

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)

|                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                          |                                                                  |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting</b> (last name, first, middle initial)<br><br>Gerrard, John M.                                                                                                                     | <b>2. Court or Organization</b><br><br>U.S. District Court, Nebraska                                                                                                                                                                                                                     | <b>3. Date of Report</b><br><br>03/25/2014                       |
| <b>4. Title</b> (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)<br><br>U.S. District Judge - Active Status                                           | <b>5a. Report Type</b> (check appropriate type)<br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final<br><b>5b.</b> <input type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br><br>01/01/2013<br>to<br>12/31/2013 |
| <b>7. Chambers or Office Address</b><br><br>586 Federal Building<br>100 Centennial Mall North<br>Lincoln, Nebraska 68508                                                                                  |                                                                                                                                                                                                                                                                                          |                                                                  |
| <p align="center"><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</p> |                                                                                                                                                                                                                                                                                          |                                                                  |

## I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

|                       |                              |
|-----------------------|------------------------------|
| 1. Board of Governors | Nebraska Wesleyan University |
| 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.)*

| <u>DATE</u> | <u>SOURCE AND TYPE</u>                               | <u>INCOME</u><br>(yours, not spouse's) |
|-------------|------------------------------------------------------|----------------------------------------|
| 1. 2013     | University of Nebraska College of Law adjunct salary | \$3,950.00                             |
| 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     | University of Nebraska Health Center - psychiatric nurse practitioner salary |
| 2. 2013     | Bryan LGH Physician Network, Inc. - psychiatric nurse practitioner salary    |
| 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. The American Law Institute     | September 19-21, 2013 | Philadelphia, PA | Torts' Advisers meeting | Transportation, meals, hotel  |
| 2. Chaloupka Trial Skills Seminar | November 14-15, 2013  | Scottsbluff, NE  | Ethics CLE (teach)      | Transportation, meals, hotel  |
| 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. | U.S. Bank       | Personal note      | J                 |
| 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 1. First National Bank Omaha                                                                                                | A                                       | Interest                                      | J                                               | T                                         | Open                                            | 08/13/13                | J                               |                                |                                                                   |
| 2. U.S. Bank Checking Account                                                                                               | A                                       | Interest                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 3. Charles Schwab Market Account                                                                                            | A                                       | Interest                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 4. ABT Common Stock                                                                                                         | A                                       | Dividend                                      | J                                               | T                                         | Buy<br>(add'l)                                  | 08/01/13                | J                               |                                |                                                                   |
| 5. COP Common Stock                                                                                                         | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 01/14/13                | J                               | A                              |                                                                   |
| 6. DIS Common Stock                                                                                                         | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 7. DMRC Common Stock                                                                                                        | A                                       | Dividend                                      |                                                 |                                           | Buy                                             | 04/15/13                | J                               |                                |                                                                   |
| 8.                                                                                                                          |                                         |                                               |                                                 |                                           | Sold                                            | 10/17/13                | J                               | A                              |                                                                   |
| 9. Dow Chemical Corp Bond                                                                                                   | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 10. DTV Common Stock                                                                                                        | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 10/15/13                | J                               |                                |                                                                   |
| 11. ESRX Common Stock                                                                                                       | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 01/18/13                | J                               |                                |                                                                   |
| 12. F Common Stock                                                                                                          | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 13. FDX Common Stock                                                                                                        | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 14. GFAFX Growth Fund (Y)                                                                                                   |                                         | None                                          |                                                 |                                           | Distributed                                     |                         |                                 |                                |                                                                   |
| 15. GOOG Common Stock                                                                                                       | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 09/23/13                | J                               |                                |                                                                   |
| 16. HCP Common Stock                                                                                                        | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 17. IBSCX Small Cap Fund                                                                                                    |                                         | None                                          | 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 |                         |
| 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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## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code I<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                              |   |          |   |   |                |          |   |   |  |
|------------------------------|---|----------|---|---|----------------|----------|---|---|--|
| 18. INTC Common Stock        | A | Dividend | J | T |                |          |   |   |  |
| 19. KMB Common Stock         | A | Dividend |   |   | Sold           | 08/27/13 | J | A |  |
| 20. MCD Common Stock         | A | Dividend | J | T |                |          |   |   |  |
| 21. OKS Common Stock         | A | Dividend | J | T |                |          |   |   |  |
| 22. ORCL Common Stock        | A | Dividend | J | T |                |          |   |   |  |
| 23. PTTRX Institutional Fund |   | None     | J | T |                |          |   |   |  |
| 24. RERGX Growth Fund        |   | None     | J | T |                |          |   |   |  |
| 25. RFNGX Growth Fund        |   | None     | J | T |                |          |   |   |  |
| 26. SCHC Common Stock        | A | Dividend | J | T | Buy            | 11/14/13 | J |   |  |
| 27. SE Common Stock          | A | Dividend | J | T |                |          |   |   |  |
| 28. SNY Common Stock         | A | Dividend |   |   | Sold           | 11/12/13 | J | A |  |
| 29. SU Common Stock          | A | Dividend | J | T | Buy            | 09/04/13 | J |   |  |
| 30. TCLFX Investment Fund    |   | None     | K | T |                |          |   |   |  |
| 31. TIP Bond Fund            | A | Dividend |   |   | Sold           | 08/27/13 | J | A |  |
| 32. V Common Stock           | A | Dividend |   |   | Sold           | 07/16/13 | J | A |  |
| 33. VFORX Investment Fund    |   | None     | J | T |                |          |   |   |  |
| 34. VIPSX Securities Fund    | A | Dividend |   |   | Buy<br>(add'l) | 03/27/13 | J |   |  |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|-------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                   | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$50,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                           | T = Cash Market                                              |                         |

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Name of Person Reporting

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| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                                    |   |          |   |   |                |          |   |   |  |
|----------------------------------------------------|---|----------|---|---|----------------|----------|---|---|--|
| 35.                                                |   |          |   |   | Sold           | 08/26/13 | J | A |  |
| 36. WEFIZ Bond Fund                                | A | Dividend | J | T | Buy<br>(add'l) | 03/27/13 | J |   |  |
| 37. WLP Common Stock                               | A | Dividend | J | T |                |          |   |   |  |
| 38. WR Common Stock                                | A | Dividend | J | T |                |          |   |   |  |
| 39. WY Common Stock                                | A | Dividend | J | T |                |          |   |   |  |
| 40. American General Universal Life Insurance      |   | None     | J | T |                |          |   |   |  |
| 41. Nebraska Judges Retirement System (no control) | A | Interest | M | T |                |          |   |   |  |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|-------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                   | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$50,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
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## VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

GFAFX Growth Fund (Part VII, line 14) was one fund in [REDACTED] retirement account. [REDACTED] still has retirement account and all funds are accounted for in Part VII. But GFAFX Growth Fund was disposed of, or, more accurately, absorbed into other funds within the account on a date, unknown to this filer, in 2013.

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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 M. Gerrard**

**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