

FINANCIAL DISCLOSURE REPORT FINAL FILING

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) GAUVEY, SUSAN K.	2. Court or Organization U.S.D.C. MARYLAND	3. Date of Report 08/04/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Magistrate Judge (FT)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☐ Annual ☒ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2013 to 07/13/2014
7. Chambers or Office Address 8-D U.S. Courthouse 101 West Lombard Street Baltimore, MD 21201		
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.	Director	Free State Legal Project, Inc. non-profit
2.	Director	The Tuerk House Inc. non-profit
3.	Director	Enoch Pratt Free Library, non-profit
4.	Director	Historical Society for the United States District Court for the District of Maryland, non-profit
5.	Director	Job Opportunities Task Force, non-profit

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.	
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. 2013/2014	Maryland State Retirement Pension	\$6,278.00
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. 2013	Johns Hopkins University: academic physician
2. 2013/2014	Johns Hopkins University Press, Baltimore, MD: royalties for writing
3. 2014	King Saud University: Teaching
4. 2013	Michigan State University: Teaching
5. 2013	Harvard University: Teaching
6. 2013/2014	Wolters Kluwer Health, Inc.: Royalties for writing
7.	

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.				

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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.			
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 I (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. Capital Realty, Inc. (real estate ltd. partnership)	A	Interest			Distributed	12/31/13	J		
2. Johns Hopkins Fed. Credit Union interest bearing accounts	A	Interest	K	T					
3. Pepsico, Inc. common stock	A	Dividend	K	T					
4. Proctor & Gamble common stock	D	Dividend	M	T	Buy (add'l)	03/28/13	J		
5. Smuckers JM Co.	A	Dividend	J	T					
6. Prudential Stable Value Guaranteed Income Fund NQ Def Comp		None	K	T					
7. Fidelity Equity Income Fund 403(b) plan	B	Int./Div.	M	T					
8. Spartan US Equity Index Fund 403(b) plan	B	Int./Div.	M	T					
9. Fidelity Cash Reserve 403(b) plan	A	Int./Div.			Sold	05/23/14	K		
10. Fidelity US Government Reserve 403(b) plan	A	Int./Div.	K	T					
11. TIAA Traditional Acct 403(b)	D	Interest	N	T					
12. USAA Subscribers Savings Account	C	Dividend	J	T					
13. PNC Savings Accounts	A	Interest	K	T					
14. American Express Bank Savings Account	A	Interest	K	T					
15. PNC Financial Services Group (X)	A	Dividend	J	T					
16. American Funds American Mutual Fund Cl F-1	D	Dividend	M	T	Sold (part)	03/14/13	J		
17. American Funds Bond Fund of America Cl F-1	B	Dividend			Buy (add'l)	03/14/13	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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☐ 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.					Sold (part)	04/15/13	M		
19.					Sold	04/15/13	K		
20.	American Funds Capital World Growth & Income Fund C1 F1	C	Dividend	M	T	Sold (part)	03/14/13	J	
21.	American Funds Growth Fund of America Fund C1 F1	E	Dividend	N	T	Sold (part)	03/14/13	J	
22.					Sold (part)	07/12/13	J		
23.					Sold (part)	08/02/13	K		
24.	Columbia Acorn Fund C1 Z	D	Dividend	M	T				
25.	Columbia Dividend Income Fund C1 Z	D	Dividend	M	T	Sold (part)	07/12/13	J	
26.					Sold (part)	08/02/13	K		
27.	Franklin Templeton Hard Currency Fund C1 A		None	L	T	Buy (add'l)	07/12/13	J	
28.					Buy (add'l)	08/02/13	J		
29.					Buy (add'l)	01/06/14	J		
30.	Oppenheimer Developing Markets Fund C1 A	A	Dividend	M	T				
31.	Oppenheimer Global Fund C1 A	C	Dividend	M	T	Sold (part)	03/14/13	J	
32.									
33.	Pimco Foreign Bond (Unhedged) Fund C1 D	A	Dividend		Buy (add'l)	02/27/13	J		
34.					Buy (add'l)	03/14/13	K		

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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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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35.					Sold (part)	04/15/13	K		
36.					Sold	04/15/13	M		
37. Pimco Total Return Fund C1 D	D	Dividend	M	T	Buy (add'l)	02/27/13	J		
38.					Buy (add'l)	03/14/13	J		
39.					Buy (add'l)	08/02/13	J		
40.					Buy (add'l)	01/06/14	J		
41.					Buy (add'l)	02/13/14	J		
42. Prudential Jennison Natural Resources A		None	M	T					
43. First TN Ntwk (Bank Sweep) (Y)									
44. Bank of China (Bank Sweep) (Y)									
45. Goldman Sachs Bank (Bank Sweep) (Y)									
46. Bank of the West (Bank Sweep) (Y)									
47. East West Bank (Bank Sweep) (Y)									
48. NY Community (Bank Sweep) (Y)									
49. Franklin Templeton Global Total Return A	D	Dividend	N	T	Buy	04/16/13	K		
50.					Buy (add'l)	04/16/13	M		
51.					Buy (add'l)	07/12/13	J		

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52.					Buy (add'l)	08/02/13	K		
53.					Buy (add'l)	01/06/14	J		
54.					Buy (add'l)	02/13/14	J		
55. Pimco Low Duration Fund C1	B	Dividend	M	T	Buy	04/15/13	K		
56.					Buy (add'l)	04/15/13	M		
57.					Sold (part)	08/02/13	J		
58. Commonwealth Financial Network (Bank sweep) (See Part VIII)	A	Interest	K	T	Open	01/02/13	J		
59. Fidelity Diversified International Fund		None	K	T	Buy	05/23/14	K		
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86.									
87.									
88.									

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

Part VII:

On the prior year report, a master money market bank sweep account was listed using the six (6) individual participating banks. On the current year report, there would be twenty (20) participating banks if listed individually. Based on the instructions for bank accounts, none would qualify for disclosure due to income and value criteria. However, the master account would qualify by itself. Based on that fact, we called an examiner on July 10, 2014, and she agreed with our conclusion. The assets in question are items 49; 51; 52; 53; 54; and 55, and are coded with a parenthetical (Y) to remove them. The new asset is listed as item 58, Commonwealth Financial Network, and correctly discloses my interest.

In Part VII, Investments and Trusts, Lines 6; 27; and 42, reflect securities that have no income. These securities do not produce any income taxable or otherwise.

Part VII, Line 15, PNC Financial Services Group: This security was coded with a parenthetical Y on Line 18 on the 2012 Annual Report because the income and end of year value dropped below the reporting requirement. On the current year report, we coded this security with a parenthetical X to call attention to the fact that it is now a reportable transaction because the end of period value is now over \$1,000.00.

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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/ SUSAN K. GAUVEY

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