	A	
135. --Texas Instruments Common stock	A	Dividend	J	T	Buy	03/06/20	J		
136. --Truist Finl Corp Common stock	A	Dividend	J	T	Buy	03/06/20	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. --Union Pacific Common Stock	A	Distribution	J	T	Buy	03/06/20	J		
138. --United Parcel Common stock	A	Dividend	J	T	Buy	11/06/20	J		
139.					Buy (add'l)	11/09/20	J		
140. --United Technologies Common Stock	A	Dividend	J	T	Buy	03/06/20	J		
141. --VF Corp Common stock	A	Dividend	J	T	Buy	03/06/20	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		

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

Brokerage Account 4 (line 99) opened with redeemed proceeds from Dividend Ruler Account (line 58)

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Name of Person Reporting

Maloney, Paul L.

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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/ **Paul L. Maloney**

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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Washington, D.C. 20544