

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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) Holmes, Jerome A.	2. Court or Organization 10th Circuit	3. Date of Report 09/12/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Circuit Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2018 to 12/31/2018
7. Chambers or Office Address U.S. Courthouse 215 Dean A. McGee Ave., Rm. 315 Oklahoma City, OK 73102		
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. Director (Board of Directors)	Oklahoma Medical Research Foundation
2. Trustee (Board of Trustees) and Immediate Past Chair	Oklahoma City Museum of Art
3. Director & Chair (Board of Directors)	William J. Holloway, Jr. Scholarship Program, Inc.
4. Director (Board of Directors)	United Way of Central Oklahoma
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.)*

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. 2018

self-employed attorney

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.

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.	Robert Henry	Greenbag Bobblehead of Supreme Court Justice Thurgood Marshall	\$495.00
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.	Bank of America	Credit Card # 1	K
2.	Bank of America	Credit Card # 2	K
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. BancFirst (Trust #1) Cash Accounts #1	A	Interest	K	T					
2. Trust # 1 (H)									
3. - Universal Chemical Technologies common stock		None	J	W					
4.									
5. BancFirst Cash Account #2 (X)	A	Interest	J	T	Open	05/18/18	K		
6.									
7. Weokie Credit Union Cash Accounts (Y)									
8.									
9. SEP IRA (H)									
10. - SEI Large Cap Growth A (SELCX)	C	Dividend	K	T	Buy (add'l)	01/10/18	J		
11.									
12.									
13. - SEI Large Cap Value A (TRMVX)	C	Dividend	K	T	Buy (add'l)	01/10/18	J		
14.									
15.									
16. - SEI Small Cap Growth A (SSCGX)	A	Dividend	J	T					
17.									

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 = \$250,001 - \$500,000	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. -SEI Small Cap Value A (SESVX)	A	Dividend	J	T					
19.									
20. -Harbor International Investor (HIINX)	D	Dividend	K	T	Buy (add'l)	01/10/18	J		
21.									
22. -Russell Emerging Markets S (REMSX)	A	Dividend	J	T	Buy (add'l)	01/10/18	J		
23.									
24. -SEI Core Fixed Income A (TRLVX)	A	Dividend	J	T	Buy (add'l)	01/10/18	J		
25.									
26.									
27. -SEI High Yield Bond Fund (SHYAX)	A	Dividend	J	T					
28.									
29. -SEI Emerging Markets Debt Fund (SITEX)	A	Dividend	J	T					
30.									
31. -SEI International Fixed Income Fund (SEFIX)	A	Dividend	J	T					
32.									
33. -SEI Daily Income Trust Government Fund (SEOXX)	A	Dividend	K	T	Buy (add'l)	01/10/18	K		
34.					Sold (part)	01/11/18	K		

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	R = Cost (Real Estate Only)	P4 = More than \$50,000,000	S = Assessment	T = Cash Market
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	U = Book Value				

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35.					Sold (part)	01/18/18	J		
36.					Buy (add'l)	12/20/18	K		
37.									
38.									
39.									
40. Inherited real property Henderson, NC (Y)									
41.									
42.									
43.									

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

Part I, Line 2: Filer completed term as Board Chair, June 30, 2017, automatically became Immediate Past Chair, July 1, 2017, for a 2-year term.

Part I, Lines 3-4: Positions previously noted on 2017 disclosure form (i.e., Presidential Advisor for Rotary Club; and Member/Executive Committee, Fortune Club) ended in calendar year 2017. Now appearing on line 3 of this form is Director & Chair (Board of Directors), William J. Holloway, Jr. Scholarship Program, Inc., which appeared on line 5 of the 2017 disclosure form; and Director (Board of Directors), United Way of Central Oklahoma, a new position that Filer assumed in 2019, which now appears on line 4 of this form.

Part I, Line 3. Filer elected to the United Way of Central Oklahoma Board of Directors on February 21, 2019.

Part VII, Lines 1 & 3: With the exception of the noted stock and cash accounts, Trust #1 has no other reportable assets, including income-producing assets.

Part VII, Line 5: BancFirst Cash Account #2 is the designation used here for separate cash accounts—holding amounts that periodically are reportable (separately or in the aggregate)—that are (or were) possessed jointly by Filer's [REDACTED]. As noted on Filer's 2017 disclosure form, as of December 31, 2017, there were no reportable amounts in BancFirst Cash Account #2. On May 21, 2018, Filer's [REDACTED] ceased to be a signatory on a BancFirst cash account with [REDACTED] which account was previously reflected on this line; that account was not closed, however, and, at the time of the removal of Filer's [REDACTED] as a signatory, the account's balance was not a reportable amount. Filer's [REDACTED] opened a joint account with [REDACTED] on May 18, 2018, with a reportable amount, and the account's balance was reportable at the end of 2018; this transaction is noted in Section D on this line.

Part VII, Line 7: The aggregate total amount and interest earned with respect these cash accounts fell below reportable amounts at the end of the reporting period.

Part VII, Line 40: On July 23, 2018, Filer assigned (without receiving in return any reportable consideration) to his siblings any right, title, and interest that he might possess in any remaining assets of his deceased [REDACTED] estate, whether located in Henderson, NC, or elsewhere. At the time of this assignment, Filer was not aware of any specific value associated with any such assets. As noted on his 2017 disclosure form, Filer has not received any rents, royalties, or capital gains with respect to any remaining assets of his [REDACTED] estate and has no possessory interest in any such assets. Given this assignment, this item will not be reported in the future.

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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/ Jerome A. Holmes**

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