

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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) Braden, Susan G.	2. Court or Organization U.S. Court of Federal Claims	3. Date of Report 01/30/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2015 to 12/31/2015
7. Chambers or Office Address U.S. Court of Federal Claims 717 Madison Place, N.W. 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.	
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. 2015	American Bar Association - salary compensation
2. 2015	Ropes & Gray LLP - retirement benefits
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. New York IP Law Association	3/27/2015 to 3/28/2015	New York, NY	Annual Judicial Program (Attendee)	Transportation, lodging, meals
2. FCBA	6/24/2015 to 6/27/2015	Dana Point, CA	Presenter	Transportation, lodging, meals
3. ALI	12/2/2015 to 12/3/2015	Philadelphia, PA	Conference (Panelist)	Transportation, meals
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.)*

	<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.	BB&T	Mortgage on Investment Real Property	N
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. Rental Property (Alexandria, VA (SGB)	F	Rent	P1	W					
2. Citibank	A	Interest	K	T					
3. RGIP, LLC	D	Distribution	M	W					
4. Dept. of Justice Credit Union (SGB) (IRA/ CD)	D	Interest	N	T					
5. Dept. of Justice Credit Union (SGB) (SEP)	C	Interest	M	T					
6. J.P. Morgan 401(k)									
7. - Prime Money Mkt. Fd Morgan C1 (sweeps from acct)		None	L	T	Buy	01/05/15	J		
8.		None	L	T	Buy (add'l)	02/03/15	J		
9.		None	L	T	Buy (add'l)	02/09/15	K		
10.		None	L	T	Buy (add'l)	03/03/15	J		
11.		None	L	T	Buy (add'l)	03/24/15	J		
12.		None	L	T	Buy (add'l)	04/10/15	K		
13.		None	L	T	Sold (part)	04/13/15	K		
14.		None	L	T	Buy (add'l)	04/02/15	J		
15.		None	L	T	Buy (add'l)	05/04/15	J		
16.		None	L	T	Buy (add'l)	06/02/15	J		
17.		None	L	T	Buy (add'l)	06/23/15	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 H ~\$1,000,001 - \$5,000,000	D ~\$5,001 - \$15,000 I ~\$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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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.		None	L	T	Buy (add'l)	07/02/15	J		
19.		None	L	T	Buy (add'l)	08/04/15	J		
20.		None	L	T	Buy (add'l)	08/04/15	J		
21.		None	L	T	Buy (add'l)	09/21/15	M		
22.		None	L	T	Sold (part)	09/24/15	M		
23.					Buy (add'l)	10/02/15	J		
24.					Buy (add'l)	11/03/15	J		
25.					Buy (add'l)	11/10/15	K		
26.					Sold (part)	11/12/15	M		
27.					Buy (add'l)	11/23/15	J		
28.					Buy (add'l)	12/02/15	J		
29.					Buy (add'l)	12/10/15	J		
30.					Buy (add'l)	12/14/15	J		
31.					Buy (add'l)	12/16/15	J		
32.					Buy (add'l)	12/22/15	K		
33.					Buy (add'l)	12/24/15	J		
34.					Buy (add'l)	12/28/15	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	
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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. - Artisan Intl Value	B	Dividend	N	T	Buy	11/20/15	J		
36. - Blackrock Strategic	C	Dividend	M	T	Buy	02/19/15	J		
37. - Dreihaus Inc. Mut. Fd. Emerging Mkt. Act	A	Dividend	M	T	Buy	02/09/15	K		
38.					Sold	06/24/15	L		
39. - Dodge & Cox Funds Int'l Stock Fd	C	Dividend	M	T					
40. - Dreyfus Emerging Mkts Debt LoclCurrency		None			Buy	02/09/15	J		
41.		None			Sold	04/10/15	K	D	
42. - FMI Funds Large Cap	C	Dividend	M	T					
43. - Harding Loevner Fds Int'l Equity Portf.	A	Dividend	M	T					
44. - Investment Mgrs Serv. Oak Ridge Sml Cap Growth	A	Dividend	L	T					
45. - Metropolitan West Fds. Total Return Bd Fd	D	Dividend	O	T					
46. - Matthews Intl Fds Asia Div. Fd.	B	Dividend	L	T					
47. - Neuberger & Berman Equity Fds Equity Income		None			Sold	09/23/15	M	D	
48. - Neuberger Berman High Income Bd Fd	D	Dividend	M	T	Buy	02/09/15	J		
49.					Buy (add'l)	04/13/15	K		
50. - Newberger Berman Core Bd Fd Intl Cl	E	Dividend	O	T	Buy	01/02/15	J		
51. - Ridgeworth Fds Seix Flts Rate Inc. Fd	C	Dividend	M	T	Buy	04/13/15	K		

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	
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52. - Third Avenue Real Est. Value Fd	A	Dividend	L	T	Buy	09/24/15	L		
53. - Transamerica Intl Sml Cap Value	C	Dividend	M	T	Buy	09/24/15	L		
54. - Vanguard Index Sml Cap Index Admiral	B	Dividend	M	T					
55. - Vanguard Index 500 Index Admiral	D	Dividend	N	T	Sold (part)	09/02/15	J	C	
56. - Vanguard Fix Inc. Short Term Inv Grade	A	Dividend	K	T	Sold (part)	11/10/15	K	A	
57. Oil & Gas Royalty (Houston & San Antonio, TX) [REDACTED]	C	Royalty	K	W					
58. U Fund College Investing Plan: MA Portfolio 2021 [REDACTED]	A	Dividend	K	T	Buy (add'l)	12/17/15	J		
59. U Fund College Investing Plan: MA Portfolio 2024 [REDACTED]	A	Dividend	K	T	Buy (add'l)	12/17/15	J		
60. U Fund College Investing Plan: MA Portfolio 2024 [REDACTED]	A	Dividend	K	T	Buy (add'l)	12/17/15	J		
61. U Fund College Investing Plan: MA Portfolio 2027 [REDACTED]	A	Dividend	K	T	Buy (add'l)	12/17/15	J		
62. U Fund College Investing Plan: MA Portfolio 2027 [REDACTED]	A	Dividend	K	T	Buy (add'l)	12/17/15	J		
63. U Fund College Investing Plan: MA Portfolio 2030 [REDACTED]	A	Dividend	J	T	Buy (add'l)	12/17/15	J		
64. Ropes & Gray Personal Trust Account [REDACTED]	D	Int./Div.	O	T	Buy (add'l)	11/12/15	M		
65. - FMI Large Cap [REDACTED]	A	Dividend	K	T	Buy	12/22/15	J		
66.					Buy (add'l)	12/21/15	J		
67. - Vanguard 500 Index Fund	D	Dividend	K	T	Buy	11/20/15	J		
68.					Buy	12/21/15	J		

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69. - Artisan Int'l Value Fd Inv.	A	Dividend	K	T	Buy	11/24/15	J		
70.					Buy (add'l)	11/20/15	J		
71. - Dodge 7 Cox Int'l Stock Fund	A	Dividend	K	T	Buy	11/19/15	J		
72. - Harding Loevner Int'l Equity Fund	A	Dividend	K	T	Buy	11/19/15	J		
73. - Oak Ridge Small Cap Growth	A	Dividend	L	T					
74. - Vanguard Sml Cap Index Fd	B	Dividend	K	T	Buy	11/20/15	J		
75. - Transamerica Intl Small Cap Value Fd	A	Dividend	K	T	Buy	09/22/15	J		
76.					Buy (add'l)	12/28/15	J		
77. - Driehaus Emg Mkts Growth Fund	A	Dividend	K	T	Buy	11/25/15	J		
78.					Sold	06/24/15	J	A	
79. - Matthews Asia Dividends - ins	A	Dividend	J	T	Buy	06/23/15	J		
80. - NB Muni I/T Bonds Fnd Ins.	A	Dividend	L	T	Buy	11/19/15	K		
81. - Vanguard I/T T/E Fd Adm	B	Dividend	L	T	Buy	11/19/15	K		
82. - NB High Income Bond Fd Ins	A	Dividend	K	T	Buy	11/19/15	J		
83.					Buy (add'l)	03/18/15	J		
84. - Ridgeworth Seix Floating Rate Fd Ins	A	Dividend	K	T	Buy	11/19/15	J		
85.					Buy	03/18/15	J		

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86. - Blackrock Strategic Inc. Opp Fd Ins	A	Dividend	K	T	Buy	11/19/15	J		
87. - Third Ave. Real Est. Val Isn't	A	Dividend	J	T	Buy	09/22/15	J		
88. - Vanguard S/T T/E Fd Adm	A	Dividend	J	T	Buy	12/10/15	J		
89. - Federated Govt Obli Fd - Prm	A	Dividend	K	T					
90. - Dreyfus Emg Mkts		None			Sold	03/18/15	J		
91. - NB Equity Income Fd Ins		None			Sold	06/22/15	K	A	
92. Las Vegas Sands Corp. (Common Stock)		None	J	W					
93. American Bar Ass'n Thrift Plan (no control) - Voya Financial	E	Int./Div.	M	T	Buy (add'l)	11/17/15	J		
94. - T. Rowe Prc Retirement 2010	A	Dividend	L	T	Buy		J		
95.					Buy		J		
96. - T. Rowe Price 2040 Fund	A	Dividend	L	T	Buy		J		
97.					Buy		J		
98. - S.SgA Russ. Sm/MD Cap Index Fund	A	Dividend	K	T	Buy		J		
99.					Buy		J		
100. U Fund College Investing Plan: MA Portfolio 2033	A	Dividend	J	T	Buy	12/17/15	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
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Part VII, page 4, lines 3, 6, and 17: These are [REDACTED] investment and retirement accounts; however, neither the filer nor [REDACTED] directs the investment, purchase or disposition of assets in those accounts, and filer has no knowledge of the specific investments in these accounts. (RGIP is a series of investments managed by Ropes & Gray Investment Partnership; the 401(k) plan is held by J.P. Morgan and managed by Ropes & Gray; the ABA Thrift Plan is a 401(k) plan held and managed by Voya Financial).

Part VII page 4 line 4 (RGIP, LLC) [REDACTED]: This is [REDACTED] investment partnership that co-invests under the direction of [REDACTED] former law firm (Ropes & Gray). [REDACTED] has no ability to direct purchases or sales and cannot redeem, sell, or divest any of the specific investments in that partnership.

Part VII page 4, lines 9-14 and page 5, line 18 (College Savings Funds): The assets listed are 529 Savings Plans invested [REDACTED] for [REDACTED] through the state of Massachusetts and managed by Fidelity; they do not allow for the selection of assets within the accounts by either the owner or beneficiary.

Part VII, page 4, line 15: Neither the filer nor [REDACTED] directs the investment, purchase or disposition of assets in this trust account (managed by Ropes & Gray), and filer has no knowledge of the specific investments in these accounts.

Part VII, page 9, lines 95 - 100 (Voya Financial) [REDACTED] This is [REDACTED] current 401(k) account. The transactions listed are reported quarterly without a specific date; thus, Q1 and Q2 designate the quarter during which the transaction occurred.

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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/ Susan G. Braden

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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