

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) Gerrard, John M.	2. Court or Organization U.S. District Court, Nebraska	3. Date of Report 04/28/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Active Status	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address 586 Federal Building 100 Centennial Mall North Lincoln, Nebraska 68508		
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. 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> (yours, not spouse's)
1. 2016	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. 2016	University of Nebraska Health Center - psychiatric nurse practitioner salary
2. 2016	South Lincoln Psychiatry - 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.				
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.)*

	SOURCE	DESCRIPTION	VALUE
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.)*

	CREDITOR	DESCRIPTION	VALUE CODE
1.	U.S. Bank	Personal note	K
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. First National Bank Omaha Checking Account	A	Interest	J	T					
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					
5. ADNT Common Stock	A	Dividend	J	T	Buy	10/31/16	J		
6. ALL Common Stock	A	Dividend	J	T					
7. ANTM Common Stock formerly known as WLP Common Stock	A	Dividend	J	T	Sold (part)	04/18/16	J	A	
8. BHL Common Stock	A	Dividend	J	T					
9. CBI Common Stock	A	Dividend	J	T					
10. CHK Common Stock	A	Dividend			Sold	02/11/16	J	A	
11. CTL Common Stock	A	Dividend	J	T					
12. CVS Common Stock	A	Dividend	J	T	Buy	04/18/16	J		
13. DIS Common Stock	A	Dividend	K	T					
14. DISCK Common Stock	A	Dividend	J	T					
15. EMN Common Stock	A	Dividend			Sold	02/08/16	J	A	
16. EMR Common Stock	A	Dividend			Sold	02/08/16	J	A	
17. FCAU Common Stock	A	Dividend	J	T					

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	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	F = \$50,001 - \$100,000 (See Columns C1 and D3)	J = \$15,000 or less N = \$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	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000
3. Value Method Codes	P3 = \$250,000,001 - \$50,000,000 (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	P4 = More than \$50,000,000 S = Assessment W = Estimated	T = Cash Market

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	(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. FITB Common Stock	A	Dividend	J	T	Buy	02/09/16	J		
19. GOOG Common Stock	A	Dividend	J	T					
20. HCP Common Stock	A	Dividend	J	T					
21. IBM Common Stock	A	Dividend	J	T					
22. INTC Common Stock	A	Dividend	J	T					
23. JCI Common Stock	A	Dividend	J	T	Buy	02/08/16	J		
24. JNJ Common Stock	A	Dividend	J	T	Buy	02/09/16	J		
25. MET Common Stock	A	Dividend	J	T	Buy	02/09/16	J		
26. MSFT Common Stock	A	Dividend	J	T					
27. PG Common Stock	A	Dividend			Sold	02/08/16	J	A	
28. QCP Common Stock	A	Dividend	J	T	Buy	11/01/16	J		
29. RACE Common Stock	A	Dividend	J	T					
30. RZSMF Common Stock	A	Dividend	J	T	Buy	05/02/16	J		
31. TCLFX Investment Fund	A	Interest	L	T					
32. V Common Stock	A	Dividend	J	T					
33. WEFIX Mutual Fund	A	Dividend	K	T	Buy (add'l)	03/29/16	J		
34.					Buy (add'l)	06/28/16	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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35.					Buy (add'l)	09/28/16	J		
36.					Buy (add'l)	12/28/16	J		
37. WEF1Z Bond Fund	A	Dividend	J	T	Buy (add'l)	03/29/16	J		
38.					Buy (add'l)	06/28/16	J		
39.					Buy (add'l)	09/28/16	J		
40.					Buy (add'l)	12/28/16	J		
41. WY Common Stock	A	Dividend	J	T					
42. XOM Common Stock	A	Dividend	J	T	Buy	06/01/16	J		
43. American General Universal Life Insurance		None	J	T					
44. Nebraska Judges Retirement System (no control)	A	Interest	M	T					

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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.)*

In Part VII., Investments and Trusts, RACE Common Stock was bought on 12/08/14 and inadvertently omitted from the Financial Disclosure Reports for 2014 and 2015. Under D(3), the Value Code 2 for the RACE Common Stock on 12/08/14 was "J."

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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
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