

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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) GWIN, JAMES S.	2. Court or Organization N.D. OHIO	3. Date of Report 09/06/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) JUDGE, ACTIVE	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2015 to 12/31/2015
7. Chambers or Office Address CARL B. STOKES US COURT HOUSE 801 WEST SUPERIOR AVENUE CLEVELAND, OH 44113		
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. At retirement	STATE OF OHIO PUBLIC EMPLOYEE RETIREMENT SYSTEM AND OHIO STATE TEACHERS RETIREMENT SYSTEM. RIGHT TO RETIREMENT BENEFITS
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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE AND TYPE

1. Monthly

INTERNATIONAL BUSINESS MACHINES, INC., spouse pension

2. Monthly

HEIDRICK & STRUGGLES, Inc. salary, bonus, restricted stock

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.)*SOURCEDATESLOCATIONPURPOSEITEMS 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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE 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. IBM common stock (IBM)	A	Dividend	K	T					
2. Berkshire Hathaway common stock (BRKA)	A	Dividend	M	T					
3. Vanguard Total Stock Market Index Fund, tax deferred	D	Dividend	O	T	Buy (add'l)	01/14/15	K		
4.					Buy (add'l)	02/02/15	J		
5.					Buy (add'l)	03/03/15	K		
6.					Buy (add'l)	01/17/15	J		
7. Heidrick & Struggles Co., common stock, (HSII)	D	Dividend	N	T					
8. Ohio Deferred Compensation LifePath 2035	A	Dividend	N	T					
9. Schwab Money Market Fund	B	Dividend	K	T					
10. Public Square Partners, LLC	E	Dividend	M	U					
11. iShares S&P Midcap 400 Growth Index Fund (IJK)	B	Dividend	L	T	Sold (part)	12/01/15	K	C	
12. Guggenheim ETF S&P 500 Equal Weight (RSP)	D	Dividend			Sold	11/30/15	O	E	
13. Energy Select Sector SPDR Fund (XLE)	B	Dividend			Sold	12/01/15	L	A	
14. iShares Barclays Intermediate Credit Bond Fund (CIU)	B	Dividend			Sold	12/01/15	K	A	
15. PowerShares DB Commodity Index Tracking Trust (DBC)	A	Dividend			Sold	12/01/15	K	A	
16. Consumer Discretionary Select Sector SPDR Fund (XLY)	B	Dividend			Sold	12/01/15	M	F	
17. Rydex ETF Trust S&P Equal Weight Financials (RYF)	B	Dividend			Sold	12/01/15	M	F	

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 H ~\$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 ~\$250,001 - \$500,000	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	
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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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)

18. Health Care Select Sector SPDR Fund (XLV)	B	Dividend			Sold	12/01/15	J	D	
19. AQR Managed Futures Strategy Fund (AQMNX)	A	Dividend			Sold	12/01/15	L	C	
20. Wasatch Long Short Fund (FMLSX)	A	Dividend			Sold	12/01/15	L	A	
21. iShares MSCI Pacific ex-Japan Fund (EPP)	B	Dividend			Sold	12/01/15	K	A	
22. iShares MSCI United Kingdom Index Fund (EWU)	B	Dividend			Sold	12/01/15	L	A	
23. iShares S&P Smallcap 600 Growth Index Fund (IJT)	B	Dividend	L	T					
24. iShares Barclays 3-7 Year Treasury Bond Fund (IEI)	B	Dividend			Sold	12/01/15	K	A	
25. PowerShares Fundamental High Yield Bond Portfolio (PHB)	A	Dividend			Sold	12/01/15	J	A	
26. PowerShares Exchange Traded Funds, Emerging Mkts. (PIE)	A	Dividend			Sold	12/01/15	L	A	
27. Industrial Select Sector SPDR Fund (XLI)	B	Dividend			Sold	12/01/15	M	E	
28. Consumer Staples Select Sector SPDR Fund (XLP)	B	Dividend			Sold	12/01/15	L	E	
29. SPDR S&P MidCap 400 ETF (MDY)	C	Dividend	M	T					
30. Vanguard FTSE ETF Small Cap (VSS)	A	Dividend			Sold	12/01/15	L	C	
31. Vanguard Mortgage-Backed Securities ETF (VMBS)	A	Dividend			Sold	12/01/15	J		
32. Vanguard FTSE Emerging Markets ETF (VWO)	B	Dividend			Sold	12/01/15	L	A	
33. First Trust Dow Jones Internet Index (FDN)	A	Dividend			Sold	12/01/15	K	D	
34. First Trust Materials AlphaDEX (FXZ)	A	Dividend			Sold	12/01/15	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
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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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. IQ Hedge Multi-Strategy Tracker ETF (QAI)	C	Dividend	N	T	Buy (add'l)	12/01/15	M		
36. iShares US Aerospace & Defense (ITA)	A	Dividend			Sold	12/01/15	K	D	
37. iShares Core S&P Small-Cap (IJR)	B	Dividend	M	T	Buy (add'l)	12/01/15	K		
38. iShares MSCI Canada (EWC)	A	Dividend			Sold	12/01/15	K	A	
39. iShares MSCI EMU Index (EZU)	B	Dividend			Sold	12/01/15	K	D	
40. iShares MSCI Germany (EWG)	A	Dividend			Sold	12/01/15	K	C	
41. iShares North American Tech (IGM)	A	Dividend			Sold	12/01/15	M	F	
42. PowerShares Dynamic Media (PBS)	A	Dividend			Sold	12/01/15	K	D	
43. Vanguard REIT Index ETF (VNQ)	B	Dividend	L	T	Buy	12/01/15	K		
44. Vanguard Telecom Services ETF (VOX)	A	Dividend			Sold	12/01/15	K	C	
45. iShares US Home Construction (ITB)	A	Dividend			Sold	12/01/15	K	C	
46. iShares Regional Banks (IAT)	A	Dividend			Sold	12/01/15	K	B	
47. AQR Diversified Arbitrage I (ADAIX)	A	Dividend			Sold	12/01/15	K	A	
48. iShares Core US Aggregate Bond ETF (AGG)	A	Dividend	M	T	Buy	12/01/15	M		
49. iShares S&P 500 Growth (IVW)	C	Dividend	O	T	Buy	12/01/15	O		
50. iShares S&P 500 Value (IVE)	C	Dividend	O	T	Buy	12/01/15	O		
51. SPDR Barclays Short Term Hi Yld Bd ETF (SJNK)	A	Dividend	K	T	Buy	12/01/15	K		

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		
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52. SPDR DoubleLine Total Return Tact ETF (TOTL)	A	Dividend	K	T	Buy	12/01/15	K		
53. Vanguard FTSE Europe ETF (VGK)	B	Dividend	O	T	Buy	12/01/15	O		
54. Vanguard FTSE Pacific ETF (VPL)	B	Dividend	M	T	Buy	12/01/15	M		
55. Vanguard Target Retirement 2030 Inv (VTHR)	E	Dividend	O	T	Buy	03/27/15	O		
56.									

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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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.)*

Regarding the investment in the Vanguard Fund, this investment is made through an employer 401 plan sponsored at my wife's employer. The yearly statutory maximum is met in the first quarter although we do not know the exact dates of purchase.

Regarding the Thrift Savings Plan Common Stock Index Fund, this investment is made through an employer 401 plan sponsored by the U.S. Courts. Maximum allowable deductions and purchases are made each month.

Regarding Schwab Money Market Fund (Part VII, 7) this investment is a money market fund to which investments are made relatively frequently and infrequent withdrawals occur. The account is used as a savings type account.

Regarding Galaxy Mutual Funds, this was a smaller mutual fund investment that I established at least ten years ago. The investment was sold at some time more than six years ago but I inadvertently failed to record the sale and failed to delete the former investment from my subsequent financial reports.

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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/ JAMES S. GWIN**

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