

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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) Grimm, Paul W.	2. Court or Organization U.S. District Court, District of Maryland	3. Date of Report 04/30/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States District Judge (active status)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2017 to 12/31/2017
7. Chambers or Office Address Chambers 465A U.S. Courthouse 6500 Cherrywood Lane Greenbelt, MD 20770		
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. Instructor, part-time	Shemer Bar Review (lecturer)
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 11

Name of Person Reporting

Grimm, Paul W.

Date of Report

04/30/2018

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. 2017	Shemer Bar Review, lecturer	\$4,600.00
2. 2017	ABA-MD Discovery Problems Solutions, royalties	\$198.56
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. 2017	Dietician-Communicare
2.	
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. ALI	07/26-07/29	Santa Fe, NM	CLE Employment Law Conference	travel expenses
2. Rhode Island State Court	09/15	Providence, RI	Rhode Island State Judicial Conference	travel expenses
3. Vanderbilt University Law School	10/12-10/13	Nashville, TN	Vanderbilt Law Review Symposium	travel expenses
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 11

Name of Person Reporting

Grimm, Paul W.

Date of Report

04/30/2018

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.

FINANCIAL DISCLOSURE REPORT

Page 4 of 11

Name of Person Reporting

Grimm, Paul W.

Date of Report

04/30/2018

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. M&T Bank accounts	A	Interest	K	T	Redeemed (part)	06/26/17	K		
2. AXA Equitable TSA (Equi-Vest)		None	L	T					
3. Fidelity Government Cash Reserves Roth (formerly Cash Reserve)	A	Dividend	J	T					
4. Fidelity Government Cash Reserves Roth (formerly Cash Reserve)	A	Dividend	J	T					
5. T Rowe Price Government Money	A	Dividend	L	T					
6. IRA - MORGAN STANLEY (#1) (H);									
7. - Morgan Stanley Bank	A	Interest	J	T					
8. -iShares S&P 500 Growth ETF	A	Dividend	J	T	Sold (part)	11/08/17	J	B	
9.					Sold (part)	12/18/17	J	A	
10. -iShares S&P 500 Value ETF	A	Dividend	J	T	Sold (part)	11/08/17	J	A	
11.					Sold (part)	12/18/17	J	A	
12. -iShares S&P Mid-Cap 400 V ETF	A	Dividend	J	T	Sold (part)	11/08/17	J	A	
13.					Sold (part)	12/18/17	J	A	
14. -Oppenheimer Large Cap Revenue	A	Dividend	J	T	Sold (part)	11/08/17	J	A	
15. -Powershares S&P 500 Low Volatility ETF	A	Dividend	J	T	Sold (part)	11/08/17	J	A	
16.					Sold (part)	12/18/17	J	A	
17. -SPDR Bbg Barclays 1-3 Month-B	A	Dividend			Sold	11/06/17	L		

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 5 of 11

Name of Person Reporting

Grimm, Paul W.

Date of Report

04/30/2018

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. -Vanguard FTSE Developed Markets ETF	A	Dividend	J	T	Sold (part)	11/08/17	J	A	
19.					Sold (part)	12/18/17	J	A	
20. -American Century Emerging Markets I	A	Dividend	J	T	Sold (part)	11/08/17	J	C	
21.					Buy (add'l)	12/18/17	J		
22. -Baron Small Cap Institutional	A	Dividend	J	T	Sold (part)	11/08/17	J	A	
23.					Sold (part)	12/18/17	J	A	
24. -Cohen & Steers Real Assets I	A	Dividend			Sold	08/15/17	J	A	
25. -Goldman Sachs Strategic Income I	A	Dividend	J	T	Buy (add'l)	11/08/17	J		
26.					Buy (add'l)	12/18/17	J		
27. -Goldman Sachs Absolute Return Tracker	A	Dividend	J	T	Sold (part)	11/08/17	J	B	
28.					Buy (add'l)	12/18/17	J		
29. -Janus Henderson International Opportunity	A	Dividend	J	T	Sold (part)	11/08/17	J	A	
30.					Buy (add'l)	12/18/17	J		
31. -Neuberger Berman Core Bond Inst	A	Dividend	K	T	Buy (add'l)	11/08/17	K		
32.					Buy (add'l)	12/18/17	J		
33. -Prudential Jennison Mid Cap Growth Z	A	Dividend	J	T	Sold (part)	11/08/17	J	A	
34.					Sold (part)	12/18/17	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 = \$5,000,001 - \$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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 11

Name of Person Reporting

Grimm, Paul W.

Date of Report

04/30/2018

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)

35. -Prudential Absolute Return Bond Z	A	Dividend	J	T	Buy (add'l)	11/08/17	J		
36.					Buy (add'l)	12/18/17	J		
37. -Royce Opportunity Inv	A	Dividend	J	T	Sold (part)	11/08/17	J	B	
38.					Sold (part)	12/18/17	J	A	
39. -Touchstone Sands Capital Select Growth Y	B	Dividend	J	T	Sold (part)	11/08/17	J	A	
40.					Sold (part)	12/18/17	J	A	
41. -Wisdomtree Mgd Futures Strat		None	J	T	Buy	08/15/17	J		
42.					Sold (part)	11/08/17	J	A	
43. -Abbey Cptl Futures Strategy I		None	J	T	Buy	12/18/17	J		
44. -Lord Abbett Total Return		None	K	T	Buy	12/18/17	K		
45. IRA - MORGAN STANLEY (#2) (H):									
46. -iShares S&P Mid Cap 400 Index	A	Dividend			Sold (part)	08/16/17	J	A	
47.					Sold	08/23/17	J	A	
48. -SPDR S&P 500 ETF Trust	A	Dividend	K	T	Sold (part)	03/02/17	J	B	
49.					Buy (add'l)	09/07/17	J		
50.					Buy (add'l)	11/06/17	J		
51. -Schwab U.S. Large Cap Value	A	Dividend			Sold (part)	03/07/17	J	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	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 11

Name of Person Reporting

Grimm, Paul W.

Date of Report

04/30/2018

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)
52.					Sold	10/25/17	J	B	
53. -Schwab US Mid Cap ETF	A	Dividend	K	T	Sold (part)	03/29/17	J	A	
54.					Buy (add'l)	11/06/17	J		
55. -Vanguard Russell 1000 Value ETF	A	Dividend	L	T	Buy (add'l)	05/02/17	J		
56.					Buy (add'l)	11/06/17	K		
57. -Vanguard Index Funds S&P 500 ETF	A	Dividend	L	T	Buy (add'l)	11/06/17	K		
58. -Vanguard S&P Mid Cap 400 ETF	A	Dividend			Buy	04/26/17	J		
59.					Sold	08/09/17	J		
60. -S&P 500 Index	A	Dividend			Buy	04/27/17	J		
61.					Sold	08/24/17	J	A	
62. -SPDR S&P Mid Cap 400 ETF Trust	A	Dividend	K	T	Buy (add'l)	09/06/17	J		
63.					Buy (add'l)	11/06/17	J		
64. -Vanguard Mid Cap ETF	A	Dividend	K	T	Buy	09/20/17	K		
65.					Buy (add'l)	11/06/17	K		
66. -Morgan Stanley Bank	A	Interest	K	T					
67. IRA - MORGAN STANLEY (#3) (H):									
68. -Morgan Stanley Bank	A	Interest	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 \$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 8 of 11

Name of Person Reporting

Grimm, Paul W.

Date of Report

04/30/2018

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)
69. -Eaton Vance Tax Mg By-WR	B	Dividend	J	T					
70. -iShares Cohen & Steers REIT ETF	A	Dividend	J	T					
71. -iShares iBoxx Invest Grade Corp Bond	A	Dividend	J	T					
72. -Powershares S&P 500 High Dividend	A	Dividend	J	T					
73. -SPDR Barclays Convertible	A	Dividend	J	T					
74. -SPDR S&P Dividend	A	Dividend	J	T					
75. -Voya Global Advantage	B	Dividend	K	T					
76. -AB High Income Adv	A	Dividend	J	T					
77. -Goldman Sachs Strategic Income	A	Dividend	J	T					
78. -Janus Henderson Global Income	A	Dividend	K	T					
79. -Principal Preferred Sec Inst.	A	Dividend	J	T					
80. -Prudential Absolute Return Bond Z	A	Dividend	J	T					
81. IRA - MORGAN STANLEY (#4) (H):									
82. -Synchrony Bank 1.5% CD		None	J	T	Buy	11/07/17	J		
83. -Bank of China NY City 1.05% CD		None	J	T	Buy	11/07/17	J		
84. -Wells Fargo Sioux Falls 1.00% CD	A	Interest	J	T	Buy	11/07/17	J		
85. -Ally Bank Midvale 1.35% CD	A	Interest	J	T	Buy	11/07/17	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 \$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 9 of 11

Name of Person Reporting

Grimm, Paul W.

Date of Report

04/30/2018

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)

86. -MS Bank 1.90% CD		None	J	T	Buy	11/07/17	J		
87. -Capital One 1.25% CD		None	J	T	Buy	11/07/17	J		
88. -Goldman Sachs 5.5% CD	A	Interest	J	T	Buy	11/07/17	J		
89. Exelon Corporation stock (X)	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	

FINANCIAL DISCLOSURE REPORT

Page 10 of 11

Name of Person Reporting

Grimm, Paul W.

Date of Report

04/30/2018

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

Part VII, lines 3 & 4: Fidelity Cash Reserve: name change to Fidelity Government Cash Reserve.

Part VII, line 20: American Century Emerging Markets Inv: name change to American Century Emerging Markets I.

Part VII, line 29: Henderson International Opportunity: name change to Janus Henderson International Opportunity.

Part VII, line 78: Henderson Global Income: name change to Janus Henderson Global Income.

Part VII, line 89: Exelon Corporation stock: Value was below threshold in 2016, exceeded minimum threshold in current year.

FINANCIAL DISCLOSURE REPORT

Page 11 of 11

Name of Person Reporting

Grimm, Paul W.

Date of Report

04/30/2018

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/ Paul W. Grimm

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