

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) Tydingco-Gatewood, Frances M.	2. Court or Organization District Court of Guam	3. Date of Report 12/22/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Chief Judge - Active Status	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2016 to 12/31/2016
5b. ☒ Amended Report		
7. Chambers or Office Address District Court of Guam Fourth Floor, United States Courthouse 520 West Soledad Avenue Hagatna, Guam 96910		
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.	Partner	PCJD Corp.
2.	Partner	Gatewood Enterprise LLC
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. 1984	Government of Guam Retirement Plan
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. 2016

Self-employed Periodontist

2. 2016

Part-time Professor at University of Guam teaching one Organic Chemistry class and lab

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.)*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. IShares TR S&P MIDCAP 400 Value Index FD (IRA)	A	Dividend	J	T					
2. IShares TR Barclays 1-3 Yr CR BD FD (IRA)	A	Dividend	J	T					
3. IShares TR Barclays 1-3 Yr Treas BD FD (IRA)	A	Dividend	J	T					
4. Vanguard Intl EquityIndex FDS MSCI Emerging Mkts ETF (IRA)	A	Dividend	J	T					
5. Ishares TR Barclays Aggregate BD FD (IRA)	A	Dividend	J	T					
6. IShares TR S&P 500 Growth Index FD (IRA)	A	Dividend	J	T					
7. IShares TR S&P 500 Value Index FD (IRA)	A	Dividend	J	T					
8. PIMCO Global Bond (Unhedged) Fund (IRA)	A	Dividend	J	T					
9. Federated Institutional High Yield Bond Fund (IRA)	A	Dividend	J	T					
10. IShares TR Barclays Tips BD FD (IRA)	A	Dividend	J	T					
11. IShares TR MSCI EAFEIndex FD (IRA)	A	Dividend	J	T					
12. IShares TR S&P Small Cap 600 Growth Index FD (IRA)	A	Dividend	J	T					
13. IShares TR S&P Midcap 400 Growth Index FD (IRA)	A	Dividend	J	T					
14. IShares TR S&P Small Cap 600 Value Index FD (IRA)	A	Dividend	J	T					
15. Vanguard Index FDS Vanguard REIT ETF (IRA)	A	Dividend	J	T					
16. IShares TR S&P 500 Value Index FD (IRA)	A	Dividend	J	T					
17. PIMCO Global Bond (Unhedged) Fund (IRA)	A	Dividend	J	T					

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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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)

18. Federated Institutional High Yield Bond Fund (IRA)	A	Dividend	J	T					
19. IShares TR Barclays Tips BD FD	A	Dividend	J	T					
20. IShares TR S&P Small Cap 600 Growth Index FD (IRA)	A	Dividend	J	T					
21. IShares TR MSCI EAFEIndex FD (IRA)	A	Dividend	J	T					
22. IShares TR S&P Midcap 400 Growth Index FD (IRA)	A	Dividend	J	T					
23. IShares TR S&P Small Cap 600 Value Index FD (IRA)	A	Dividend	J	T					
24. Vanguard Index FDS Vanguard REIT ETF (IRA)	A	Dividend	J	T					
25. IShares TR S&P Midcap 400 Value Index FD (IRA)	A	Dividend	J	T					
26. IShares TR Barclays 1-3 Yr CR BD FD (IRA)	A	Dividend	J	T					
27. IShares TR Barclays 1-3 Yr Treas BD FD (IRA)	A	Dividend	J	T					
28. Vanguard Intl Equity Index FDS MSCI Emerging Mkts ETF (IRA)	A	Dividend	J	T					
29. IShares TR Barclays Aggregate BD FD (IRA)	A	Dividend	J	T					
30. IShares TR S&P 500 Growth Index FD (IRA)	A	Dividend	J	T					
31. Powershares DB Commodity Index Tracking FD (IRA)	A	Dividend	J	T					
32. Powershares DB Commodity Index Tracking FD (IRA)	A	Dividend	J	T					
33. PIMCO Global Bond (Unhedged) Fund (IRA)	A	Dividend	J	T					
34. Federated Institutional High Yield Bond Fund (IRA)	A	Dividend	J	T					

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. IShares TR Barclays Tips BD FD (IRA)	A	Distribution	J	T					
36. IShares TR MSCI EAFEIndex FD (IRA)	A	Dividend	J	T					
37. IShares TR S&P Small Cap 600 Growth Index FD (IRA)	A	Dividend	J	T					
38. IShares TR S&P Midcap 400 Growth Index FD (IRA)	A	Dividend	J	T					
39. IShares TR S&P Small Cap 600 Value Index FD (IRA)	A	Dividend	J	T					
40. Vanguard Index FDS Vanguard REIT ETF (IRA)	A	Dividend	J	T					
41. IShares TR S&P Midcap 400 Value Index FD (IRA)	A	Dividend	J	T					
42. IShares TR Barclays 1-3 Yr CR BD FD (IRA)	A	Dividend	J	T					
43. IShares TR Barclays 1-3 Yr Treas BD FD (IRA)	A	Dividend	J	T					
44. Vanguard Intl Equity Index FDS MSCI Emerging Mkts ETF (IRA)	A	Dividend	J	T					
45. IShares TR S&P 500 Growth Index FD (IRA)	A	Dividend	J	T					
46. IShares TR Barclays Aggregate BD FD (IRA)	A	Dividend	J	T					
47. IShares TR S&P 500 Value Index FD (IRA)	A	Dividend	J	T					
48. IShares TR S&P Midcap 400 Growth Index FD (IRA)	A	Dividend	J	T					
49. IShares TR S&P Small Cap 600 Value Index FD (IRA)	A	Dividend	J	T					
50. IShares TR S&P Small Cap 600 Growth Index FD (IRA)	A	Dividend	J	T					
51. Vanguard Index FDS Vanguard REIT ETF (IRA)	A	Dividend	J	T					

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	
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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)
52. Federated Institutional High Yield Bond Fund (IRA)	A	Distribution	J	T					
53. Powershares DB Commodity Index Tracking FD (IRA)	A	Dividend	J	T					
54. iShares TR Barclays Tips BD FD (IRA)	A	Dividend	J	T					
55. iShares TR MSCI EAFEIndex FD (IRA)	A	Dividend	J	T					
56. iShares TR Core Total U S BD MKT ETF (IRA)	A	Dividend	J	T					
57. iShares TR S&P Midcap 400 Growth Index FD (IRA)	A	Dividend	J	T					
58. iShares TR S&P Small Cap 600 Growth Index FD (IRA)	A	Dividend	J	T					
59. iShares TR S&P Midcap 400 Value Index FD (IRA)	A	Dividend	J	T					
60. iShares TR S&P Small Cap 600 Value Index FD (IRA)	A	Dividend	J	T					
61. Vanguard Index FDS Vanguard REIT ETF (IRA)	A	Dividend	J	T					
62. iShares TR S&P Midcap 400 Value Index FD (IRA)	A	Dividend	J	T					
63. Vanguard Intl Equity Index FDS MSCI Emerging MKTS ETF (IRA)	A	Dividend	J	T					
64. iShares TR Barclays 1-3 Yr CR BD FD (IRA)	A	Dividend	J	T					
65. iShares TR Barclays 1-3 Yr Treas BD FD (IRA)	A	Dividend	J	T					
66. Vanguard Intl Equity Index FDS MSCI Emerging MKTS ETF (IRA)	A	Dividend	J	T					
67. iShares TR S&P 500 Growth Index FD (IRA)	A	Dividend	J	T					
68. iShares TR Core Total U S BD MKT ETF (IRA)	A	Dividend	J	T					

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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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)
69. IShares TR S&P 500 Value Index FD (IRA)	A	Dividend	J	T					
70. IShares TR S&P 500 Growth Index FD (IRA)	A	Dividend	J	T					
71. IShares TR MSCI EAFEIndex FD (IRA)	A	Dividend	J	T					
72. IShares TR S&P 500 Value Index FD (IRA)	A	Dividend	J	T					
73. PIMCO Global Bond (Unhedged) Fund (IRA)	A	Dividend	J	T					
74. Principal Diversified Real Asset Fund Class I	A	Dividend	J	T					
75. PCJD Corp.	C	Dividend	J	T					
76. Nuveen Real Asset Income Fund	A	Dividend	J	T					
77. Gatewood Enterprise LLC (X)	C	Dividend	J	T					

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.)*

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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/ **Frances M. Tydingco-Gatewood**

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