

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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) Dowdell, John E.	2. Court or Organization U.S. District Court, Northern District of Oklahoma	3. Date of Report 05/15/2019
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 5b. ☐ Amended Report	6. Reporting Period 01/01/2018 to 12/31/2018
7. Chambers or Office Address U.S. Courthouse 333 W. 4th Street, Room 411 Tulsa, Oklahoma 74103		
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.		

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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.)*

DATE	SOURCE AND TYPE	INCOME (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.)*

DATE	SOURCE AND TYPE
1. 2018	Salary
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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.				
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.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
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.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.	Citi	Credit Card	K
2.	Southwest Rapid Rewards	Credit Card	J
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. Mass Mutual Whole Life		None	M	T					
2.									
3. Tulsa Federal Employee's Credit Union Account		None	J	T					
4.									
5. IRA #1 (H)									
6. -Schwab Govt Money Fund		None	K	T	Redeemed (part)	01/04/18	J		
7.					Redeemed (part)	01/08/18	J		
8.					Redeemed (part)	01/12/18	J		
9.					Redeemed (part)	02/12/18	J		
10.					Buy (add'l)	03/08/18	J		
11.					Buy (add'l)	04/09/18	J		
12.					Redeemed (part)	04/12/18	J		
13.					Buy (add'l)	05/08/18	J		
14.					Redeemed (part)	05/21/18	J		
15.					Buy (add'l)	06/01/18	J		
16.					Buy (add'l)	06/08/18	J		
17.					Buy (add'l)	06/14/18	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	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
(See Column C2)	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
	U = Book Value	V = Other	W = Estimated		

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18.					Redeemed (part)	07/05/18	J		
19.					Redeemed (part)	07/06/18	J		
20.					Buy (add'l)	07/10/18	J		
21.					Redeemed (part)	07/11/18	J		
22.					Redeemed (part)	07/17/18	J		
23.					Redeemed (part)	07/20/18	J		
24.					Redeemed (part)	08/06/18	K		
25.									
26.	-Invesco Fund E/k/a Powershares Global ETF Fund High YLD USDBond Port	A	Dividend	J	T				
27.									
28.	-The Southern Company Stock (common)	A	Dividend	J	T				
29.									
30.	-Ishares S&P 500 Growth S&P 500 Growth Index FD	A	Dividend	K	T				
31.									
32.	-Schw Intl EQ ETF	A	Dividend	J	T	Sold (part)	10/01/18	J	A
33.									
34.	-Ishares S&P 500 Value S&P 500 Value Index FD	A	Dividend		Sold	06/29/18	K	D	

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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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35.									
36. -Vanguard FTSE Emerging Markets ETF	A	Dividend	J	T	Sold (part)	06/29/18	J		
37.					Sold (part)	10/01/18	K		
38. -Ishares Core S&P ETF Smallcap	A	Dividend	K	T	Buy (add'l)	01/02/18	J		
39.					Buy (add'l)	06/29/18	K		
40. -Ishares Core S&P ETF Midcap	A	Dividend	K	T	Buy (add'l)	10/01/18	J		
41.									
42. -SCH US REIT ETF		None			Sold	10/01/18	J	B	
43. -Williams Companies Stock (common)	A	Dividend	J	T	Buy (add'l)	07/03/18	J		
44.									
45. -Verizon Communications (common)	A	Dividend	J	T					
46.									
47. -Pattern Energy CL A (common)	A	Dividend	J	T					
48.									
49. -Lamar Advertising Co. A Class A (common)	A	Dividend	J	T	Buy (add'l)	07/13/18	J		
50.									
51. -Vodafone Group New ADR F Sponsored ADF (common)	A	Dividend	J	T	Buy (add'l)	07/13/18	J		

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52.									
53. -Peoples United Finl Inc. (common)	A	Dividend	J	T					
54.									
55. -GEO Group Inc. (common)	A	Dividend	J	T					
56.									
57. -Valley National Banc (common)	A	Dividend	J	T	Buy (add'l)	01/12/18	J		
58.					Sold (part)	11/08/18	J		
59. -Doubleline Total Return TTCL ETF	D	Dividend	M	T					
60.									
61. -Weyerhaeuser Co REIT (common)	A	Dividend	J	T					
62.									
63. -Duke Energy Corp (common)	A	Dividend			Sold	09/21/18	J	A	
64.									
65. -Blackstone MTG TR REIT (common)	A	Dividend	J	T	Sold (part)	02/07/18	J	A	
66.									
67. -Pfizer Incorporated (common)	A	Dividend	J	T					
68.									

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69. -Cisco Systems Inc. (common)	A	Dividend	J	T	Sold (part)	11/08/18	J	B	
70.									
71. -IBM Corp (common)	A	Dividend			Buy	01/04/18	J		
72.					Sold	10/17/18	J		
73. -iShares IBonds Dec 2022 CRP ETF: IBDN	A	Dividend			Sold	02/08/18	L		
74.									
75. -Qualcomm Inc. (common)	A	Dividend			Sold	06/26/18	J	A	
76.									
77. -CME Group Inc. (common)	A	Dividend	J	T	Sold (part)	03/27/18	J	A	
78. -Valero Energy Corp (common)	A	Dividend			Sold (part)	05/29/18	J	C	
79.					Sold	08/28/18	J	B	
80. -Vaneck Vectors Nat Res ETF f/k/a Market Vectors ETF Trusthard Asset		None			Sold (part)	01/02/18	K	B	
81.					Sold	06/29/18	J	B	
82.									
83. -iShares IBND Dec 2025 TRM ETF: IBDQ	C	Dividend	M	T					
84.									
85. -Powershares Senior Loan ETF: BKLN	A	Dividend			Sold	05/17/18	L		

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86.									
87. -Coca Cola Company (common)	A	Dividend	J	T					
88.									
89. -Chimera Investment (common)	A	Dividend	J	T	Buy (add'l)	07/18/18	J		
90.									
91. -Powershares Variable Rate PRF ETF IV; VRP		None			Sold	01/04/18	J	A	
92.									
93. -Virtu Financial Inco (common)	A	Dividend	J	T	Sold (part)	03/27/18	J	B	
94.					Buy (add'l)	07/02/18	J		
95.									
96. -Schwab International Small Cap Equity ETF: SCHC	A	Dividend	K	T	Buy (add'l)	01/02/18	K		
97.					Sold (part)	06/29/18	J		
98. -PBF Energy Inc. Class A (common)	A	Dividend			Sold (part)	03/09/18	J	A	
99.					Sold (part)	09/18/18	J	A	
100.					Sold	09/24/18	J	B	
101. -HSBC Hldgs PLC F Sponsored ADR: HSBC (common)	A	Dividend	J	T					
102.									

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103. -Two Harbors Investment Corp REIT (common)	A	Dividend	J	T	Sold (part)	02/07/18	J		
104.									
105. -Iron Mountain US Hol REIT (common)	A	Dividend			Sold	10/17/18	J		
106.									
107. -Macquarie Infrastructure (common)	A	Dividend			Sold	03/27/18	J		
108.									
109. -Park Hotels & Resort (common)	A	Dividend	J	T	Sold (part)	06/11/18	J	A	
110.									
111. -Dominion Resources I (common)	A	Dividend	J	T					
112.									
113. -HCP Inc. REIT	A	Dividend			Sold	09/18/18	J		
114.									
115. -General Motors Co: GM (common)	A	Dividend	J	T	Buy	02/07/18	J		
116.					Buy (add'l)	03/09/18	J		
117. -Ishares Trust Ibonds Dec 2027 Term Corporate ETF: IBDS	C	Dividend	L	T	Buy	02/08/18	L		
118.									
119. -Colgate-Palmolive Co: CL (common)	A	Dividend			Buy	03/27/18	J		

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120.					Sold	11/05/18	J		
121. -General Mills Inc.: GIS (common)	A	Dividend	J	T	Buy	03/27/18	J		
122.									
123. -Ishares Ibonds Dec 2026 Term Corporate ETF: IBDR	B	Dividend	L	T	Buy	05/17/18	L		
124.									
125. -Public Storage REIT: PSA (common)	A	Dividend	J	T	Buy	06/26/18	J		
126.									
127. -Flexshares Upstream Natural IDX ETF: GUNR	A	Dividend	K	T	Buy	06/29/18	K		
128.					Sold (part)	10/01/18	J		
129. -Vanguard High Dividend Yield ETF: VYM	A	Dividend			Buy	06/29/18	J		
130.					Buy (add'l)	10/01/18	J		
131. -Invesco Ltd F: IVZ (common)	A	Dividend	J	T	Buy	08/28/18	J		
132.					Buy (add'l)	10/04/18	J		
133. -Intel Corp: INTC (common)	A	Dividend	J	T	Buy	09/24/18	J		
134.									
135. -Healthcare Realty TR REIT: HR	A	Dividend	J	T	Buy	09/18/18	J		
136.									

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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Name of Person Reporting

Dowdell, John E.

Date of Report

05/15/2019

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)
137. -Medical Properties REIT: MPW		None	J	T	Buy	09/18/18	J		
138.									
139. -Centerpoint Energy: CNP (common)	A	Dividend	J	T	Buy	10/16/18	J		
140.									
141. -Lockheed Martin Corp: LMT (common)	A	Dividend	J	T	Buy	10/17/18	J		
142.									
143. -Vanguard Real Estate ETF: VNQ	A	Dividend	K	T	Buy	10/01/18	K		
144.									
145. -New Residential Investment Corp.: NRZ (common)		None	J	T	Buy	10/17/18	J		
146.									
147. -Leggett & Platt Inc.: LEG (common)		None	J	T	Buy	11/05/18	J		
148.									
149. -Whirlpool Corp: WHR (common)	A	Dividend	J	T	Buy	11/08/18	J		
150.									
151. TIAA-CREF Retirement (Traditional)	C	Int./Div.	L	T					
152.									
153.									

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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Name of Person Reporting

Dowdell, John E.

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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)
154.									
155.									
156.									
157.									
158.									
159.									
160.									
161.									
162.									
163.									
164.									
165.									

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

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Dowdell, John E.

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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 E. Dowdell**

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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