

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) Schwab, Arthur J.	2. Court or Organization Western District of Pennsylvania	3. Date of Report 03/30/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) District Judge - Senior	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 U.S. Courthouse 700 Grant Street, Suite 7280 Pittsburgh, PA 15219		
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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Emeritus Member of the Board of Trustees (non-compensated)	Grove City College
2. Faculty member (non-compensated)	University of Virginia School of Law - Trial Advocacy Program
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. 07/11/91	Single life annuity through a life insurance company through prior employer, Reed Smith LLP, beginning monthly on 01/01/2012.
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.)*

<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.	
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. University of Virginia School of Law	01/03/2020 to 01/04/2020	Charlottesville, VA	Faculty	hotel, mileage, meals (38th Annual National Trial Advocacy College)
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.)

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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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. Lincoln Natl Corp Bond	B	Int./Div.			Sold	02/18/20	J	A	
2. Lincoln Natl Corp Bonds	A	Int./Div.			Sold	02/18/20	K	A	
3. Cigna Corp Bond	A	Int./Div.			Sold	06/15/20	K	A	
4. Carnival Corp Bond	A	Int./Div.			Sold	10/15/20	K	A	
5. Dominion Gas Cond	A	Int./Div.			Sold	11/15/20	K	A	
6. Tyco Electronics Bond	B	Int./Div.			Sold	12/04/20	K	A	
7. American Intl Group Bond	A	Int./Div.	K	T					
8. AT&T Inc Bond	A	Int./Div.			Sold	06/29/20	K	A	
9. Nordstrom Inc Bond	A	Int./Div.			Sold	07/17/20	K	A	
10. KernCity Bond	A	Int./Div.	K	T					
11. Goldman Sach Bond	B	Int./Div.	K	T					
12. Abbvie Inc Bond	A	Int./Div.	K	T					
13. Amgen Inc Bond	A	Int./Div.			Sold	03/17/20	K	A	
14. Astrazeneca PLC Bond	A	Int./Div.			Sold	11/16/20	K	A	
15. Biogen Inc Bond	A	Int./Div.	K	T					
16. Cigna Corp Bond	B	Int./Div.			Sold	06/15/20	K	A	
17. Deere John Corp Bond	A	Int./Div.	K	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		

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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. General Electric Bond	A	Int./Div.	K	T					
19. Monsanto Co Bond	A	Int./Div.	K	T					
20. National Rural Util Coop Bond	A	Int./Div.			Sold	10/15/20	K	A	
21. Ralston Purine Co. Bond	B	Int./Div.	K	T					
22. Royal Bank Bond	A	Int./Div.	K	T					
23. Santander UK PLC Bond	A	Int./Div.			Sold	03/16/20	K	A	
24. Sumitomo Mitsui Finl Group Bond	A	Int./Div.	K	T					
25. Wells Fargo Bond	A	Int./Div.	K	T					
26. Qualcomm Inc Bond	A	Int./Div.	K	T					
27. Keurig Bond	A	Int./Div.	K	T					
28. PNC Fin Svcs Gp Stock	A	Int./Div.			Sold	11/04/20	J	A	
29. Federated Investors Stock	A	Int./Div.			Sold	10/11/20	J	B	
30. EBay Inc Bond	A	Int./Div.	K	T					
31. Goldman Sachs Bond	B	Int./Div.	K	T					
32. Wells Fargo Bond	A	Int./Div.	K	T					
33. Transcanada Pipeline Bond	A	Int./Div.	K	T					
34. United States Steel Stock	A	Int./Div.			Sold	12/01/20	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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☐ 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)
35. United States Steel Stock	A	Int./Div.			Sold	12/01/20	J	A	
36. United States Steel Stock	A	Int./Div.			Sold	12/01/20	J	A	
37. United States Steel Stock	A	Int./Div.			Sold	12/01/20	J	A	
38. US Express Stock	A	Int./Div.			Sold	10/12/20	J	A	
39. US Express Stock	A	Int./Div.			Sold	10/12/20	J	A	
40. Key Corp Stock	A	Int./Div.			Sold	11/04/20	J	A	
41. Express Script Bond	A	Int./Div.	J	T					
42. JP Morgan Bond	A	Int./Div.	K	T					
43. CBS Corp Bond	A	Int./Div.			Sold	07/17/20	J	A	
44. Capital One Fincl. Bond	A	Int./Div.	K	T					
45. Morgan Stanley Bond	A	Int./Div.	K	T					
46. Altaría Group Bond	A	Int./Div.	J	T					
47. INVESTMENT ACCOUNT NO. 1	D	Int./Div.	L	T					
48. -Oneok Partners Bond	A	Int./Div.			Sold	03/01/20	J	A	
49. -Potash Corp Bond	A	Int./Div.			Sold	03/20/20	J	A	
50. -Prudential Fin Bond	A	Int./Div.			Sold	06/22/20	J	A	
51. -Stifel Fin Bond	A	Int./Div.			Sold	12/01/20	J	A	

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	
3 Value Method Codes (See Column C2)					

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)
52. -Amer Int'l Grp Bond	A	Int./Div.	J	T					
53. -Kinder Morgan Energy Bond	A	Int./Div.	J	T					
54. -Carnival Corp Stock (CCL)	A	Int./Div.	J	T					
55. -JP Morgan Chase Bond	A	Int./Div.	K	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
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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/ **Arthur J. Schwab**

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