

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) Newman, Michael J.	2. Court or Organization United States District Court, Southern District of Ohio	3. Date of Report 08/21/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge - Full Time	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 200 West Second Street, Room 505 Dayton, Ohio 45402		
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. Board of Directors	Cincinnati Public Radio, Inc.
2. Board of Directors & President	Federal Bar Association
3. Board of Directors	Federal Bar Association, Dayton Chapter
4. Board of Directors	Law and Leadership Institute
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 8

Name of Person Reporting

Newman, Michael J.

Date of Report

08/21/2017

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.	
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.)*

	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.	Federal Bar Association Board Meeting	January 20, 2016-January 23, 2016	Miami, FL	Federal Bar Association - Board Meeting	Transportation, meals, hotel
2.	United States Treasury-Employment Seminar-Judicial Center	March 9, 2016-March 11, 2016	New York	Employment Seminar	Transportation, meals, hotel
3.	Federal Bar Association-President's Training	March 16, 2016-March 18, 2016	Chicago, IL	Federal Bar Association-Women in the Law	Transportation, meals, hotel
4.	Federal Bar Association-Site visit for Annual Meeting	March 21, 2016	Cleveland, OH	Federal Bar Association - Board Meeting	Transportation, meals, hotel
5.	Federal Bar Association-Mid year meeting	March 30, 2016-April 3, 2016	Washington, DC	Federal Bar Association-National	Transportation, meals, hotel

FINANCIAL DISCLOSURE REPORT

Page 3 of 8

Name of Person Reporting

Newman, Michael J.

Date of Report

08/21/2017

6.	Judicial Conference Committee	May 11, 2016-May 12, 2016	Washington, DC	Federal Bar Association	Transportation, meals, hotel
7.	Federal Bar Association-Leadership Training	May 17, 2016-May 22, 2016	Washington, DC	Federal Bar Association	Transportation, meals, hotel
8.	Federal Bar Association-Board of Directors Meeting	June 16, 2016-June 17, 2016	Baltimore, MD	Federal Bar Association	Transportation, meals, hotel
9.	Federal Bar Association Annual Meeting	September 13, 2016-September 18, 2016	Cleveland, OH	Federal Bar Association	Transportation, meals, hotel
10.	Federal Bar Association-Civics -Sigel School	October 7, 2016	St. Louis, MO	Federal Bar Association	Transportation, meals, hotel
11.	Federal Bar Association-Tri State Conference	October 13, 2016-October 16, 2016	Sun Valley, ID	Federal Bar Association	Transportation, meals, hotel
12.	Federal Bar Association-	December 6, 2016-December 10, 2016	Honolulu, HI	Federal Bar Association	Transportation, meals, hotel

FINANCIAL DISCLOSURE REPORT

Page 4 of 8

Name of Person Reporting

Newman, Michael J.

Date of Report

08/21/2017

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.	Wells Fargo Bank	Primary Mortgage; Rental property #1; Beach Haven N.J. (See Part VII Line 29)	O
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 5 of 8

Name of Person Reporting

Newman, Michael J.

Date of Report

08/21/2017

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. Brokerage Account #1									
2. ishares S&P 500 Value ETF	A	Dividend	J	T	Buy	01/05/16	J		
3. Gabelli Asset Fund	A	Dividend	J	T					
4. iShares Trust MSCI EAFE Index	A	Dividend	J	T					
5. SPDR S&P 500 ETF Trust	A	Dividend	J	T					
6. Vanguard Total stock Market ETF	A	Dividend	J	T					
7. Private Bank Deposit Account	A	Interest	J	T					
8. Vanguard FTSE All World Ex-USETS	A	Dividend	J	T	Buy	08/16/16	J		
9. SPDR Euro Stoxx 50	A	Dividend	J	T					
10. ishares Russell 1000 Growth etf	A	Dividend	J	T					
11. Brokerage Account #2									
12. ishares S&P 500 Value ETF	A	Dividend	J	T	Buy	01/05/16	J		
13. Gabelli Asset Fund	A	Dividend	J	T					
14. iShares Trust MSCI EAFE Index	A	Dividend	J	T					
15. SPDR S&P 500 ETF Trust	A	Dividend	J	T					
16. Vanguard Total stock Market ETF	A	Dividend	J	T					
17. Private Bank Deposit Account	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 \$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 8

Name of Person Reporting

Newman, Michael J.

Date of Report

08/21/2017

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 All World Ex-USETS	A	Dividend	J	T	Buy	08/16/16	J		
19. SPDR Euro Stoxx 50	A	Dividend	J	T					
20. Brokerage Account #3									
21. ishares S&P 500 value etf	A	Dividend	J	T	Buy	01/05/16	J		
22. Gabelli Asset Fund	A	Dividend	J	T					
23. iShares Trust MSCI EAFE Index	A	Dividend	J	T					
24. SPDR S&P 500 ETF Trust	A	Dividend	J	T					
25. Vanguard Total stock Market ETF	A	Dividend	J	T					
26. Private Bank Deposit Account	A	Interest	J	T					
27. Vanguard FTSE All World Ex-USETS	A	Dividend	J	T	Buy	08/16/16	J		
28. SPDR Euro Stoxx 50	A	Dividend	J	T					
29. Rental property #1 Beach Haven, New Jersey	F	Rent	P1	W					
30. 1/2 interest in family farm Laura, Ohio					Sold	01/31/14	O	G	
31.									
32.									
33.									

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 7 of 8

Name of Person Reporting

Newman, Michael J.

Date of Report

08/21/2017

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

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

Newman, Michael J.

Date of Report

08/21/2017

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/ Michael J. Newman**

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