

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) Helmick, Jeffrey J.	2. Court or Organization U.S. District Court, OH-N	3. Date of Report 12/18/2018
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 01/01/2017 to 12/31/2017
7. Chambers or Office Address 1716 Spielbusch Avenue, Suite 210 Toledo, OH 43604		
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, Board of Trustees	
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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE AND TYPE

1. _____

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.)*SOURCEDATESLOCATIONPURPOSEITEMS 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.			
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.	American Express Gold (previously known as American Express)	Credit Card	K
2.		Tuition	K
3.	Discover	Credit Card	K
4.	American Express Delta (X)	Credit Card	K
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. Trust #1 (H)									
2. -Apple Inc. Stock	A	Dividend	K	T					
3.		Int./Div.			Sold (part)	2/21/17	J	D	
4. -Colgate Palmolive Co. Stock	A	Dividend			Sold	04/04/17	J	D	
5. -Cullen High Dividend Equity Fund	A	Dividend			Sold	02/21/17	K	B	
6. -Dodge & Cox Int'l Stock Fund	A	Int./Div.	K	T					
7. -Doubleline Total Return Bond Fd *NEW*	A	Interest	J	T					
8. -Google, Inc. Stock Class A (Alphabet Inc)		None	K	T					
9. -Intel Corp.	A	Dividend	K	T					
10. -iShares Core MSCI EAFE ETF	B	Int./Div.	L	T					
11. -iShares Core S&P SMALL-CAP ETF	A	Int./Div.	K	T					
12. -iShares Core S&P MID-CAP ETF	A	Int./Div.	K	T					
13. -iShares Core S&P 500 ETF	A	Int./Div.	K	T					
14. -JP Morgan US Equity Fund	A	Int./Div.	L	T					
15. -Neuberger Berman Emerg Mkts Eqty	A	Int./Div.	J	T					
16. -Riverpark/Wedgewood Fund	A	Dividend			Sold	02/21/17	J	A	
17. -Vanguard Emerging Markets Fund	A	Int./Div.	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	

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18. -Western Asset Core Plus Bond	A	Interest							
19. -KT Short Term Tax-Free Fund	A	Dividend	N	T					
20.	A	Int./Div.			Sold (part)	1/24/17	J		
21.					Sold (part)	07/05/17	K	A	
22. -KT Short Term Deposit/Investment Fund	A	Dividend	J	T					
23. -American Beacon Bridgeway (X)	A	Int./Div.	L	T	Buy	02/21/17	L		
24. IRA #1 (H)									
25. -Merrill Lynch Cash/Money Account aka Bank of America NA RASP	A	Int./Div.	J	T					
26. -Alcatel Lucent Stock	A	Int./Div.			Sold	06/06/17	J		
27. -Time Inc. Stock	A	Dividend	J	T					
28. -Time Warner Inc. Stock	A	Dividend	J	T					
29. -Charter Communications Inc (formerly Time Warner Cable Inc. Stock)	A	Dividend	J	T					
30. Deferred Compensation #1 (H)									
31. -Ohio DC Intermediate Bond	A	Int./Div.	J	T					
32. -Ohio DC Stable Value Option	A	Int./Div.	K	T					
33. -Dodge & Cox Stock Fund	B	Dividend	K	T					
34. -Fidelity Contrafund CP (Formerly Fidelity Contrafund)	A	Dividend	L	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 \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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35. -FPA Capital Stock Fund	A	Dividend			Sold	6/2/17	J	A	
36. -Vanguard Capital Opportunity Stock Fund	A	Dividend	K	T					
37. MetLife Whole Life (H)	A	Int./Div.	K	T					
38. Morgan Stanley (H)									
39. -3M Company Stock	A	Dividend	J	T					
40. -Adient Plc Com Stock (distribution from JCI)	A	Distribution			Sold	08/29/17	J	A	
41. -Advansix Inc Stock (distribution from Honeywell)	A	Distribution			Sold	08/29/17	J	A	
42. -Amazon Com Inc Stock	A	Dividend	K	T					
43. -American Water Works Co Stock	A	Dividend	J	T					
44. -AMG Mngrs Fairpointe MDCP	A	Int./Div.			Sold	08/29/17	J	A	
45. -AT&T Inc Stock	A	Dividend	J	T					
46. -Bank of Hawaii Corp Stock	A	Dividend	J	T					
47. -Chevron Corp	A	Dividend			Sold	08/29/17	J		
48. -Cincinnati Financial Ohio Stock	A	Dividend	J	T					
49. -Cisco Sys Inc Stock	A	Dividend			Sold	08/29/17	J	C	
50. -CME Group Inc Stock	A	Dividend	J	T					
51. -Comcast Corp (New) Class A Stock	A	Dividend	K	T					

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52. -ConocoPhillips Stock	A	Dividend			Sold	08/28/17	J		
53. -Dow Chemical Co Stock	A	Dividend			Sold	08/29/17	J	A	
54. -Fremont Ohio City Sch Dist Sch Facs Cnstr & Impt Ser-b	B	Int./Div.			Sold	08/18/17	K	B	
55. -General Electric Co Stock	A	Dividend			Sold	08/29/17	J		
56. -GlaxoSmithKline PLC ADS Stock	A	Dividend			Sold	08/29/17	J		
57. -Harbor Intl Inst	A	Int./Div.	J	T	Sold (part)	08/29/17	J	A	
58. -Hilliard Ohio Sch Dist Sch Impt Ser-a (X)	B	Int./Div.			Sold	08/18/17	K	B	
59. -Honeywell Intl Inc Stock	A	Dividend	J	T					
60. -Huber Heights Ohio City Sch Dist	B	Int./Div.			Sold	08/18/17	K	B	
61. -Intel Corp Stock	A	Dividend	K	T					
62. -iShares Core MSCI EAFE ETF	C	Int./Div.	M	T					
63. -iShares Russell MID-CAP ETF	A	Int./Div.	L	T					
64. -Johnson Controls Intl Stock	A	Dividend			Sold	08/29/17	J		
65. -JPMorgan Chase & Co Stock	A	Dividend	K	T					
66. -Kraft Heinz Co Stock	A	Dividend	K	T					
67. -Lorain Cnty Ohio Swr Ss Impt Genl Oblig	A	Int./Div.			Sold	08/18/17	K	A	
68. -Lyondellbasell NV Stock	A	Dividend			Sold	08/29/17	J	A	

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69. -McDonalds Corp Stock	A	Dividend	J	T					
70. -Medtronic PLC SHS Stock	A	Dividend			Sold	08/29/17	J	A	
71. -MetLife Inc Stock	A	Dividend	J	T					
72. -Miamisburg Ohio Genl Oblig Ref	B	Int./Div.			Sold	08/18/17	K	A	
73. -Microsoft Corp Stock	A	Dividend	K	T					
74. -Muskingum Cnty Ohio Cnty Facs Ref	A	Int./Div.			Sold	08/18/17	K	A	
75. -Neuberger Berman Em/Mk Eq Inst	A	Int./Div.			Sold	08/29/17	J	B	
76. -New York Community Bancorp Inc Stock	A	Dividend			Sold	08/29/17	J		
77. -Ohio St	B	Int./Div.			Sold	08/18/17	K	B	
78. -Ohio St Bldg Auth Facs Juvenile Correctional Rev Ref-b	B	Int./Div.			Sold	08/18/17	K	B	
79. -Ohio St Bldg Auth Facs Adult Corr Bldg Fd Projs Rev-a	B	Int./Div.			Sold	08/18/17	J	A	
80. -Ohio St Mental Health Cap Facs	A	Int./Div.			Sold	08/18/17	K	A	
81. -Ohio St Univ Gen Rcpts-a	A	Int./Div.			Sold	08/18/17	K	A	
82. -Oracle Corp Stock	A	Dividend	J	T					
83. -Pepsico Inc NC Stock	A	Dividend	J	T					
84. -Pfizer Inc Stock	A	Dividend	J	T					
85. -Phillip Morris Intl Inc Stock	A	Dividend	J	T					

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86. -PNC Finl Svcs GP Stock	A	Dividend	J	T					
87. -Republic Services Inc Stock	A	Dividend	J	T					
88. -Rockwell Automation Inc Stock	A	Dividend	J	T					
89. -Royce Premier Inv	A	Dividend			Sold	08/29/17	J		
90. -S & P 500 Index Fund	A	Int./Div.	K	T	Buy	08/29/17	K		
91. -Sherwin Williams Co Ohio Stock	A	Dividend	J	T					
92. -Strongsville Ohio Ltd Genl Oblig	A	Int./Div.			Sold	08/18/17	K	B	
93. -Target Corp Stock	A	Dividend			Sold	08/29/17	J		
94. -United Technologies Corp Stock	A	Dividend	J	T					
95. -Verizon Communications Stock	A	Dividend	K	T					
96. -Wells Fargo & Co NEW Stock	A	Dividend	J	T					
97. -Welltower Inc Stock	A	Dividend	J	T					
98. -Western Reserve Ohio Loc Sch Dist Mahoni	B	Int./Div.			Sold	08/29/17	K	A	
99. -Biogen Inc (X)	A	Int./Div.	J	T	Buy	08/29/17	J		
100. -Boeing Co (X)	A	Int./Div.	J	T	Buy	08/29/17	J		
101. -Merck & Co Inc (X)	A	Dividend	J	T	Buy	08/29/17	J		
102. -Qualcomm Inc (X)		None	J	T					

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103. -Eaton Vance Tax Mgd Div Equ FD (X)	A	Dividend	J	T	Buy	08/29/17	J		
104. -First TR Morningstar Div (X)	A	Dividend	J	T	Buy	08/29/17	J		
105. -iShares iBoxx (X)	A	Dividend	J	T	Buy	08/29/17	J		
106. -iShares iBoxx Invest (X)	A	Dividend	J	T	Buy	08/29/17	J		
107. -iShares Russell MID-CAP G ETF (X)	A	Dividend	K	T	Buy	08/29/17	J		
108. -iShares Russell MID-CAP V ETF (X)	A	Dividend	K	T	Buy	08/29/17	J		
109. -Powershares Variable Rate PR (X)	A	Dividend	K	T	Buy	08/29/17	K		
110. -Brighthouse Finl Inc (X)	A	Dividend			Sold	08/29/17	J	A	
111. -Pioneer Strategic Income Y (X)	A	Int./Div.	J	T	Buy	08/29/17	J		
112. -Vanguard Reit Etf (X)	A	Dividend	J	T	Buy	08/29/17	J		
113. -Pimco Foreign Bd US \$ Hedged (X)	A	Dividend	J	T	Buy	08/29/17	J		
114. -Apple Inc (X)	A	Int./Div.	J	T	Buy	08/29/17	J		
115. -Alphabet Inc (X)	A	Int./Div.	J	T	Buy	08/29/17	J		
116. -American Express (X)	A	Int./Div.	J	T	Buy	08/29/17	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 \$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

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Name of Person Reporting

Helmick, Jeffrey J.

Date of Report

12/18/2018

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

Regarding "Trust #1", the first listing in Part VII, my wife is the sole beneficiary of the trust.

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Helmick, Jeffrey J.

Date of Report

12/18/2018

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/ Jeffrey J. Helmick**

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