

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) Kerrigan, Kathleen M.	2. Court or Organization United States Tax Court	3. Date of Report 05/08/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Tax Court Judge	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 United States Tax Court 400 Second Street N.W. Washington, DC 20217		
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.	Adjunct Faculty	Georgetown University Law Center
2.	Trustee	Family Trust #1 Unfunded
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. 1998	Baker & Hostetler LLP 401(k) and 401(a) plan with former law firm (Reported in Part VII) All in one account managed by Fidelity and allowed to select from
2.	certain investments. Also, have option of rolling over into an IRA.
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. 2016	Georgetown University Law Center- teaching	\$5,000.00
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.				
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. Schwab Roth Contributory IRA									
2. - Janus Fund	A	Dividend	J	T					
3. Schwab IRA Rollover									
4. - Schwab Cash Reserves	A	Int./Div.	M	T					
5. -POND Pimco	A	Int./Div.	J	T					
6. -LISOX Lazard		None	J	T					
7. - SFLNX Schwab Fundamental large	B	Int./Div.	J	T					
8. - SFSNX Schwab Fundamental small	A	Int./Div.	J	T					
9. Schwab One Account #1 (H)									
10. Janus Fund	A	Dividend	K	T	Sold (part)	05/31/16	J	B	
11.					Sold (part)	8/05/16	J	B	
12. Baker & Hostetler retirement account									
13. - Fid Growth Co K	B	Int./Div.	K	T					
14. -MetWest Tot Rtn Bd I	A	Int./Div.	J	T					
15. - Spartan 500 Index (now called Fid 500 Inded)	D	Int./Div.	M	T					
16. - Baker & Hostetler Composite Fund	C	Int./Div.	K	T					
17. - WFA Govt Securities	A	Int./Div.	K	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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18. Schwab Muni account (H)									
19. Austin Tex Wtr & WA 5%22	B	Interest	K	T					
20. California ST 5%24	B	Interest			Sold	10/04/16	K		
21. Central Florida 5%28	B	Interest	K	T	Buy	09/23/16	K		
22. Fairfax County 5%22	A	Interest	K	T					
23. Fairfax County 5%24	A	Interest	K	T	Buy	10/06/16	K		
24. Fairfax Cnty VA SWR 5%31	B	Interest	K	T	Buy	04/06/16	L		
25. Henrio County VA 5%27	A	Interest	L	T	Buy	05/08/16	L		
26. Lower Col River 5%21	B	Interest	K	T					
27. Mass St. 5.25%24	B	Interest	K	T	Buy	11/16/16	K		
28. Hampton Road	A	Interest	K	T	Buy	02/24/16	K		
29. Met T Auth NY Rev 5%24	A	Interest	K	T	Buy	11/30/16	K		
30. Miami-Dade CNTY FLA 5%/22	B	Interest	K	T					
31. Michigan St Hosp. FI 5%25	B	Interest	K	T					
32. Michigan ST Trun 5.25%21	B	Interest	K	T					
33. MN ST GEN FD 5%26	B	Interest	K	T					
34. New Jersey Economic 5%26	B	Interest			Sold	06/24/16	K		

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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. New Jersey Turnpike 5%30 TPK	B	Interest	K	T					
36. New York NY 5%22	B	Interest	K	T					
37. New York NY 5%23	B	Interest			Sold	01/13/16	K	B	
38. New York St Dorm 5%/25	B	Interest	K	T					
39. New York St Dorm 5%23	B	Interest	K	T					
40. Norfolk VA Wtr Rev 5%20	B	Interest			Sold	05/11/16	K	B	
41. Norfolk VA Wtr REv 5%23	B	Interest	K	T					
42. North Carolina Mun 5%/24		None			Sold	02/12/16	J	A	
43. San Antonio Tx Elec 5%23	C	Interest	K	T					
44. San Fransico Calif 5%23	B	Interest			Sold	11/17/16	K	B	
45. South Carollina Trans infra 5%21	B	Interest	K	T					
46. Univ CA 5%/25%	B	Interest	K	T	Sold (part)	01/13/16	K	B	
47. Virginia College BI 5%20	B	Interest			Sold	05/11/16	K	B	
48. Virginia Commonwealth TR 5%24	B	Interest	K	T					
49. Virginia ST PUB BLD 5%21	A	Interest			Sold	10/15/16	J	A	
50. Virginia St. PUB Bldg 5%24	A	Interest	K	T	Sold (part)	01/12/16	K	B	
51. Virginia ST RES AUT 5%20 (x)	A	Interest	K	T					

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52. Virginia ST RES Aut 5%/21	A	Interest	K	T	Sold (part)	09/13/16	K	D	
53.					Sold (part)	05/21/16	J	A	
54.					Sold (part)	01/25/16	J	A	
55. Virginia ST RES Aut 5%/26	B	Interest	L	T					
56. Virginina St Res Auth 5%/25	B	Interest	K	T					
57. Virginia St. Water Auth 5%/24	A	Interest	K	T					
58. Vrrginia Res 'Auth 5%/24	A	Interest	K	T					
59. Virginia State Pub School 5%/22	B	Interest	K	T	Buy	05/12/16	K		
60. Schwab 1 Account # 2 (H)									
61. JP Morgan Chase common stock	A	Dividend	K	T					
62. Walgreen Company common stock	A	Dividend	K	T					
63. Schwab Cash Reserves	A	Dividend	O	T					
64. Templeton Dragon Fund	B	Dividend			Sold	12/12/16	K		
65. PIMCO Total Return Fund	D	Dividend			Sold	12/12/16	M		
66. Matthews India Fund	A	Dividend	K	T					
67. Schwab Total Stock Mkt	D	Dividend	N	T					
68. Vanguard Value Index	D	Dividend	N	T					

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69. Yacktman Fund	F	Dividend	O	T					
70. ISHARES MSCI CDA IDX FD	A	Dividend			Sold	12/12/16	K		
71. SCHW INTL EQ ETF	B	Dividend	L	T					
72. Oppenheimer Equity	A	Dividend			Sold	06/09/16	L	B	
73. Schwab Rollover IRA #2									
74. - Templeton Dragon Fund	B	Int./Div.	K	T					
75. - PIMCO Total Return Fund	D	Int./Div.	M	T					
76. - Blackrock Latin America	B	Int./Div.	J	T					
77. - Matthews India Fund	B	Int./Div.	K	T					
78. - Oppenheimer Equity Income Fund	E	Int./Div.		Q	Sold	06/09/16	M	C	
79. - Schwab Total Stock MKT	D	Int./Div.	O	T	Buy (add'l)	11/07/16	K		
80.					Buy (add'l)	10/05/16	K		
81.					Buy (add'l)	09/06/16	K		
82.					Buy (add'l)	08/05/16	K		
83.					Buy (add'l)	07/05/16	K		
84. Scwab Cash Reserves	D	Int./Div.	K	T	Buy (add'l)	06/15/16	M		
85. - SCW INTL EQ ETF	B	Int./Div.	M	T					

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86. - Yacktman Fund	B	Int./Div.	J	T					
87. Scwag S&P 500 Index Fund	C	Int./Div.	L	T	Buy	06/10/16	K		
88. Schwab One Account #3 (H)									
89. EGshares ETF Beyond BRICS		None			Sold	02/24/16	J		
90. Ishare China Large Cap	A	Dividend			Sold	02/04/16	J		
91. Ishare commodities	A	Dividend			Sold	06/10/16	J		
92. Ishate emerging markets		None			Sold	06/10/16	J		
93. Ishares IBOX	A	Dividend			Sold	06/10/16	J	A	
94. IShares Gold Trust		None			Sold	06/10/16	J		
95. Ishares MSCI Germany		None			Sold	02/04/16	J		
96. IShares MSCI HK IDX FD	A	Dividend			Sold	02/04/16	J		
97. IShares MSCI JAPAN		None			Sold	06/10/16	J		
98. ISHARES RUSEELL 2000	A	Dividend			Sold	06/10/16	J	A	
99. I Shares TR Bond (Barclays)	A	Dividend			Sold	06/10/16	J	A	
100. I Shate Tr Bond 7-10	A	Dividend			Sold	06/02/16	J	A	
101. Power SHS S&P ETF 500		None			Sold (part)	02/24/16	J	A	
102.					Sold	06/10/16	J	B	

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103. PowerSHS QQQ Trust SER 1	A	Dividend			Sold (part)	02/11/16	J	B	
104.					Sold	06/10/16	J	A	
105. SPDR S&P 500 ETF TR	A	Dividend			Sold	06/10/16	J	B	
106. SPDR Barclays short term	A	Dividend			Sold	04/29/16	J	A	
107. Vanguard DIV Appreciation	A	Dividend			Sold	06/10/16	J	A	
108. Vanguard Charlotte ETF(now called Vanguard International BNDX	A	Dividend			Sold	06/10/16	J	A	
109. Vanguard MSCI Emerging (y)									
110. Vanguard MSCI EAFE ETF (VEA)Developed markets	A	Dividend			Sold	06/10/16	J		
111. Vanguard REIT		None			Sold	06/10/16	J	A	
112. Vanguard Total Stock MKT	A	Dividend			Sold	06/10/16	J	C	
113. Vanguard Int.Equity(also calledc Vanguard global) (VNQI)	A	Dividend			Sold	06/10/16	J		
114. Vanguaard FTSE Emerging	A	Dividend			Sold	06/10/16	J		
115. Vanguard ITC ETF DV	A	Dividend			Sold	06/10/16	J	A	
116. Schwab Cash Reserves	A	Dividend			Closed	06/15/16	M		
117. Windsom Trust JPN Hedge Equity		None			Sold	06/02/16	J		
118. Bank of America Series of accounts	A	Interest	O	T					
119. American Express Savings Account	C	Interest	N	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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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)
120. Capitall One Savings Account (2 accounts)	D	Interest	O	T					
121. Discover Bank Savings Account	B	Interest	M	T					
122. EDSC Limited Partnership	D	Rent	O	W					
123.	E	Interest							
124. NSP Limited Partnership	E	Rent			Sold	11/07/16	N	G	Berkley Plaza Associates
125.									and North Stafford LLC
126. VSSC Limited Partnership	E	Rent	M	W					
127.	A	Interest							
128. THSC Limited Partnership	E	Rent	N	W					
129.	A	Interest							
130. Falstaff Center LLP		None	L	W					
131. PHSA Medical Center LLC	E	Rent	N	W					
132.	A	Interest							
133. Valley Ranch Investors LLC		None	N	W					

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

In Part VII. Investments and Trusts, lines 122-133 are all limited partnership investments in real estate.

In Part VII Investments and Trusts, lines 19-59 are tax exempt bonds in a Schwab account managed by GW&K investment management. Line 51, VA State Res Aut 5%20 was reported as being sold in 2015 and only part of it was sold.

In Part VII Investments and Trusts, line 109 Vanguard MSCI emerging is the same as Vanguard Emerging. These items should not have been reported separately.

In Part VII Investments and Trusts, line 120 Capital One Checking Account opened in November, 2016. There are now two accounts with Capital One.

In Part VII Investments and Trusts, line 124 DWS Scudder Large Cap fund listed on the 2015 report was sold and I inadvertently recorded it as closed instead of sold. The value code for the amount of the sale was L and the date of the transaction was 9/17/15. There was a loss on the sale so there was no gain to 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/ **Kathleen M. Kerrigan**

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
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