

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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) Millett, Patricia A.	2. Court or Organization U.S. Court of Appeals for the DC Circuit	3. Date of Report 5/15/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Circuit Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2018 to 12/31/2018
7. Chambers or Office Address 333 Constitution Ave., NW 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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Trustee	The [REDACTED] Trust dated February 25, 1998 as amended.
2. Trustee	The [REDACTED] Living Trust dated February 25, 1998, as amended
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.	
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 10

Name of Person Reporting

Millett, Patricia A.

Date of Report

5/15/2019

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. 10/2018	New York University Teaching stipend for IJA New Appellate Judges Seminar (7/15-20/2018)	\$1,800.00
2. 05/2018	Georgetown Law School teaching compensation (1/17-4/25/2018)	\$8,625.00
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. 2018	Florida Sugar Cane League, Inc. -- spouse's salary
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. American Law Institute	1/17-19/2018	Philadelphia, PA	ALI Council meetings	Transportation & meals
2. Stanford University Law School	2/9-10/2018	Stanford, CA	Stanford Supreme Court at Midterm Conference	Transportation
3. Federal Judiciary Center	4/16-18/2018	Philadelphia, PA	Mid-Career Seminar for US Court of Appeals Judges	Transportation & meals
4. US Air Force Academy	4/22-24/2018	Colorado Springs, CO	Address law student cadets and faculty	Lodging, transportation & meals
5. American Law Institute	5/21-23/2018	Washington, DC	ALI Council meetings	Transportation & meals

FINANCIAL DISCLOSURE REPORT

Page 3 of 10

Name of Person Reporting

Millett, Patricia A.

Date of Report

5/15/2019

6.	Yeshiva University Cardozo Law School	5/28-29/2018	New York, NY	2018 Commencement Speaker	Transportation & meals
7.	New York University	7/15-20/2018	New York, NY	IJA New Appellate Judges Seminar	Transportation & meals
8.	William & Mary School of Law	9/20-22/2018	Williamsburg, VA	Supreme Court Preview: Panel Member	Transportation
9.	American Law Institute	10/17-19/2018	New York, NY	ALI Council meetings	Transportation & meals

FINANCIAL DISCLOSURE REPORT

Page 4 of 10

Name of Person Reporting

Millett, Patricia A.

Date of Report

5/15/2019

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.			

FINANCIAL DISCLOSURE REPORT

Page 5 of 10

Name of Person Reporting

Millett, Patricia A.

Date of Report

5/15/2019

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. US Treasury Bonds	A	Interest	K	T					
2. Wells Fargo Bank - Various accounts	A	Interest	M	T					
3. Florida Sugar Cane League, Inc. 401(k) Plan (H)									
4. -WF Stable Fund C	A	Dividend	J	T					
5. -FID FDM idx 2025 INV	C	Int./Div.	M	T	Buy (add'l)	03/31/18	J		
6.					Buy (add'l)	06/30/18	J		
7.					Buy (add'l)	09/30/18	J		
8.					Buy (add'l)	12/31/18	J		
9. American Funds Growth Fund of America 529 Plan (H)									
10. -Growth Fund of America 529A	D	Dividend	M	T	Sold (part)	08/06/18	K		
11.					Buy (add'l)	12/06/18	K		
12. American Funds Income Fund of America 529 Plan (H)									
13. -Income Fund of America 529A	D	Dividend	M	T	Sold (part)	08/06/18	J		
14.					Buy (add'l)	12/06/18	K		
15. Brokerage Account #1 (H)									
16. -Lockheed Martin Corp - Common	D	Dividend	N	T					
17. Brokerage Account #2 (H)									

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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 10

Name of Person Reporting

Millett, Patricia A.

Date of Report

5/15/2019

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. -Raymond James Bank	A	Interest	J	T					
19. -First Eagle Global Fund	D	Dividend	M	T	Buy (add'l)	01/02/18	J		
20. -First Eagle Global Fund					Buy (add'l)	02/02/18	J		
21. -First Eagle Global Fund					Buy (add'l)	04/03/18	J		
22. -First Eagle Global Fund					Buy (add'l)	07/06/18	J		
23. -First Eagle Global Fund					Buy (add'l)	09/04/18	J		
24. -First Eagle Global Fund					Sold (part)	11/27/18	K		
25. -Franklin Income Fund					Sold (part)	05/24/18	K		
26. -Franklin Income Fund					Sold (part)	06/14/18	K		
27. -Franklin Income Fund					Sold (part)	07/23/18	K		
28. -Franklin Income Fund					Sold	11/27/18	L		
29. -T. Rowe Price Capital Appreciation Fund	D	Dividend	M	T	Buy (add'l)	02/01/18	J		
30. -T. Rowe Price Capital Appreciation Fund					Buy (add'l)	04/02/18	J		
31. -T. Rowe Price Capital Appreciation Fund					Buy (add'l)	07/05/18	J		
32. -T. Rowe Price Capital Appreciation Fund					Buy (add'l)	08/03/18	J		
33. Brokerage Account #3 UTMA (H)									
34. -T. Rowe Price Capital Appreciation Fund	A	Dividend	J	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	P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	L = \$50,001 - \$100,000 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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 10

Name of Person Reporting

Millett, Patricia A.

Date of Report

5/15/2019

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)

35. Brokerage Account #4 UTMA (H)									
36. -T. Rowe Price Capital Appreciation Fund	A	Dividend	J	T					
37. [REDACTED] Prudential (H)									
38. -AST Academic Strategies Asset Alloc Port	A	Interest	J	T					
39. [REDACTED] Revocable Trust Liv Trust Jackson Na (H)									
40. -JNL/Lazard Emerging		None	J	T					
41. -JNL/Mellon S&P 400		None	J	T					
42. -JNL/Mellon Cap Small Cap		None	J	T					
43. -JNL/Mellon Tech		None	J	T					
44. -JNL/Mellon Healthcare		None	J	T					
45. -JNL/Invesco China-India		None	J	T					
46. -JNL T.Rowe Price Mgd Vol		None	K	T	Buy	08/10/18	K		
47. -JNL/Mellon Cap Europe		None	J	T					
48. -JNL Tactical ETF Growth		None	K	T					
49. -JNL/Lazard IntlStratEq		None	J	T					
50. -JNL/MMRS Conservative		None			Sold	08/10/18	K	A	
51. [REDACTED] Brokerage- - non-retirement (H)									

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	

FINANCIAL DISCLOSURE REPORT

Page 8 of 10

Name of Person Reporting

Millett, Patricia A.

Date of Report

5/15/2019

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)

52. -Healthcare Trust Am	A	Dividend			Sold	02/12/18	J	B	
53. -Exxon Mobile Corp	C	Dividend			Sold	04/20/18	L	E	
54. -Oppenheimer Steelpath MLP	A	Dividend			Sold	02/13/18	J	A	
55. -Oppenheimer Global		None	J	T					
56. █████ Brokerage -- retirement (H)									
57. -Putman Absolute Return 700		None	J	T					
58. -Principal Global Diversivied Income	A	Dividend	K	T	Sold (part)	02/12/18	J	A	
59. -Putnam Multi Cap Core	A	Dividend	J	T					
60. -Highland Small Cap		None	J	T					
61. -Principal Balance	A	Dividend	J	T	Buy	02/12/18	J		
62. -AM Beacon Global Frontier	A	Dividend	J	T	Buy	02/12/18	J		
63. -AM Balance Fund	A	Dividend	J	T	Buy	02/12/18	J		
64.									

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	

FINANCIAL DISCLOSURE REPORT

Page 9 of 10

Name of Person Reporting

Millett, Patricia A.

Date of Report

5/15/2019

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

(1) Part VII, Lines 37-63: These assets are in [REDACTED] Revocable Living Trust; I am Trustee and a named beneficiary. I have no current financial interest or income from these assets or from the Living Trust.

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

Millett, Patricia A.

Date of Report

5/15/2019

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/ Patricia A. Millett

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