AO-10T
Rev. 01/2023

FINANCIAL DISCLOSURE
PERIODIC TRANSACTION REPORT

Report Required by the Ethics in Government Act of 1978 (5 U.S.C. app. §§ 101-111)

*1. First Name	*2. Middle Initial	*3. Last Name	4. Suffix
James	R.	Sweeney	II
*5. Title	*6. District/Court/Unit		*7. Circuit
Judge	INDIANA SOUTHERN		07
8. Report Type	9. Calendar Year	*10. Date Filed	11. Check box if amending prior report and enter date of prior submission.
Periodic Transaction Report	2023	03/07/2023	☒ 03/05/2023
*12. Date of First Transaction on this Report		*13. Date of Last Transaction on this Report	
01/17/2023		01/17/2023	

TRANSACTIONS

Any purchase, sale, or exchange that exceeds $1,000 in stocks, bonds, commodities futures, and other securities (Includes those of spouse and dependent children)

A. Description of Assets	B. Transaction Type	C. Date of Transaction	D. Date Notified of Transaction	E. Amount of Transaction
1. Lebanon IN Cmnty Sch Corp Porp B/E B/Q Bond	Redeemed	01/17/2023	03/05/2023	$15,001 - $50,000
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TRANSACTIONS *Any purchase, sale, or exchange that exceeds $1,000 in stocks, bonds, commodities futures, and other securities (Includes those of spouse and dependent children)*

First Name James	Middle Initial R.	Last Name Sweeney	Suffix II

A. Description of Assets	B. Transaction Type	C. Date of Transaction	D. Date Notified of Transaction	E. Amount of Transaction
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TRANSACTIONS *Any purchase, sale, or exchange that exceeds $1,000 in stocks, bonds, commodities futures, and other securities (Includes those of spouse and dependent children).*

First Name James	Middle Initial R.	Last Name Sweeney	Suffix II

	A. Description of Assets	B. Transaction Type	C. Date of Transaction	D. Date Notified of Transaction	E. Amount of Transaction
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TRANSACTIONS *Any purchase, sale, or exchange that exceeds $1,000 in stocks, bonds, commodities futures, and other securities (Includes those of spouse and dependent children).*

First Name James	Middle Initial R.	Last Name Sweeney	Suffix II

A. Description of Assets	B. Transaction Type	C. Date of Transaction	D. Date Notified of Transaction	E. Amount of Transaction
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First Name James	Middle Initial R.	Last name Sweeney	Suffix II

ADDITIONAL INFORMATION OR EXPLANATIONS

Apparently this bond was sold at maturity without notice to me despite my explicit instructions to the advisor group (on multiple occasions) not to buy or sell anything without first informing me. I have tried to check the account periodically due to them buying/selling some things without notice after I asked them. I tried to log on last month and could not even get into my account. The story then broke 3 days ago that the entire advisory group (KCP Group) separated from the parent group (Stifel) in what has been described as an "orchestrated raid" of the local Stifel office to form Sapient Capital LLC (see portions of article pasted below due to space limitations). Stifel is suing Sapient, I can only guess that is why I could not login on my own account (as they have locked out the KCP Group) (and my personal advisor at KCP retired this year anyway). So I had to register on the new Stifel login page today, which is where I found the confirmation of the sale and immediately filed this report. I do not even know who at Stifel is tending my account
Stifel sues rival financial firm over mass exodus from Indianapolis office
March 2, 2023 | Susan Orr: St. Louis-based Stifel, Nicolaus & Co. Inc is suing a newly formed Indianapolis firm, Sapient Capital LLC, following what Stifel describes as Sapient's "orchestrated raid" of Stifel's 96th Street office.Big money is at play: According to Stifel's legal complaint, the 96th Street office, which was also known as the KCP Group, had approximately $10 billion in client assets under management as of mid-February. That, Stifel says in its complaint, is when the office's managing directors—Jamie Knall, Thomas Pence and Jeffrey Cohen— along with Chief Operating Officer Andrew LeBlanc, abruptly quit, luring nearly all of the office's 30-plus employees to follow them to Sapient, a rival financial firm that Knall, Pence and Cohen had established several months ago. Since that time, Stifel alleges, Sapient has been falsely representing that the KCP Group is the new owner of Stifel's business; and has been attempting to transition Stifel's clients—and their $10 billion in assets—to the new firm. In a written statement to IBJ, Sapient characterized the situation differently, saying "The KCP Group ended its 17-year relationship with Stifel and relaunched as Sapient Capital, an independent Registered Investment Advisor." . . .Stifel's complaint [filed in MOED] accuses Sapient of false advertising, common law injurious falsehood, tortious interference with LeBlanc's employment contract, tortious interference with business relationships, unjust enrichment, breach of fiduciary duty . . . fraudulent misrepresentation/concealment and common law unfair competition . . . aski

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.

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)

**SIGNATURE:*

s/ James R. Sweeney II

Committee on Financial Disclosure
Administrative Office of the United States Courts
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Washington, D.C. 20544