

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) Schwab, Arthur J.	2. Court or Organization Western District of Pennsylvania	3. Date of Report 06/13/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) District Judge - Senior	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 U.S. Courthouse 700 Grant Street, Suite 7280 Pittsburgh, PA 15219		
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. Secretary and member of the Board of Trustees (non-compensated)	Grove City College
2. Faculty member (non-compensated)	University of Virginia School of Law - Trial Advocacy Program
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. 07/11/91	Single life annuity through a life insurance company through prior employer, Reed Smith LLP, beginning monthly on 01/01/2012.
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.

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. University of Virginia School
of Law

01/06/17 to 01/10/17

Charlottesville, VA

Faculty

hotel, mileage, meals (36th Annual
National Trial Advocacy College)

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.)*

SOURCE	DESCRIPTION	VALUE
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.)*

CREDITOR	DESCRIPTION	VALUE CODE
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. ROLLOVER IRA NO. 1:	E	Int/Div.	O	T					
2. -Fidelity 500 Index Fund	B	Int/Div.			Sold	08/09/17	M	E	
3. -Fidelity ContraFund	C	Int/Div.			Sold	08/09/17	M	E	
4. -Fidelity Small Cap Index Fund	A	Int/Div.			Sold	08/09/17	L	D	
5. -Fidelity Mid Cap Index Fund	A	Int/Div.			Sold	08/09/17	L	D	
6. -Morgan Stanley Bond	B	Int/Div.	K	T					
7. -Potash Corp Bond	A	Int/Div.	J	T					
8. -Bank Amer Corp Bond	A	Int/Div.	J	T					
9. -Lincoln Natl Corp Bond	A	Int/Div.	J	T					
10. -Halliburton Co Bond	A	Int/Div.			Sold	03/15/17	J	A	
11. -AT&T Bond	A	Int/Div.	J	T					
12. -Lincoln Natl Corp Bonds	B	Int/Div.	K	T					
13. -Cigna Corp Bond	B	Int/Div.	K	T					
14. -Carnival Corp Bond	A	Int/Div.	K	T					
15. -CSX Corp Bond	A	Int/Div.	K	T					
16. -Dominion Gas Cond	A	Int/Div.	K	T					
17. -Tyco Electronics Bond	B	Int/Div.	K	T					

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	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
(See Column C2)	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
	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 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. -American Intl Group Bond	A	Int./Div.	K	T					
19. -AT&T Inc Bond	A	Int./Div.	K	T					
20. -Nordstrom Inc Bond	A	Int./Div.	K	T					
21. -Kerncity Bond	A	Int./Div.	K	T					
22. -Goldman Sach Bond	B	Int./Div.	K	T	Buy	03/15/17	K		
23. -Abbvie Inc Bond	A	Int./Div.	K	T	Buy	08/21/17	K		
24. -American Express Bond	A	Int./Div.	K	T	Buy	08/21/17	K		
25. -Amgen Inc Bond	A	Int./Div.	K	T	Buy	08/21/17	K		
26. -Astrazeneca PLC Bond	A	Int./Div.	K	T	Buy	08/21/17	K		
27. -Biogen Inc Bond	A	Int./Div.	K	T	Buy	08/21/17	K		
28. -Cigna Corp Bond	A	Int./Div.	K	T	Buy	08/21/17	K		
29. -Deere John Corp Bond	A	Int./Div.	K	T	Buy	08/21/17	K		
30. -General Electric Bond	A	Int./Div.	K	T	Buy	08/21/17	K		
31. -JP Morgan Chase Bond	A	Int./Div.	K	T	Buy	08/21/17	K		
32. -Monsanto Co Bond	A	Int./Div.	K	T	Buy	08/21/17	K		
33. -National Rural Util Coop Bond	A	Int./Div.	K	T	Buy	08/21/17	K		
34. -Oncor Elec Delivery Co LLC Bond	A	Int./Div.	K	T	Buy	08/21/17	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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35. -Prudential Fin Inc Mtns Bond	A	Int./Div.	K	T	Buy	08/21/17	K		
36. -Ralston Purine Co. Bond	A	Int./Div.	K	T	Buy	08/21/17	K		
37. -Royal Bank Bond	A	Int./Div.	K	T	Buy	08/21/17	K		
38. -Santander UK PLC Bond	A	Int./Div.	K	T	Buy	08/21/17	K		
39. -Sumitomo Mitsui Finl Group Bond	A	Int./Div.	K	T	Buy	08/21/17	K		
40. -Toronto Dom Bank Bond	A	Int./Div.	K	T	Buy	08/21/17	K		
41. -Tyco Elec Group Bond	A	Int./Div.	K	T	Buy	08/21/17	K		
42. -Wells Fargo Bond	A	Int./Div.	K	T	Buy	08/21/17	K		
43. -Qualcomm Inc Bond	A	Int./Div.	K	T	Buy	11/29/17	K		
44. -Oakmark Intl Investor CL		None			Buy	06/06/17	K		
45. -Oakmark Intl Investor CL		None			Sold	08/09/17	K	B	
46. INVESTMENT ACCOUNT NO. 1	D	Int./Div.	M	T					
47. -Oneok Partners Bond	A	Int./Div.	J	T					
48. -Humana Inc Bond	A	Int./Div.	J	T					
49. -Cardinal Health Bond	A	Int./Div.	J	T					
50. -Xerox Corp Bond	A	Int./Div.	J	T					
51. -Potash Corp Bond	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 \$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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52. -EMC Corp Bond	A	Int./Div.	J	T					
53. -Prudential Fin Bond	A	Int./Div.	J	T					
54. -Stifel Fin Bond	A	Int./Div.	J	T					
55. -Amer Int'l Grp Bond	A	Int./Div.	J	T					
56. -Kinder Morgan Energy Bond	A	Int./Div.	J	T					
57. -Best Buy Bond	A	Int./Div.	J	T					
58. -Rio Tinto Finance Bond	A	Int./Div.	J	T					
59. -Carnival Corp Stock (CCL)	A	Int./Div.	J	T	Sold (part)	08/09/17	J	B	
60. -JP Morgan Chase Bond	A	Int./Div.	K	T	Buy	04/27/17	K		
61. -Abbvie Inc Bond	A	Int./Div.	K	T	Buy	04/27/17	K		
62. -Wells Fargo Bond	A	Int./Div.			Buy	04/26/17	L		
63. -Wells Fargo Bond	A	Int./Div.			Sold	11/28/17	L	A	

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

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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/ Arthur J. Schwab**

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