

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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) Pillard, Cornelia T.	2. Court or Organization U.S. Court of Appeals for the District of Columbia Circuit	3. Date of Report 05/14/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Circuit Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2017 to 12/31/2017
7. Chambers or Office Address Chambers of the Hon. Cornelia T.L. Pillard United States Court of Appeals for the District of Columbia Circuit 333 Constitution Ave. N.W. Washington, DC 20001		
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.)*

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. 2017	Georgetown University Law Center -- law faculty salary
2. 2017	American Civil Liberties Union -- legal director salary
3. 2017	The New York Review of Books -- freelance writer fees
4. 2017	The Nation -- freelance writer fees
5. Jan. 2017	Cleveland State University, Honorarium \$1,500
6. May 2017	New Press -- payment for book edit plus royalties
7. July 2017	University of Chicago, Honorarium \$1,500
8. Oct. 2017	Bucknell University, Honorarium \$6,000
9. Dec. 2017	Northwestern University, \$20,000

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. Yale Law School	Feb. 6-8, 2017	New Haven, CT	Guest lecture	Travel and lodging
2. Harvard Law School	Oct. 26-28, 2017	Cambridge, MA	Bicentennial Summit Panel	Travel, lodging, and meals

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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.			
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.			
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 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)

1. American Century Ultra Fund Mutual Fund	A	Int./Div.	L	T	Buy (add'l)	04/17/17	J		
2. Barclays Ipath ETN ETF		None	K	T	Buy (add'l)	04/17/17	J		
3. Blackrock Muniassests Fund Mutual Fund	C	Int./Div.	L	T	Buy (add'l)	04/17/17	J		
4. Cohen & Steers Institutional Realty Mutual Fund	B	Int./Div.	L	T	Buy (add'l)	04/17/17	J		
5. Cohen & Steers Realty Focus Mutual Fund	B	Int./Div.	L	T	Buy (add'l)	04/17/17	J		
6.					Buy (add'l)	07/03/17	J		
7.					Buy (add'l)	12/07/17	J		
8. Ishares JP Morgan Emerging MKTS Bond ETF	B	Int./Div.	L	T	Buy (add'l)	04/17/17	J		
9. Ishares MSCI EAFE Index Fund ETF	A	Int./Div.	K	T	Buy (add'l)	04/17/17	J		
10. Ishares Russell 1000 Growth Fund ETF	B	Int./Div.	M	T	Buy (add'l)	04/17/17	J		
11. Ishares Russell 1000 Value ETF	C	Int./Div.	M	T	Buy (add'l)	04/17/17	J		
12. Ishares Russell Mid Cap Index Fund ETF	A	Int./Div.	L	T	Buy (add'l)	04/17/17	J		
13. Ishares S&P Midcap 400 Growth Fund ETF	B	Int./Div.	M	T	Buy (add'l)	04/17/17	J		
14.					Buy (add'l)	07/31/17	J		
15.					Sold (part)	07/31/17	J	C	
16.					Buy (add'l)	08/22/17	J		
17. Ishares S&P Midcap 400 Value Index Fund ETF	B	Int./Div.	M	T	Buy (add'l)	04/17/17	J		

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	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

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	(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.					Buy (add'l)	07/31/17	J		
19.					Sold (part)	07/31/17	J	B	
20.					Buy (add'l)	08/22/17	J		
21. Ishares S&P National AMT Free Muni Bond Fund ETF	B	Int./Div.	L	T	Buy (add'l)	04/17/17	J		
22. Ishares S&P Small Cap 600 Growth Fund ETF	A	Int./Div.	L	T	Sold (part)	03/07/17	J	A	
23.					Buy (add'l)	04/17/17	J		
24.					Sold (part)	07/31/17	K	D	
25. Ishares S&P Small Cap 600 Value Fund ETF	A	Int./Div.	K	T	Sold (part)	03/07/17	J	A	
26.					Buy (add'l)	04/17/17	J		
27.					Buy (add'l)	07/31/17	J		
28.					Sold (part)	07/31/17	K	D	
29. Ishares U.S. Preferred Stock ETF	C	Int./Div.	L	T	Buy (add'l)	04/17/17	J		
30. Janus Investment Mutual Fund	A	Int./Div.	L	T	Buy (add'l)	04/17/17	J		
31. Pimco 1-5 Year U.S. Tips Index Fund	A	Int./Div.	L	T	Buy (add'l)	04/17/17	J		
32. Royce Total Return Mutual Fund	A	Int./Div.	K	T					
33. SPDR Barclays High Yield Bond Fund ETF	B	Int./Div.	K	T	Buy (add'l)	03/07/17	J		
34.					Buy (add'l)	07/31/17	J		

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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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)
35.					Buy (add'l)	08/22/17	J		
36. SPDR Barclays Short Term High Yield Fund ETF	B	Int./Div.	K	T	Buy (add'l)	04/17/17	J		
37. SPDR Consumer Discretionary Select Sector Fund ETF	A	Int./Div.	K	T	Buy (add'l)	03/07/17	J		
38.					Sold (part)	07/31/17	K	C	
39.					Buy (add'l)	08/22/17	J		
40. SPDR Consumer Staples Select Sector Fund ETF	A	Int./Div.	J	T	Buy (add'l)	03/07/17	J		
41.					Sold (part)	07/31/17	K	C	
42.					Buy (add'l)	08/22/17	J		
43. SPDR Energy Select Sector Fund ETF	A	Int./Div.	J	T	Buy (add'l)	03/17/17	J		
44.					Sold (part)	07/31/17	J	A	
45.					Buy (add'l)	08/22/17	J		
46. SPDR Euro Stoxx 50 ETF	B	Int./Div.	L	T	Buy (add'l)	04/17/17	J		
47. SPDR Financial Select Sector Fund ETF	A	Int./Div.	L	T	Sold (part)	03/07/17	J	A	
48.					Sold (part)	07/31/17	J	B	
49.					Buy (add'l)	08/22/17	J		
50. SPDR Health Care Select Sector Fund ETF	A	Int./Div.	L	T	Buy (add'l)	03/07/17	J		
51.					Sold (part)	07/31/17	K	D	

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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	
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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52.					Buy (add'l)	08/22/17	J		
53. SPDR Industrial Select Sector Fund ETF	A	Int./Div.	K	T	Sold (part)	07/31/17	J	C	
54.					Buy (add'l)	08/22/17	J		
55. SDPR Materials Select Sector Fund ETF	A	Int./Div.	J	T	Sold (part)	07/31/17	J	A	
56.					Buy (add'l)	08/22/17	J		
57. SPDR S&P Dividend ETF	B	Int./Div.	L	T	Buy (add'l)	04/17/17	J		
58. SPDR Technology Select Sector Fund ETF	B	Int./Div.	L	T	Buy (add'l)	03/07/17	J		
59.					Sold (part)	07/31/17	K	D	
60.					Buy (add'l)	08/22/17	J		
61. T Rowe Price New Asia Mutual Fund	B	Int./Div.	K	T	Buy (add'l)	04/17/17	J		
62. T Rowe Price Spectrum Income Mutual Fund	C	Int./Div.	L	T	Buy (add'l)	04/17/17	J		
63. Vanguard Emerging Markets Stock Index Fund ETF	C	Int./Div.	M	T	Buy (add'l)	03/07/17	J		
64.					Buy (add'l)	04/17/17	J		
65.					Sold (part)	07/31/17	J	A	
66.					Buy (add'l)	08/22/17	J		
67. Vanguard FTSE Developed Markets Fund ETF	C	Int./Div.	M	T	Buy (add'l)	03/07/17	J		
68.					Buy (add'l)	04/17/17	J		

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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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	(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)
69.					Sold (part)	07/31/17	J	A	
70.					Buy (add'l)	08/22/17	J		
71. Vanguard Reit Index Fund ETF	B	Int./Div.	L	T	Buy (add'l)	03/07/17	J		
72.					Buy (add'l)	07/31/17	J		
73.					Buy (add'l)	08/22/17	J		
74. Wisdomtree Emerging Mkts ETF	B	Int./Div.	L	T	Buy (add'l)	04/17/17	J		
75. Wisdomtree Managed Futures Strategy Fund		None	L	T	Buy (add'l)	04/17/17	J		
76. Wisdomtree Total Dividend Fund ETF	B	Int./Div.	L	T	Buy (add'l)	04/17/17	J		
77. iShares Core U.S. Aggregate Bond ETF	C	Int./Div.	M	T	Buy (add'l)	03/07/17	J		
78.					Buy (add'l)	07/31/17	J		
79.					Buy (add'l)	08/22/17	J		
80. Powershares Global ETF	B	Int./Div.	K	T	Buy (add'l)	03/07/17	J		
81.					Buy (add'l)	07/31/17	J		
82.					Sold (part)	07/31/17	J	A	
83.					Buy (add'l)	08/22/17	J		
84. SPDR Real Estate Sector ETF	A	Int./Div.	J	T	Buy (add'l)	07/31/17	J		
85.					Buy (add'l)	08/22/17	J		

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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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86. iShares Core S&P Mid Cap ETF (X)	A	Int./Div.	K	T	Buy	07/31/17	K		
87.					Buy (add'l)	08/22/17	J		
88. iShares Russell 2000 ETF (X)	A	Int./Div.	K	T	Buy	07/31/17	K		
89.					Buy (add'l)	08/22/17	J		
90. SPDR Dow Jones Global Real Estate ETF (X)	A	Int./Div.	K	T	Buy	07/31/17	K		
91.					Buy (add'l)	08/22/17	J		
92. iShares Core S&P 500 ETF (X)	A	Int./Div.	L	T	Buy	07/31/17	L		
93.					Buy (add'l)	08/22/17	J		
94. IRA-BDA #1	B	Distribution	K	T					
95. --Fidelity Canada Mutual Fund	A	Int./Div.	J	T					
96. --Fidelity Diversified International Mutual Fund	A	Int./Div.	K	T					
97. --Fidelity Select Technology Mutual Fund	A	Int./Div.	J	T					
98. IRA-BDA #2	B	Distribution	K	T					
99. --Fidelity Canada Mutual Fund	A	Int./Div.	J	T					
100. --Fidelity Diversified International Mutual Fund	A	Int./Div.	K	T					
101. --Fidelity Select Technology Mutual Fund	A	Int./Div.	J	T					
102. Suntrust cash accounts	A	Int./Div.	M	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	
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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103. Schwab Total Stock Market Fund	A	Int./Div.	J	T					
104. Vanguard Windsor II Mutual Fund	E	Int./Div.	O	T					
105. Vanguard Windsor Mutual Fund	F	Int./Div.	P1	T					
106. Fidelity Magellan Mutual Fund	E	Int./Div.	O	T					
107. Fidelity Low Priced Stock Mutual Fund	F	Int./Div.	O	T					
108. Schwab Emerging Markets Equity ETF	A	Int./Div.	J	T	Buy (add'l)	10/03/17	J		
109.					Sold (part)	10/17/17	J	A	
110. Schwab International Equity ETF	A	Int./Div.	J	T	Buy (add'l)	09/05/17	J		
111.					Buy (add'l)	10/03/17	J		
112.					Sold (part)	10/17/17	J	A	
113.					Buy (add'l)	12/26/17	J		
114. Schwab Health Care Mutual Fund	A	Int./Div.	J	T	Buy (add'l)	12/08/17	J		
115. Powershares Emerging Markets ETF	A	Int./Div.	J	T	Buy (add'l)	06/26/17	J		
116.					Buy (add'l)	09/05/17	J		
117.					Buy (add'l)	10/02/17	J		
118.					Sold (part)	10/17/17	J	A	
119. Schwab U.S. Broad Market ETF	A	Int./Div.	J	T	Buy (add'l)	09/05/17	J		

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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Name of Person Reporting

Pillard, Cornelia T.

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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.					Buy (add'l)	10/03/17	J		
121.					Sold (part)	10/17/17	J	A	
122.					Buy (add'l)	11/03/17	J		
123. Schwab U.S. TIPS ETF	A	Int./Div.	J	T	Buy (add'l)	10/03/17	J		
124. TIAA-CREF Lifecycle 2020 Retirement Fund	B	Int./Div.	K	T					
125. TIAA-CREF Large Cap Growth Fund	A	Int./Div.	J	T					
126. Ameritas Principal plan Plus - DC529	A	Int./Div.	J	T					
127. State Street Equity Index - DC529		None			Sold	03/24/17	L	E	
128. NY 529 Moderate Age-Based Option: Income Portfolio		None	L	T					
129. Schwab Target 2060 Index Mutual Fund (X)	A	Int./Div.	J	T	Buy	09/28/17	J		
130.					Buy (add'l)	09/29/17	J		
131.					Buy (add'l)	10/23/17	J		
132.					Buy (add'l)	12/28/17	J		
133. iShares U.S. Total Stock Market Index Portfolio ETF (X)	A	Int./Div.	L	T	Buy	03/24/17	L		
134. Principal LifeTime Hybrid 2025 CIT Fund (X)		None	J	T	Buy	02/01/17	J		
135. Principal Large Cap S&P 500 Index Separate Account Fund (X)	A	Int./Div.	J	T	Buy	02/01/17	J		
136. Principal Mid Cap S&P 500 Index Separate Account Fund (X)		None	K	T	Buy	02/01/17	J		

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	

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)
137. Principal Small Cap S&P 600 Index SA Fund (X)		None	J	T	Buy	02/01/17	J		

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

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Name of Person Reporting

Pillard, Cornelia T.

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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/ Cornelia T. Pillard**

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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