

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) Lourie, Alan D.	2. Court or Organization U.S. Court of Appeals for the Federal Circuit	3. Date of Report 04/15/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Circuit Judge-Active	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 Howard T. Markey National Courts Building 717 Madison Place NW Washington, D.C. 20439		
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
2.		
3.		
4.		
5.		

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☐ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1. 4/6/90	GlaxoSmithKline Corp., successor to former employer, provides pension and retiree group health and life insurance
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. Jan-Dec	GlaxoSmithKline pension	\$88,273.00
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. Boston Patent Law Association	June 1-2, 2016	Boston, Mass.	Annual dinner for the judiciary	Reimbursement for airfare, hotel, and dinner for wife and me
2. Harvard Law School	October 26-27, 2016	Cambridge, Mass.	Participation in Intellectual Property Law conference	Reimbursement for airfare, hotel, and dinner
3. American Intellectual Property Law Assoc.	October 28, 2016	Washington, DC	Reception of award for excellence	Dinner, including for wife and children
4. Fed Circuit Bar Association	November 18, 2016	Washington, D.C.	Attendance at annual dinner	Dinner for wife and me.
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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE 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. Vanguard Tx Exempt Money Mkt Fund 1	A	Dividend	M	T	Sold (part)	01/26/16	M	A	
2. Vanguard Tax Exempt Money Mkt Fund 2	A	Dividend	M	T	Buy (add'l)	11/08/16	J		
3. Vanguard ST Inv Gr Bond Fund (IRA)	C	Dividend	M	T	Sold (part)	11/08/16	J		see VIII
4. Vanguard 500 Index Fund	E	Dividend	P1	T					
5. Vanguard Extended Mkt Index Fund	D	Dividend	O	T					
6. Vanguard Global Equity Fund	C	Dividend	M	T					
7. Vanguard Internat Explorer Fund	D	Dividend	M	T					
8. Vanguard European Fund	C	Dividend	M	T					
9. Vanguard ST Tax Exempt Fund 1	B	Dividend	L	T					
10. Vanguard ST Tax Exempt Fund 2	C	Dividend	N	T					
11. Vanguard Dividend Growth Fund	E	Dividend	O	T					
12. Vanguard Prime Cap Core Fund	D	Dividend	N	T					
13. Vanguard Limited Term Tax Exempt Fund 1	D	Dividend	N	T					
14. Vanguard Limited Term Tax Exempt Fund 2	E	Dividend	P1	T					
15. Vanguard IM Tax Exempt Fund	D	Dividend	O	T	Buy (add'l)	06/16/16	L		
16. Vanguard High Yield Corp Fund	C	Dividend	M	T	Buy (add'l)	01/26/16	M		
17. PNC Bank checking account	A	Interest	L	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 = \$250,000.001 - \$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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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 I (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. T Rowe Price Short Term Bond Fund (IRA)	D	Dividend	N	T	Sold (part)	11/07/16	L		see VIII
19. T Rowe Price High Yield Fund (IRA)	E	Dividend	N	T					
20. T Rowe Price New Horizons Fund (IRA)		None			Sold	07/18/16	N		see VIII
21. T Rowe Price Tax Free Short-IM Fund	E	Dividend			Buy (add'l)	11/07/16	L		
22. T Rowe Price Tax Free Short-IM Fund	E	Dividend			Sold	12/16/16	P1	A	
23. T Rowe Price GNMA Fund (IRA)	D	Dividend	N	T					
24. Sequoia Fund		None			Sold	05/31/16	L	E	
25. T Rowe Price Tax Free High Yield Fund (IRA)	A	Dividend	M	T	Buy	12/16/16	M		
26. T Rowe Price Tax Free Money Market Fund	A	Dividend	O	T	Buy	12/16/16	O		
27. T Rowe Price Corporate Income Fund (IRA)	C	Dividend	N	T	Buy	07/18/16	N		

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

Items 3, 18, and 20 in Part VII, as before, do not provide gains in D4 because they were withdrawals from IRAs so there was no recognized or calculable gain.

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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/ Alan D. Lourie

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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