

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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) TREADWELL, MARC T.	2. Court or Organization UNITED STATES DISTRICT COURT, MIDDLE DISTRICT OF GEORGIA	3. Date of Report 07/22/2015
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U. S. DISTRICT JUDGE - ACTIVE	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 1/1/2014 to 12/31/2014
7. Chambers or Office Address P. O. BOX 65 MACON, GA 31202		
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. Member of Board of Trustees	Mercer University
2.	
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.	
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. 2014	Mercer Law School - Salary	\$6,000.00
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. 2014	Self-employed landscape architect (d/b/a WT Designs)
2. 2014	Self-employed real estate professional (d/b/a WT Development, LLC)
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. Navicent Health	04/30/14 - 5/2/14	Charleston, SC	Conference (Spouse is a board member)	Gas, parking, lodging
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.	Trust #2	Mortgage on rental property #1, Fripp Island, SC (Part VII, line 4)	M
2.	Merrill Lynch	Line of Credit - the assets of Brokerage #1 (Part VII, lines 9 - 15) are pledged collateral for this loan	L
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. State Bank and Trust Company Accounts		None	J	T					
2. Wells Fargo Bank Account (Y)									
3. Bank of America (X)		None	J	T					
4. Rental Property #1, Fripp Island, South Carolina	E	Rent	O	W					
5. Rental Property #2, Macon, Georgia (X)	D	Rent	M	W					
6. Rental Property #3, Macon, Georgia (X)	B	Rent	L	W					
7. Rental Property #4, Auburn, Alabama	D	Rent	M	W					
8. Lincoln National Life - Survivorship universal life policy		None	L	V					
9. Brokerage #1									
10. -Merrill Lynch Cash Management Account	A	Interest	J	T					
11. -Powershares VRDO Tax Free Fund	A	Dividend	M	T	Sold (part)	02/18/14	J		
12.					Sold (part)	04/24/14	J		
13.					Sold (part)	10/27/14	J		
14. -SP500 Stepup Issuer BAC		None	K	T					
15. -Apple Inc. (common)	A	Dividend	K	T					
16. Brokerage #2									
17. -Merrill Lynch Cash Management Account	A	Interest	J	T					

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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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18. -American Express Company (common)	A	Dividend	K	T					
19. -Ameriprise Financial Inc (common)	A	Dividend	K	T					
20. -Bristol-Myers Squibb Co (common)	A	Dividend	K	T					
21. -General Electric (common)	A	Dividend	J	T					
22. -Halyard Health Inc. (common)		None	J	T	Spinoff (from line 25)	11/06/14	J		
23. -Home Depot Inc (common)	A	Dividend	K	T					
24. -Johnson and Johnson (common)	A	Dividend	K	T					
25. -Kimberly Clark (common)	B	Dividend	L	T					
26. -Zimmer Holdings Inc (common)	A	Dividend	J	T					
27. Brokerage #3									
28. -Merrill Lynch Cash Management Account	A	Dividend	J	T					
29. -Allianz NFJ Dividend Value Fd Cl P	A	Dividend	K	T					
30. -Allianz NFJ International Value Fund	A	Dividend	J	T					
31. -Ivey Asset Strategy Fund Cl I	A	Dividend	J	T					
32. -Lord Abbet Intermediate Tax Free Fd Cl F (Y)									
33. -Mainstay Large Cap Growth Fund Cl I		None	K	T					
34. -Mainstay Marketfield Fund Cl I		None	J	T					

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35. -MFS Value Fd Cl I	A	Dividend	K	T					
36. -Oppenheimer Gold & Special Minerals Fd Cl Y (Y)									
37. -Oppenheimer Rising Dividends Fund Cl Y	A	Dividend	K	T					
38. -T Rowe Price Summit Muni Intermediate Fd (Y)									
39. -Nuveen High Yield Muni Bond Fd Cl I	A	Dividend	J	T					
40. -Guggenheim Mid Cap Value Fund Cl I	A	Dividend	J	T					
41. -Permanent Portfolio Fund	A	Dividend	J	T					
42. -Blackrock Equity Dividend Fund Instl	A	Dividend	K	T					
43. -Blackrock Short-term Municipal Fund Instl	A	Dividend	K	T					
44. IRA #1	C	Dividend	L	T					
45. -Merrill Lynch cash holding account									
46. -Blackrock Equity Dividend Fund Instl					Buy (add'l)	03/25/14	J		
47. -Dreyfus Appreciation Fd									
48. -Lazard Emerging Mkts Equity Ptf Instl Class									
49. -Mainstay Large Cap Growth Fund Cl I									
50. -MFS Research Bond Fund Cl I					Buy (add'l)	06/20/14	J		
51.					Buy (add'l)	01/08/14	J		

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52. -Neuberger Berman High Income Bond Fd Cl Inst					Sold (part)	01/08/14	J	A	
53. -Oppenheimer Rising Dividends Fund Cl Y					Sold (part)	03/25/14	J	A	
54. -TCW Total Return Bond Fd Cl I									
55. -American Century Inflation Adj Bd Inv Cl					Sold	01/08/14	J		
56. -Principal Preferred Securities Fund Cl P					Sold	01/08/14	J		
57. -Cohen & Steers Realty Shares Fund Cl N					Sold	01/08/14	J		
58. -Clearbridge Small Cap Growth Fund Cl I									
59. -John Hancock Classic Value Fund Cl I									
60. -MFS Emerging Markets Debt Fd Cl I					Sold (part)	01/08/14	J		
61. -The Oakmark Intl Fund					Buy (add'l)	01/08/14	J		
62. -Pimco Total Return Fund Cl P					Buy	01/08/14	J		
63. -Victory Small Company Opportunity Fund Cl Y					Buy	01/08/14	J		
64. IRA #2	B	Int./Div.	M	T					
65. -Morgan Stanley Cash/Bank Deposit Program									
66. -American Cap Wrld Gr & Inc A									
67. -Apple Inc (Common)					Sold (part)	05/20/14	J		
68. -Express Scripts Hldg Co (Common)					Buy	05/20/14	J		

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69. -Wisdomtree Trust Emrg Mkt Eqt Fund									
70. 401(k) Retirement Plan	E	Dividend	O	T					
71. -American Funds - Growth Fund of America-R3									
72. -American Funds - Investment Company of America-R3									
73. -American Funds - Fundamental Investors-R3									
74. IRA #3	D	Int./Div.	L	T					
75. -Merrill Lynch cash holding account									
76. -Blackrock Equity Dividend Fund Instl					Buy (add'l)	03/25/14	J		
77. -Dreyfus Appreciation Fd									
78. -Lazard Emerging Mkts Equity PtfI Instl Class									
79. -Mainstay Large Cap Growth Fund Cl I									
80. -MFS Research Bond Fund Cl I					Buy (add'l)	06/20/14	J		
81.					Buy (add'l)	01/08/14	J		
82. -Neuberger Berman High Income Bond Fd Cl Inst					Sold (part)	01/08/14	J	A	
83. -Oppenheimer Rising Dividends Fund Cl Y					Sold (part)	03/25/14	J	A	
84. -American Centruy Inflation Adj Bd Inv Cl					Sold	01/08/14	J		
85. -Principal Preferred Securities Fund Cl I					Sold	01/08/14	J		

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86. -TCW Total Return Bond Fd C11									
87. -Cohen & Steers Realty Shares Find C1 N					Sold	01/08/14	J		
88. -The Oakmark Intl Fund					Buy (add'l)	03/25/14	J		
89.					Buy (add'l)	01/08/14	J		
90. -John Hancock Classic Value Fund C1 I									
91. -Clearbridge Small Cap Growth Fund C1 I									
92. -MFS Emerging Markets Debt Fd C1 I					Sold	01/08/14	J		
93. -Victory Small Company Opportunity Fund C1 Y					Buy	01/08/14	J		
94. -Pimco Total Return Fund C1 P					Buy	01/08/14	J		
95. Trust #1	E	Int./Div.	O	T					
96. -Federated Money Mkt Obligs Tr Trsy Obligs Instl C1 #68 FFS (Y)									
97. -PWM Fiduciary Master Dep Acct (X)									
98. -Exxon Mobil Corp (Common)									
99. -Praxair Inc (Common)									
100. -General Electric Co (Common)					Sold (part)	04/16/14	J	C	
101. -Home Depot Inc (Common)									
102. -Coca-Cola Co (Common)									

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103. -Colgate Palmolive Co (Common)					Sold (part)	04/16/14	J	C	
104. -Kimberly Clark Corp (Common)									
105. -Bristol Myers Squibb Co (Common)									
106. -Johnson & Johnson (Common)					Sold (part)	04/16/14	J	D	
107. -American Express Co (Common)									
108. -JP Morgan Chase & Co (Common)									
109. -Wells Fargo & Co New (Common)									
110. -Intel Corp (Common)									
111. -Microsoft Corp (Common)									
112. -Verizon Communications (Common)									
113. -Forum Funds - Absolute Strategies Fd Instl CI									
114. -Manning & Napier Funds - World Opptys Ser CI A									
115. -Oppenheimer Funds - Developing Mkts Instl Fd CI Y									
116. -PNC Fincl Svcs Group Inc (Common)					Sold	02/03/14	J	C	
117. -Apple Inc (Common)					Sold	04/16/14	K		
118. -Capital One Fncl Corp (Common)									
119. -International Business Machines Corp (Common)									

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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)
120. -Wasatch Long/Short Fund-Ins (Common)									
121. -BB&T Corporation (Common)					Sold	04/07/14	J	B	
122. -Blackrock Inc Cl A (Common)									
123. -ConocoPhilips (Common)									
124. -Darden Restaurants Inc (Common)					Sold	03/25/14	K		
125. -Williams Cos Inc. (Common)									
126. -Google Inc Cl A (Common)					Buy	02/06/14	J		
127. -Disney Walt Co New (Common)					Buy	03/25/14	K		
128. -Allstate Corp (Common)					Buy	04/07/14	J		
129. -Google Inc Cl C (Common)					Spinoff (from line 126)	04/02/14	J		
130. -Halyard Health, Inc (Common)					Spinoff (from line 104)	10/31/14	J		
131. Trust #2	C	Int./Div.	M	T					
132. -Federated Money Mkt Obligs Tr Trsy Obligs Instl Cl #68 FFS (Y)									
133. -PWM Fiduciary Master Dep Acct (X)									
134. -Exxon Mobil Corp (Common)					Sold (part)	04/15/14	J	B	
135. -General Electric Co (Common)									
136. -Home Depot Inc (Common)					Sold (part)	04/15/14	J	D	

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

TREADWELL, MARC T.

Date of Report

07/22/2015

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. -Abbott Labs (Common)									
138. -JP Morgan Chase & Co (Common) (Y)									
139. -Intel Corp (Common)									
140. -Oppenheimer Funds-Developing Mkts Instl Fd Cl Y					Donated (part)				
141. -Note Rec. (Mortgage on rental prop #1-Part VI, Ln 1)									
142. -Pepsico Inc (Common)									
143. -Google Inc Cl A (Common)									
144. -Abbvie Inc (Common)									
145. -Google Inc Cl C (Common)					Spinoff (from line 143)	04/02/14	J		
146. Trust #3 (Y)									
147. -Cash - ML Bank Deposit Program (Y)									
148. -General Electric (Common) (Y)									
149. -Johnson and Johnson (Common) (Y)									
150. -Wal-Mart Stores Inc (Common) (Y)									
151. Trust #4	C	Int./Div.	M	T					
152. -Cash - ML Bank Deposit Program (X)									
153. -General Electric (Common)					Sold (part)	03/12/14	J	A	

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

TREADWELL, MARC T.

Date of Report

07/22/2015

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. -Home Depot Inc (Common)									
155. -Johnson and Johnson (Common)									
156. -Wal-Mart Stores Inc (Common)					Sold (part)	05/20/14	J	C	
157.					Sold (part)	06/20/14	J	D	
158. -Exxon Mobil (Common) (X)									
159. -JPMorganChase (Common) (X)									

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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TREADWELL, MARC T.

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

VI. LIABILITIES

Part VI, Line 2: This liability was inadvertently omitted from the prior year report. Value code "L" as of 12/31/2013.

VII. INVESTMENTS AND TRUSTS

Part VII, Lines 5 and 6: The spouse's real estate investment company acquired two properties in 2013. In 2014, the properties were placed in service as rental properties.

Part VII, Line 7: This property was acquired in a prior year and had been used as a personal residence for the filer's dependent, who was a college student. Some rent was collected from third party roommates in 2013, so it should have been reported on the prior year report (income amount code "D"). The omission was inadvertent. Rental income continued to be collected from third party roommates during 2014.

Part VII, Line 8: The value of the universal life policy in Column C(1) is the contract value as of 12/31/2014.

Part VII, Line 32: The prior report showed that this security was partially sold on 9/24/13. This was an error. The 9/24/13 sale was a complete liquidation of the security, so the value at 12/31/2013 should have been zero.

Part VII, Line 36: The prior report showed that this security was partially sold on 6/4/13. This was an error. The 6/4/13 sale was a complete liquidation of the security, so the value at 12/31/2013 should have been zero.

Part VII, Line 38: The prior report showed that this security was partially sold on 9/24/13. This was an error. The 9/24/13 sale was a complete liquidation of the security, so the value at 12/31/2013 should have been zero.

Part VII, Lines 96 & 97: During 2014, the trustee of Trust #1 moved all short term cash investments from "Federated Money Mkt Obligs Tr Trsy Obligs Instl Cl #68 FFS" to "PWM Fiduciary Master Dep Acct".

Part VII, Lines 132 & 133: During 2014, the trustee of Trust #2 moved all short term cash investments from "Federated Money Mkt Obligs Tr Trsy Obligs Instl Cl #68 FFS" to "PWM Fiduciary Master Dep Acct".

Part VII, Line 136: During 2014, the trustee of Trust #2 encroached on the corpus of the trust (as directed by the beneficiary) and transferred all of the remaining shares of this security to the trusts of the children of the trust beneficiary.

Part VII, Line 138: During 2014, the trustee of Trust #2 encroached on the corpus of the trust (as directed by the beneficiary) and transferred all of the remaining shares of this security to the trusts of the children of the trust beneficiary.

Part VII, Lines 146 - 150: In prior reports, the beneficiary of Trust #3 was a dependent of the filer. For 2014, the beneficiary was not a dependent, so the assets in Trust #3 are not reportable.

Part VII, Lines 158 & 159: These securities were received during 2014 as a transfer from Trust #2.

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Name of Person Reporting

TREADWELL, MARC T.

Date 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/ MARC T. TREADWELL

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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