

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) Griffith, Thomas B.	2. Court or Organization US Court of Appeals for the D.C. Circuit	3. Date of Report 1/5/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Active	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 333 Constitution Avenue, NW Suite 3917 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. Member, International Advisory Board	CEELI Institute
2. Director, President	The Temple and Observatory Group
3. Member, Advisory Board	Neal A. Maxwell Institute
4. Member, Board of Directors	Historical Society of the District of Columbia Circuit
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. 2000	Deseret Mutual Benefit Association (DMBA) Investment Fund (retirement plan)
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	Stanford Law School - Adjunct Professor salary	\$27,225.00
2. 2016	Deseret Mutual Benefit Association - Retirement Account	\$18,867.60
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.	
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. Stanford Law School	1/3/2016 - 1/22/2016	Stanford, CA	Teach class -- "The Article III Judge"	Airfare, baggage fee, taxi, accommodations
2. Brigham Young University	2/4/2016 - 2/6/2016	Provo, UT	Speak to LDS Gift Planning Leadership Council	Airfare, hotel, rental car, meals, parking,
3. Federalist Society	2/24/2016 - 2/25/2016	Philadelphia, PA & New Haven, CT	Speak to FedSoc Chapter at University of Pennsylvania Law School and Yale Law School	Train, hotel, taxi
4. Claremont College	3/24/2016 - 3/26/2016	Claremont, CA	Attend Conference and give Keynote Address	Airfare, meals, taxi

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5.	Federalist Society	3/30/2016 - 3/31/2016	Cambridge, MA	Speak to FedSoc Chapter at Harvard Law School	Airfare, baggage fee, taxi, meals, parking
6.	NYU School of Law	4/4/2016	New York, NY	Judge Final Round of the Orison Marden Moot Court Competition	Train, taxi, meal
7.	Federalist Society	4/14/2016	Columbus, OH	Speak to FedSoc Chapter at Ohio State University Moritz School of Law	Airfare, parking, mileage
8.	Utah State Bar Association	8/9/2016	Sandy, UT	Participate in panel discussion on appellate advocacy	Airfare, taxi, mileage, meal
9.	Brigham Young University	10/27/2016 - 10/30/2016	Provo, UT	Speak to first year law students; attend Maxwell Institute Advisory Board meeting	Airfare, car rental, taxi, mileage, meals
10.	Brigham Young University	12/3/2016 - 12/12/2016	London, England, Utrecht, the Netherlands	Participate in LDS EuroSeminar; speak to two LDS student groups	Airfare, taxi, meals
11.					
12.					
13.					

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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.	C & D Construction	Unsecured Construction Loan	K
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. Wells Fargo Bank Acct	A	Interest	J	T					
2. Nuveen Multi-Manager Large-Cap Value A	A	Dividend	J	T					
3. DMBA Investment Fund	A	Dividend	K	T					
4. Edward Jones									
5. --Money Market	A	Interest	J	T					
6. IRA (H)									
7. --Lord Abbett Fund CI A	A	Dividend	J	T					
8. --Washington Mutual Invs FD CI A	A	Dividend	K	T					
9. MUTUAL FUNDS (H)									
10. --Allianzgi NFJ Dividend	A	Dividend	K	T	Sold (part)	06/15/16	J		
11.					Sold (part)	09/16/16	J		
12. --American Century Div Bond	A	Dividend	J	T	Sold (part)	01/14/16	J		
13.					Sold (part)	06/20/16	J		
14.					Sold (part)	09/16/16	J		
15. --Blackrock Equity Dividend	A	Dividend	J	T	Sold (part)	01/14/16	J		
16.					Sold (part)	06/20/16	J		
17.					Sold (part)	09/16/16	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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18. --Bridge Builder Core Bond	B	Dividend	L	T	Sold (part)	01/14/16	K		
19.					Sold (part)	09/16/16	J		
20. --Bridge Builder Core Plus Bond	A	Dividend	K	T	Sold (part)	01/14/16	J		
21.					Sold (part)	09/16/16	J	A	
22. --Bridge Builder INTL Equity	A	Dividend	J	T	Sold (part)	01/14/16	J		
23. --Bridge Builder Large Growth	A	Dividend	J	T	Sold (part)	01/14/16	J		
24.					Sold (part)	09/16/16	J		
25. --Bridge Builder Large Value	A	Dividend	K	T	Sold (part)	01/14/16	J		
26. --Bridge Builder Smallmid Growth	A	Dividend	J	T	Sold (part)	01/14/16	J		
27.					Sold (part)	09/16/16	J		
28. --Bridge Builder Smallmid Value	A	Dividend	J	T	Buy	06/10/16	J		
29. --Capital World Bond	A	Dividend	J	T	Sold (part)	01/14/16	J		
30.					Sold (part)	06/15/16	J		
31. --Capital World Grw & Income F1	A	Dividend			Sold (part)	01/14/16	J	A	
32.					Sold	06/20/16	K		
33. --Dodge & Cox INTL Stock	A	Dividend	K	T	Sold (part)	01/14/16	J		
34.					Sold (part)	09/16/16	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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35.					Sold (part)	11/03/16	J		
36. --Dreyfus International Stk CI Y	A	Dividend	J	T	Sold (part)	01/14/16	J	A	
37.					Sold (part)	09/16/16	J		
38. --Janus Flexible Bond	A	Dividend	K	T	Sold (part)	01/14/16	J		
39.					Sold (part)	11/03/16	J		
40. --JPMorgan Federal Money Market Fund Institutional CI	A	Dividend	J	T	Sold (part)	05/13/16	J		
41. --JPMorgan Mid Cap Value Instl	A	Dividend	J	T	Sold (part)	01/14/16	J		
42.					Sold (part)	06/20/16	J		
43. --JPMorgan Short Duration Bond	A	Dividend	K	T	Sold (part)	01/14/16	J		
44.					Sold (part)	11/03/16	J		
45. --Neuberger Berman Genesis	A	Dividend	J	T	Sold (part)	01/14/16	J		
46.					Sold (part)	09/16/16	J		
47. --Neuberger Berman High Income	A	Dividend	K	T	Sold (part)	01/14/16	J		
48.					Sold (part)	09/16/16	J		
49.					Sold (part)	11/03/16	J		
50. --Prudential Total Return Bond	A	Dividend	K	T	Sold (part)	01/14/16	J		
51.					Sold (part)	09/16/16	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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52.					Sold (part)	11/03/16	J		
53. --T Rowe Price Equity Income	A	Dividend	J	T	Sold (part)	01/14/16	J		
54.					Sold (part)	09/16/16	J		
55. --T Rowe Price Instl Lrge Cp Gr	A	Dividend	K	T	Sold (part)	01/14/16	J		
56.					Sold (part)	09/16/16	J		
57.					Sold (part)	11/03/16	J		
58. --Dimensional International Small Company Fund	A	Dividend	J	T	Buy	06/15/16	J		
59. --Harbor International	A	Dividend	J	T	Buy	06/15/16	J		
60.					Sold (part)	09/16/16	J		
61. MUNICIPAL BONDS (H)									
62. --Virginia Res Auth Clean Wtr St Revolving Fd Rev Ser B	A	Dividend			Sold	11/01/16	J	A	
63. --Loudoun Cnty Virginia Public Improvement Gen Oblig Ser A	A	Dividend	J	T					
64. --Norfolk Virginia General Obligation Cap Impt & Rfdg A	A	Dividend	J	T					
65. --Suffolk Virginia Refunding General Obligation	A	Dividend	J	T					
66. --Isle Wight County Virginia Refunding Series A Gen Oblig	A	Dividend	J	T					
67. --Suffolk Virginia General Obligation & Refunding	A	Dividend	J	T					
68. --Hampton Virginia Public Improvement General Obligation	A	Dividend	J	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 \$5,000,000	M ~\$100,001 - \$250,000 P2 ~\$5,000,001 - \$25,000,000	
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69. --Virginia State Series A-2 General Obligation	A	Dividend	K	T					
70. --Virginia Res Auth St Moral Oblig Rev VA Pooled Fund Pg	A	Dividend			Sold	11/01/16	J	A	
71. --Virginia St Hsg Dev Auth Rev Comwlth Mtg Ser A Subser A-2	A	Dividend			Sold (part)	03/01/16	J	A	
72.					Sold	11/01/16	J		
73. --Fairfax Cnty Virginia Econ Dev Auth Fac Rev Cmnty Svcs Facs A	A	Dividend	J	T					
74. --Virginia State Housing Dev Authority Rental Hsg Ser B	A	Dividend	J	T					
75. --Harrisonburg Virginia GO Pub Impt	A	Dividend	J	T	Buy	05/18/16	J		
76. STOCKS (H)									
77. --Chevron Corp	A	Dividend			Sold	11/01/16	J	A	
78. --Marriott International New A	A	Dividend			Sold	11/01/16	J	A	
79. --Realty Income Corp	B	Dividend	K	T					
80. EXCHANGE TRADED AND CLOSED END FUNDS (H)									
81. --Sector Spdr Trust Utilities	A	Dividend	K	T					
82. LINCOLN FINANCIAL LIFE INSURANCE AMERICAN LEGACY II VARIABLE		None			Sold (part)	11/01/16	K	A	
83. -Indiv Fixed			L	T					
84. -AMR Grth/Inc			K	T					

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85. -AMR Growth			L	T					
86. -AMR INTL			K	T					
87. -AMR Govt Aaa			L	T					
88. DFA International	A	Dividend	J	T	Buy	06/20/16	J		

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

Part VII -- Investments and Trusts
All items listed on lines 5-50 are assets that Judge Griffith inherited at the death of his mother, Jane B. Griffith (DOD: 1/13/2015). All of these assets are held at Edward Jones.

The filer cannot control selection of the assets for the LINCOLN FINANCIAL LIFE INSURANCE AMERICAN LEGACY VARIABLE. The financial statement does not indicate incoming during the reporting period.

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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/ **Thomas B. Griffith**

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