

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) Randolph, Arthur R.	2. Court or Organization U.S. Court of Appeals/D.C. Cir	3. Date of Report 08/08/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Judge - senior status	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 U.S. Court of Appeals/D.C. Cir 333 Constitution Avenue, N.W. Washington, D.C. 20001-2866		
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.	
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2016	Pillsbury, Winthrop, Shaw, Pittman
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. The Federalist Society	2/26/16 - 2/27/16	Charlottesville, VA	University of Virginia School of Law 35th Annual National Student Symposium	transportation, food
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.)*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. Money Market at Smith Barney	A	Interest	L	T					
2. 401(K) - World Bond Fund - American Funds	A	Dividend	K	T					
3. 401(K) - Pimco High Income	A	Dividend	J	T					
4. 401(K) - Dur. Inc. Fund - Eaton Vance	C	Dividend	K	T					
5. 401(K) - Pimco Real Ret.	A	Dividend	K	T					
6. Pillsbury Retirement Savings Plan - Fidelity PYR INX LFC 2015U	E	Dividend	O	T					
7. ML & Co. Str. ACC - Am Cap. Growth	A	Dividend	K	T					
8. Blackrock Gov't & Cap.	A	Dividend	J	T					
9. Citibank - Savings	C	Interest	K	T					
10. 401(K) - U.S. Gov't - American	A	Dividend	J	T					
11. 401(K) - Eaton Vance - Floating	A	Dividend	J	T					
12. 401(K) Fidelity - Floating	A	Dividend	K	T					
13. 401(K) - Gov't Goldman Sachs	A	Dividend	J	T					
14. 401(K) - Adv. Fidelity Int	A	Dividend	J	T					
15. Mutual Fund - NATX - IRA - Gateway Fund C	A	Dividend			Sold	10/11/16	L	D	
16. Mutual Fund - First Eagle - IRA - Global	A	Dividend			Sold	10/14/16	L	E	
17. Mutual Fund - Ivy Asset	A	Dividend			Sold	4/28/16	K	A	

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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = More than \$50,000,000
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	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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☐ 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. Mutual Fund - Am Century Bond - IRA	A	Dividend			Sold	10/11/16	K	A	
19. Mutual Fund - JP Tax Free - JT	A	Dividend	K	T					
20. Mutual Fund - Franklin TOT. - A	A	Dividend	J	T					
21. Mutual Fund - Putnam - Absolute Ret. 300	A	Dividend	K	T					
22. Mutual Fund - Sun Am Senior	A	Dividend	K	T					
23. Mutual Fund - Temp. Global	A	Dividend	K	T					
24. 401(K) Mutual Fund - ClearBridge	B	Dividend	K	T	Buy	10/17/16	K		
25. 401(K) - Tortoise MLP	B	Dividend	K	T					
26. 401(K) - Bank of Am.	A	Dividend	J	T					
27. 401(K) - Goldman St. Inc.	A	Dividend			Sold	6/23/16	K	A	
28. M - 1 Shares Silver	A	Dividend	J	T					
29. 401(K) - John Hancock Rainer	A	Dividend	K	T					
30. 401(K) - Blackrock Cap.	A	Dividend	K	T					
31. 401(K) - Gabelli Gold Gamco	A	Dividend	J	T					
32. 401(K) - Am Global Bal.	A	Dividend	K	T					
33. 401(K) - Goldman Equity	A	Dividend	J	T					
34. Jt - JP Morgan Int. Tax	A	Dividend	K	T					

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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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35. Jt - SPDR Gold	A	Dividend	J	T					
36. Jt - 1st Eagle Global	A	Dividend	K	T					
37. Jt - Am Infl. Bond	A	Dividend	K	T					
38. Hartford HBLCX - IRA	A	Dividend			Sold	10/11/16	K	C	
39. Ivy High Inc. - IRA	A	Dividend			Sold	10/11/16	K	A	
40. Jt. IShares Mun.	A	Dividend	K	T					
41. 401(K) - Am. High Inc.	A	Dividend	K	T					
42. 401(K) - Gold Am. Eagle		None	K	T					
43. 401(K) - Silver Am. Eagle		None	J	T					
44. SunAmerica - SR Floating Rate	A	Dividend	K	T					
45. Transamerica - Flexible Income	B	Dividend			Sold	10/11/16	K	A	
46. Wells Fargo Adv - Absolute Ret.	A	Dividend			Sold	8/23/16	K	A	
47. Wells Fargo Prem - Lg Co GW	A	Dividend			Sold	10/11/16	K	D	
48. Pimco Commodity	A	Dividend	J	T					
49. Am. Century Value	A	Dividend			Sold	5/27/16	K	C	
50. Blackrock Global Sm. C.	A	Dividend	J	T					
51. Del. Small Cap.	A	Dividend	K	T					

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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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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52. Jt - I Shares High Div.	B	Dividend	K	T					
53. Jt - Vanguard Div. App.	A	Dividend	K	T					
54. Jt. - Goldman Inc.	A	Dividend	K	T					
55. Jt. - Ivy Sc. & Tech.	A	Dividend	K	T					
56. Jt. - Blackrock Gl. Smcap.	A	Dividend	J	T					
57. Jt. - Blackrock Multi-A	A	Dividend			Sold	5/27/16	K	A	
58. Jt. - Del. Div.	A	Dividend	K	T					
59. Jt. - Lord A. Multi-A	A	Dividend	K	T					
60. Jt. - JP Morgan Strat. Inc.	A	Dividend			Sold	5/27/16	K		
61. Jt. - Putnam Div.	A	Dividend	K	T					
62. Jt. - SunAm. Div. Str.	A	Dividend			Sold	10/11/16	K	C	
63. JP Morgan Glb. Allo.	B	Dividend	L	T					
64. Blackrock Multi-A.	A	Dividend	K	T					
65. Capital One-Savings	A	Interest	J	T					
66. Goldman US Eq	A	Dividend	L	T	Buy	10/17/16	L		
67. Lord Ab. Flt	A	Dividend	K	T	Buy	10/17/16	K		
68. Columbia Infl. Pro	A	Dividend	K	T	Buy	10/17/16	K		

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69. Ivy Em. Mkt	A	Dividend	K	T	Buy	10/17/16	K		
70. Ab High Inc.	A	Dividend	K	T	Buy	10/17/16	K		
71. Legg Mason Core	A	Dividend	K	T	Buy	10/17/16	K		
72. Am Cent. Altern.	A	Dividend	K	T	Buy	10/17/16	K		
73. Angel Oak Mult.	A	Dividend	K	T	Buy	10/17/16	K		
74. Columbia St. Inc.	A	Dividend	L	T	Buy	10/17/16	K		
75. Tortoise Pipe.	A	Dividend	K	T	Buy	10/17/16	K		
76. Columbia St. Inc.	A	Dividend	L	T	Buy	08/23/16	K		
77. Oppenheimer Emg Mk	A	Dividend	K	T	Buy	08/23/16	K		
78.									
79.									
80.									
81.									
82.									

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

Inadvertently listed Vanguard Div. App. twice on my 2013 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 R. Randolph**

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