

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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 05/12/2014
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 01/01/2013 to 12/31/2013
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 12

Name of Person Reporting

GWIN, JAMES S.

Date of Report

05/12/2014

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. Monthly

pension

2. Monthly

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.)*

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

1.

2.

3.

4.

5.

FINANCIAL DISCLOSURE REPORT

Page 3 of 12

Name of Person Reporting

GWIN, JAMES S.

Date of Report

05/12/2014

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.	Parker Hannifin Company	Roundtrip transportation from Cleveland to Utah with friend who a Parker executive.	\$700.00
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.			
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 12

Name of Person Reporting

GWIN, JAMES S.

Date of Report

05/12/2014

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)	B	Dividend	N	T	Sold (part)	01/23/13	N	G	
2. Galaxy mutual funds	A	Dividend	J	T					
3. Berkshire Hathaway common stock (BRKA)	A	Dividend	M	T					
4. Vanguard Total Stock Market Index Fund, tax deferred	A	Dividend	O	T	Variou purch		K		
5. Heidrick & Struggles Co., common stock, (HSII)	D	Dividend	N	T					
6. LifePath 2035	A	Dividend	N	T					
7. Schwab Money Market Fund	E	Dividend	L	T				H2	
8. Public Square Partners, LLC	C	Dividend	M	U					
9. iShares S&P Midcap 400 Growth Index Fund (IJK)	A	Dividend	K	T	Buy (add'l)	04/16/13	L		
10.					Sold (part)	02/06/13	J	A	
11.					Sold (part)	07/10/13	J		
12.			P4		Sold (part)	10/08/13	J		
13. WisdomTree Emerging ETF Mkts Local Debt Fund (ELD)	A	Dividend			Sold	07/10/13	K	A	
14. iShares Dow Jones U S Telecommun Sector Index Fund (IYZ)	B	Dividend	K	T	Sold (part)	03/18/13	J	B	
15. Energy Select Sector SPDR Fund (XLE)	B	Dividend	K	T	Sold (part)	07/10/13	J	A	
16.					Sold (part)	10/08/13	J	A	
17. iShares Barclays Intermediate Credit Bond Fund (CIU)	C	Dividend	K	T	Buy (add'l)	02/06/13	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 ~\$250,000,001 - \$500,000,000	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	
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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 12

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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 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.					Sold (part)	03/13/13	J	A	
19.					Sold (part)	07/10/13	M	B	
20. PowerShares DB Commodity Index Tracking Trust (DBC)	A	Dividend	L	T	Buy (add'l)	07/10/13	J		
21. iShares Dow Jones US Technology Sector Index Fund (IYW)	A	Dividend			Sold	01/24/13	M	E	
22. Consumer Discretionary Select Sector SPDR Fund (XLY)	B	Dividend	M	T	Sold (part)	02/06/13	K	B	
23.					Sold (part)	07/10/13	J	A	
24.					Buy (add'l)	10/02/13	K		
25. Rydex ETF Trust S&P Equal Weight Financials (RYF)	B	Dividend	M	T	Buy (add'l)	02/06/13	K		
26.					Sold (part)	03/13/13	J	B	
27.					Buy (add'l)	07/10/13	J		
28.					Sold (part)	10/02/13	J	A	
29. Health Care Select Sector SPDR Fund (XLV)	B	Dividend	L	T	Sold (part)	07/10/13	J	A	
30.					Sold (part)	10/08/13	J	A	
31. AQR Managed Futures Strategy Fund (AQMNX)	F	Dividend	L	T	Sold (part)	02/06/13	J	A	
32.					Sold (part)	03/13/13	L	C	
33.					Buy (add'l)	04/16/13	L		
34.					Buy (add'l)	07/10/13	J		

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		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

FINANCIAL DISCLOSURE REPORT

Page 6 of 12

Name of Person Reporting

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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.					Buy (add'l)	10/10/13	J		
36. Wasatch Long Short Fund (FMLSX)	D	Dividend	L	T	Sold (part)	02/06/13	J	A	
37.					Sold (part)	03/13/13	L	C	
38.					Buy (add'l)	04/16/13	L		
39.					Buy (add'l)	07/10/13	J		
40. iShares MSCI Pacific ex-Japan Fund (EPP)	B	Int./Div.	L	T	Sold (part)	02/06/13	J	A	
41.					Buy (add'l)	07/10/13	K		
42.					Sold (part)	10/08/13	J	A	
43. iShares MSCI United Kingdom Index Fund (EWU)	A	Dividend	L	T	Sold (part)	02/06/13	J	A	
44.					Buy (add'l)	07/10/13	K		
45.					Buy (add'l)	10/08/13	K		
46. iShares S&P Smallcap 600 Growth Index Fund (IJT)	B	Dividend	L	T	Sold (part)	02/06/13	J		
47.					Buy (add'l)	07/10/13	K		
48.					Sold (part)	07/02/13	J	A	
49. iShares Barclays 3-7 Year Treasury Bond Fund (IEI)	B	Dividend	K	T	Buy (add'l)	02/06/13	J		
50.					Sold (part)	04/10/13	L	A	
51.					Sold (part)	07/10/13	L	B	

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 \$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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 12

Name of Person Reporting

GWIN, JAMES S.

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05/12/2014

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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)
52. iShares Cohen & Steer Realty Index Fund (ICF)	A	Dividend			Sold	01/16/13	L	C	
53. iShares Russell 2000 Value Index Fund (IWN)	B	Dividend			Buy (add'l)	07/10/13	K		
54.					Sold	09/05/13	L	B	
55. Market Vectors Gold Miners Index ETF (GDX)	A	Dividend			Buy (add'l)	02/06/13	J		
56.					Sold	03/06/13	K	B	
57. PowerShares Fundamental High Yield Bond Portfolio (PHB)	B	Dividend	K	T	Sold (part)	07/10/13	L	C	
58. PowerShares DB US Dollar Index Trust (UDN)	B	Dividend			Sold	03/04/13	K	A	
59. PowerShares Exchange Traded Funds, Emerging Mkts. (PIE)[	A	Dividend	L	T	Buy (add'l)	02/06/13	J		
60.					Buy (add'l)	07/10/13	K		
61.					Sold (part)	10/08/13	J	A	
62. Industrial Select Sector SPDR Fund (XLI)	C	Dividend	M	T	Sold (part)	02/06/13	J	A	
63.					Buy (add'l)	04/16/13	K		
64.					Sold (part)	07/10/13	J	A	
65.					Sold (part)	10/08/13	J	A	
66. Consumer Staples Select Sector SPDR Fund (XLP)	B	Dividend	L	T	Sold (part)	02/06/13	J	B	
67.					Buy (add'l)	07/10/13	J		
68.					Sold (part)	10/08/13	J	A	

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P = \$500,001 - \$1,000,000	K = \$15,001 - \$50,000 O = \$50,001 - \$100,000 Q = \$100,001 - \$250,000	L = \$50,001 - \$100,000 P = \$100,001 - \$250,000 R = \$250,001 - \$500,000	M = \$100,001 - \$250,000 P = \$250,001 - \$500,000 S = \$500,001 - \$1,000,000	N = \$500,001 - \$1,000,000 Q = \$1,000,001 - \$5,000,000 R = \$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	

FINANCIAL DISCLOSURE REPORT

Page 8 of 12

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GWIN, JAMES S.

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69. SPDR S&P MidCap 400 ETF (MDY)	B	Dividend	M	T	Sold (part)	02/06/13	J	A	
70.					Buy (add'l)	04/16/13	L		
71.					Sold (part)	07/10/13	J	A	
72.					Sold (part)	10/08/13	J	A	
73. Vanguard FTSE ETF Small Cap (VSS)	B	Dividend	L	T	Sold (part)	02/06/13	J	A	
74.					Buy (add'l)	07/10/13	K		
75.					Buy (add'l)	08/08/13	J		
76. Vanguard Mortgage-Backed Securities ETF (VMBS)	B	Dividend	K	T	Buy (add'l)	02/06/13	J		
77.					Sold (part)	03/13/13	K		
78.					Sold (part)	04/19/13	L	B	
79.					Sold (part)	04/16/13	M	B	
80. Vanguard FTSE Emerging Markets ETF (VWO)	B	Dividend	L	T	Buy (add'l)	07/10/13	K		
81.					Sold (part)	10/08/13	J	A	
82. First Trust Dow Jones Internet Index (FDN)	A	Dividend	K	T	Buy	08/16/13	K		
83. First Trust Materials AlphaDEX (FXZ)	A	Dividend	K	T	Buy	02/06/13	J		
84.					Buy (add'l)	07/10/13	J		
85.					Sold (part)	08/08/13	J		

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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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FINANCIAL DISCLOSURE REPORT

Page 9 of 12

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86. IQ Hedge Multi-Strategy Tracker ETF (QAI)	B	Dividend	M	T	Buy (add'l)	02/06/13	J		
87.					Sold (part)	03/13/13	K	B	
88.					Buy (add'l)	07/10/13	K		
89.					Sold (part)	10/08/13	J	A	
90. iShares US Aerospace & Defense (ITA)	A	Dividend	K	T	Buy	11/06/13	K		
91. iShares Core S&P Small-Cap (IJR)	A	Dividend	L	T	Buy	09/05/13	L		
92. iShares MSCI Canada (EWC)	A	Dividend	J	T	Buy	07/10/13	K		
93.					Sold (part)	10/08/13	J	A	
94. iShares MSCI EMU Index (EZY)	B	Dividend	K	T	Buy	02/06/13	K		
95.					Sold (part)	04/16/13	J	A	
96.					Buy (add'l)	10/08/13	K		
97. iShares MSCI Germany (EWG)	A	Dividend	J	T	Buy	02/06/13	J		
98.					Sold (part)	07/10/13	J	A	
99.					Buy (add'l)	10/08/13	J		
100. iShares Nasdaq Biotechnology (IBB)	A	Dividend	K	T	Buy	07/10/13	K		
101.					Sold (part)	10/08/13	J	A	
102. iShares North American Tech (IGM)	B	Dividend	M	T	Buy	01/24/13	M		

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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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FINANCIAL DISCLOSURE REPORT

Page 10 of 12

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103.					Sold (part)	02/06/13	J	A	
104.					Sold (part)	03/13/13	J	A	
105.					Buy (add'l)	07/10/13	K		
106.					Sold (part)	10/08/13	K	A	
107. PowerShares Dynamic Media (PBS)	A	Dividend	K	T	Buy	04/16/13	K		
108.					Sold (part)	07/10/13	J	A	
109. SPDR S&P Insurance ETF (KIE)	A	Dividend	K	T	Buy	04/16/13	K		
110.					Sold (part)	07/10/13	J	A	
111. Vanguard REIT Index ETF (VNQ)	B	Dividend	K	T	Buy	01/16/13	L		
112.					Sold (part)	07/10/13	J	A	
113.					Buy (add'l)	10/08/13	J		
114. Vanguard Telecom Services ETF (VOX)	A	Dividend	K	T	Buy	03/18/13	K		
115.					Buy (add'l)	07/10/13	J		
116.					Sold (part)	10/08/13	J	A	
117.									
118.									

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 ~\$250,000,001 - \$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	

FINANCIAL DISCLOSURE REPORT

Page 11 of 12

Name of Person Reporting

GWIN, JAMES S.

Date of Report

05/12/2014

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 [REDACTED]. 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 the IQ Hedge Multi-Strategy Tracker ETF (QAI) investment. This index fund investment was purchased in 2012 but I inadvertently overlooked listing this investment in my 2012 report.

FINANCIAL DISCLOSURE REPORT

Page 12 of 12

Name of Person Reporting

GWIN, JAMES S.

Date of Report

05/12/2014

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