

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) Lauber, Albert G.	2. Court or Organization United States Tax Court	3. Date of Report 11/17/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Judge, United States Tax Court	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 400 Second Street, N.W. Room 306 Washington, D.C. 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.)

POSITION

NAME OF ORGANIZATION/ENTITY

- | | |
|------------------------------|---|
| 1. Member, Board of Trustees | The Studio Theatre, 1501 14th Street, N.W., Washington, D.C. 20005 (non-profit theatre) (uncompensated position) |
| 2. Adjunct Professor | Georgetown University Law Center, 600 New Jersey Ave., N.W., Washington D.C. 20001 (compensated position) (advance approval received) |
| 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. 2016	Salary, Adjunct Professor, Georgetown University Law Center	\$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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2016	Salary, Georgetown University Law Center
2. 2016	Sole Proprietorship Income, Consulting
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.				
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.)

	<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.	Merrill Lynch/Bank of America	Margin Loan on Stock Account	N
2.	Merrill Lynch/ Bank of America	Mortgage on Rental Prop. #1, Washington, D.C. (Pt. VII, line 1)	M
3.	Merrill Lynch/Bank of America	Line of Credit on Rental Prop. #1, Washington, D.C. (Pt. VII, line 1)	M
4.	Merrill Lynch/Bank of America	Mortgage on Rental Prop. #2, Washington, D.C. (Pt. VII, line 2)	M
5.	Merrill Lynch/Bank of America	Mortgage on Rental Prop. #3, Washington, D.C. (Pt. VII, line 3)	N
6.	Merrill Lynch/Bank of America	Mortgage on Rental Prop. #4, Washington, D.C. (Pt. VII, line 4)	N
7.	Merrill Lynch/Bank of America	Mortgage on Rental Prop. #5, Washington, D.C. (Pt. VII, line 5)	N
8.			
9.			

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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 Prop. #1, Washington, District of Columbia, DC	G	Rent	P1	W					
2. Rental Prop. #2, Washington, District of Columbia, DC	G	Rent	P1	W					
3. Rental Prop. #3, Washington, District of Columbia, DC	E	Rent	O	W					
4. Rental Prop. #4, Washington, District of Columbia, DC	E	Rent	N	W					
5. Rental Prop. #5, Washington, District of Columbia, DC	E	Rent	O	W					
6. DWS Latin America Fund	A	Dividend			Sold	01/20/16	K	A	
7. Vanguard Emerging Markets Stock Index Fund	A	Dividend	K	T					
8. Vanguard Health Care Fund	A	Dividend	K	T					
9. Vanguard High-Yield Tax Exempt Fund	A	Dividend			Sold	01/20/16	K	B	
10. Vanguard Pacific Stock Index Fund	A	Dividend			Sold	01/20/16	K	B	
11. Vanguard Dividend Growth Fund	B	Dividend	L	T					
12. T Rowe Price High Yield Bond Fund	E	Dividend	N	T					
13. Invesco Global Health Fund		None			Sold	01/20/16	K	B	
14. Invesco Small Cap Growth Fund	A	Dividend	K	T					
15. Invesco Technology Fund		None			Sold	01/20/16	J	A	
16. Invesco Utilities Fund		None			Sold	01/20/16	J	A	
17. Merrill Lynch Deposit Program	A	Interest	J	T					

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	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	F = \$50,001 - \$100,000 (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000
3. Value Method Codes	P3 = \$250,000,001 - \$50,000,000 (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	P4 = More than \$50,000,000 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)

18. Goldman Sachs Growth Fund	A	Dividend	J	T					
19. iShares Russell Midcap	A	Dividend	J	T					
20. MFS Global Total Return Fund	A	Dividend	J	T					
21. iShares S&P Small Cap	A	Dividend	K	T					
22. SPDR S&P 500 Fund	A	Dividend	K	T					
23. Vanguard Consumer Fund	B	Dividend	K	T					
24. Vanguard Health Care ETF	A	Dividend	J	T					
25. Vanguard Dividend ETF	B	Dividend	L	T					
26. Vanguard Total Bond Market Fund	A	Interest	J	T					
27. Merrill Lynch Rollover IRA (Lauber) (this is a header):									
28. - Vanguard High Yield Corporate Fund	F	Interest	P1	T					
29. - Vanguard Windsor Fund	F	Dividend	P1	T	Sold (part)	08/31/16	M	F	
30. - Vanguard Wellington Fund	D	Dividend	M	T					
31. - Banco Santander ADR	B	Dividend	L	T					
32. - Telefonica Brasil ADR	C	Dividend	L	T					
33. Georgetown University 403(b) Plan (this is a header):									
34. - Vanguard High Yield Corporate Fund	B	Interest	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 = \$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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35. - Vanguard Windsor Fund	E	Dividend	O	T					
36. - Vanguard International Growth Fund	D	Dividend	M	T					
37. - Vanguard International Value Fund	D	Dividend	M	T					
38. IRA Account (Lauber) (this is a header):									
39. - T Rowe Price High Yield Bond Fund	E	Interest	N	T					
40. - T Rowe Price New Asia Fund	B	Dividend	M	T					
41. IRA Account (Hoffman) (this is a header):									
42. - American AMCAP Fund	A	Dividend	J	T					
43. - American Balanced Fund	A	Dividend	K	T					
44. - American AMCAP Fund CL F1	A	Dividend	J	T					
45. - MFS International Diversification Fund	A	Dividend	J	T					
46. - MFS Value Fund	A	Dividend	J	T					
47. - PIMCO Total Return Fund	A	Dividend	J	T					
48. - Principal Global Diversified Inc Fund	A	Dividend	J	T					
49. - SunAmerica Focused Alpha Large Cap Fund	A	Dividend	J	T					
50. Merrill Lynch Brokerage Accounts (common stocks) (this is a header):									
51. - Exelon Corp.	D	Dividend	M	T	Sold (part)	03/11/16	K	B	

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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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52.					Buy (add'l)	11/10/16	K		
53. - Telefonica Peru ADR		None	L	T					
54. - Cisco Corp.	B	Dividend	L	T					
55. - Cemex Corp.		None	L	T	Buy (add'l)	11/10/16	K		
56. - Verizon Corp.	A	Dividend	K	T					
57. - Banco Santander	C	Dividend	L	T	Buy (add'l)	09/24/16	K		
58. - AT&T	A	Dividend	K	T					
59. - GE Corp.	C	Dividend	M	T					
60. - Apple Inc	A	Dividend	J	T					
61. - Monsanto Corp.	A	Dividend	J	T					
62. - Alcoa Corp.	A	Dividend			Sold	11/16/16	K	D	
63. - Citigroup Corp.	A	Dividend	K	T					
64. - Pfizer Corp.	A	Dividend	J	T					
65. - Caterpillar Corp.	B	Dividend	K	T					
66. - American Electric Power Corp.	A	Dividend	J	T					
67. - Telefonica Espana	D	Dividend	M	T	Buy (add'l)	07/26/16	L		
68. - Microsoft	A	Dividend	J	T					

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69. - Barclays Bank	C	Dividend	M	T	Buy (add'l)	04/04/16	K		
70.					Buy (add'l)	06/14/16	K		
71.					Buy (add'l)	08/01/16	K		
72. - Wells Fargo Bank		None			Sold	01/14/16	K	E	
73. - Marathon Oil		None			Sold	01/20/16	J	A	
74. - American Express Co.	A	Dividend	K	T					
75. - Ford Motor Co.	A	Dividend	J	T					
76. - Whole Foods Market	A	Dividend	J	T	Buy (add'l)	09/29/16	J		
77. - JP Morgan Chase Bank	A	Dividend	J	T					
78. - Schlumberger	A	Dividend	K	T					
79. - Halliburton Corp.		None			Sold	01/20/16	L	A	
80. - Baker Hughes		None			Sold	11/30/16	J	B	
81. - Southern Co.	A	Dividend			Sold	01/20/16	K	C	
82. - Transocean Ltd.		None			Sold	01/10/16	J	A	
83. - Eli Lilly Inc.	A	Dividend	K	T					
84. - Morgan Stanley	A	Dividend			Sold	11/14/16	K	D	
85. - Oracle Corp.	A	Dividend	L	T					

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86. - Orange Corp. ADR	C	Dividend	M	T	Buy (add'l)	11/16/16	K		
87. - Telefonica Brasil Ltd ADR	C	Dividend	L	T	Sold (part)	08/04/16	J	A	
88.					Buy (add'l)	02/02/16	J		
89.					Buy (add'l)	12/22/16	J		
90. - Freeport McMoran		None			Sold	01/20/16	K	A	
91. - ArcelorMittal ADR	A	Dividend	K	T	Sold (part)	09/28/16	K	C	
92. - Banco Bradesco ADR	A	Dividend	K	T	Sold (part)	08/04/16	J	B	
93. - Grupo Financiero Santander de Mexico	C	Dividend	L	T	Buy (add'l)	11/09/16	K		
94.					Buy (add'l)	12/06/16	K		
95. - Itau Unibanco Brasil	A	Dividend	K	T	Sold (part)	07/16/16	K	D	
96. - Seadrill Corp.		None			Sold	01/20/16	J	A	
97. - Banco Santander Brasil	B	Dividend	K	T	Sold (part)	04/29/16	K	D	
98.					Sold (part)	08/29/16	K	D	
99. - Arconic	A	Dividend	K	T	Spinoff (from line 62)	11/09/16	K		
100. - Kinder Morgan	A	Dividend	J	T					
101.									

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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of 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/ Albert G. Lauber

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