

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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) GAUVEY, SUSAN K.	2. Court or Organization U.S.D.C. MARYLAND	3. Date of Report 5/8/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Magistrate Judge (FT)	5a. Report Type (check appropriate type) ☐ Nomination, ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2011 to 12/31/2011
7. Chambers or Office Address 8-D U.S. Courthouse 101 West Lombard Street Baltimore, MD 21201	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the <i>NONE</i> box for each part where you have no reportable information. Sign on last page.		

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. Director	Marian House, Inc. non-profit
2. Director	Free State Legal Project, Inc. non-profit
3. Director	The Tuerk House Inc. non-profit
4. Director	Enoch Pratt Free Library, non-profit
5. Director	Historical Society for the United States District Court for the District of Maryland, non-profit

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.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 2011	Maryland State Retirement Pension	\$3,315.00
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.)*

DATE	SOURCE AND TYPE
1. 2011	Johns Hopkins University: academic physician
2. 2011	Johns Hopkins University Press, Baltimore, MD: royalties for writing
3. 2011	Pennsylvania State University: teaching
4. 2011	Harvard University: teaching
5. 2011	Wolters Kluwer Health, Inc.: royalties for writing
6.	

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.				

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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.	Members of Board of Directors of Marian House	VISA gift card for travel in recognition of long term service as chair of board	\$1,000.00
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.			

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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. Capital Realty, Inc. (real estate ltd. partnership)	A	Interest	J	T					
2. Johns Hopkins Fed. Credit Union interest bearing accounts	A	Interest	K	T					
3. Pepsico, Inc. common stock	A	Dividend	J	T	Sold (part)	03/16/11	J	A	
4. Proctor & Gamble common stock	A	Dividend	M	T					
5. Proctor & Gamble common stock	D	Dividend	N	T					
6. Templeton Growth Fund, Inc.	A	Dividend	J	T					
7. AIM Constellation Fund	A	Dividend			Sold	03/17/11	J	A	
8. Jennison Utility Fund Cl. A	A	Dividend			Sold	03/17/11	K		
9. Templeton World Fund	A	Dividend			Sold	03/17/11	K		
10. T Rowe Price Prime Reserve Fund(403)(B) Plan	A	Dividend			Sold	03/16/11	L	D	
11. AIM Constellation Fund	A	Dividend			Sold	03/21/11	J	A	
12. Jennison Utility Fund Cl. A	A	Dividend			Sold	03/21/11	K		
13. Templeton World Fund	A	Dividend			Sold	03/21/11	K		
14. Legg Mason Value Trust(403)(B)Plan	C	Dividend			Sold	04/13/11	O		
15. Smuckers JM Co.	A	Dividend	J	T	Sold (part)	03/06/11	J	A	
16. Pepco Holdings, Inc.	A	Dividend	J	T					
17. Schwab S&P 500 Sel		None			Sold	03/17/11	M	C	

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		

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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 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. Columbia Marsico Growth Z		None			Sold	03/17/11	K	A	
19. American Funds EuroPacific Gr A		None			Sold	03/17/11	J		
20. Templeton Developing Markets A		None			Sold	03/17/11	J		
21. BlackRock Life Path 2020		None			Sold	03/17/11	M	B	
22. Schwab Stable Value		None			Sold	03/17/11	J	A	
23. Prudential Stable Value Guaranteed Long Term Acct 403(b)		None			Sold	03/14/11	N	E	
24. Prudential Stable Value Guaranteed Income Fund NQ Def Comp		None	K	T					
25. Fidelity Equity Income Fund 403(b) plan	C	Int./Div.	L	T					
26. Spartan US Equity Index Fund 403(b) plan	C	Int./Div.	L	T					
27. Fidelity Cash Reserve 403(b) plan	A	Int./Div.	K	T					
28. Fidelity US Government Reserve 403(b) plan	A	Int./Div.	K	T					
29. TIAA Traditional Acct 403(b)	D	Interest	M	T					
30. Citibank NA Bank Deposit Program	A	Interest			Closed	03/15/11	J		
31. MTB Money Market Fund C1 A	A	Dividend			Closed	03/15/11	J		
32. USAA Subscribers Savings Account		None	J	T					
33. PNC Savings Accounts	A	Interest	K	T					
34. American Express Bank Savings Account	A	Interest	K	T	Open	03/14/11	K		

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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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. PNC Financial Services Group (X)	A	Dividend	J	T	Sold (part)	03/16/11	J	A	
36. American Funds American Mutual Fund CI F-1	A	Dividend	K	T	Buy	03/21/11	J		
37.					Buy	04/13/11	J		
38. American Funds Bond Fund of America CI F-1	A	Dividend	K	T	Buy	03/21/11	K		
39.					Buy	04/13/11	J		
40.					Sold (part)	08/29/11	J		
41.					Sold (part)	11/23/11	J		
42. American Funds Capital World Growth & Income Fund CI F1	A	Dividend	K	T	Buy	03/21/11	L		
43.					Buy	04/13/11	J		
44.					Buy	11/23/11	J		
45. American Funds Growth Fund of America Fund CI F1	A	Dividend	K	T	Buy	03/17/11	K		
46.					Buy	03/21/11	K		
47.					Buy	04/13/11	K		
48. Columbia Acorn Fund CI Z	A	Dividend	K	T	Buy	03/21/11	K		
49.					Buy	04/13/11	K		
50. Columbia Dividend Income Fund CI Z	A	Dividend	K	T	Buy	03/21/11	K		
51.					Buy	04/13/11	K		

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52. Franklin Templeton Hard Currency Fund Cl A	C	Dividend	K	T	Buy	03/21/11	K		
53. Oppenheimer Developing Markets Fund Cl A	A	Dividend	K	T	Buy	03/21/11	K		
54.					Buy	04/13/11	J		
55. Oppenheimer Global Fund Cl A	A	Dividend	K	T	Buy	03/21/11	K		
56.					Buy	04/13/11	J		
57. Pimco Foreign Bond (Unhedged) Fund Cl D	A	Dividend	K	T	Buy	03/21/11	K		
58.					Buy	04/13/11	J		
59. Pimco Total Return Fund Cl D	A	Dividend	K	T	Buy	03/21/11	K		
60.					Buy	04/13/11	J		
61. Prudential Jennison Natural Resources A		None	K	T	Buy	03/21/11	K		
62.					Buy	04/13/11	J		
63.					Buy	08/29/11	J		
64. First TN Ntwk (Bank Sweep)	A	Interest	K	T	Open	03/15/11	J		
65. Wells Fargo (Bank Sweep)	A	Interest	J	T	Open	03/15/11	J		
66. Bank of China (Bank Sweep)	A	Interest	J	T	Open	03/15/11	J		
67.									

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

Part VII:

Invesco AIM Constellation Fund - erroneously reported and deleted. Same asset as #7 +11 and sold.

American Funds American Mutual Fund C1 F-1- erroneously reported and deleted.

American Funds Bond Fund of America Fund C1 F-1 - erroneously reported and deleted.

American Funds Capital World Growth & Income Fund C1 F-1- erroneously reported and deleted.

Columbia Acorn Fund C1 Z- erroneously reported and deleted.

ColumbiaDividened Income Fund C1 Z - erroneously reported and deleted.

Franklin Templeton Hard Currency Fund C1 A - erroneously reported and deleted.

Invesco Constellation Fund C1 A- erroneously reported and deleted. Same asset as #7

Invesco Constellation Fund C1 A- erroneously reported and deleted. Same asset as #11

Oppenheimer Developing Markets Fund C1 A - erroneously reported and deleted.

Oppenheimer Global Fund C1 A - erroneously reported and deleted.

Pimco Foreign Bond (Unhedged) Fund C1 D- erroneously reported and deleted.

Pimco Total Return Fund C1 D - erroneously reported and deleted.

Prudential Jennison Natural Resources A - erroneously reported and deleted.

Prudential Jennison Utility Fund C1 A - erroneously reported and deleted. Same asset as # 8.

Prudential Jennison Utility Fund C1 A - erroneously reported and deleted. Same asset as #12.

Templeton World Fund C1 A - erroneously reported and deleted. Same asset as #9.

Templeton World fund C1 A - erroneously reported and deleted. Same asset as #13.

Legg Mason Capital Management Value Trust, Inc. C - erroneously reported and deleted. Same asset as #14.

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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/ SUSAN K. GAUVEY**

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY 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