

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) CHIECHI, CAROLYN P.	2. Court or Organization U.S. TAX COURT	3. Date of Report 08/10/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) JUDGE (SENIOR STATUS- ON RECALL)	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 ROOM 233 400 SECOND STREET, N.W. WASHINGTON, D.C. 20217-0002		
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.	Executor	Estate (mother)
2.		
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.	09/1992	Sutherland, Asbill & Brennan (SAB) (See VIII. Additional Information or Explanations)
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.

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.

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.		
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. SAB HR 10 Plan	D	Int./Div.	P1	T	Distributed (part)	11/07/16	L		Req. Min. Dis. (RMD)
2. Coca Cola Co., Common Stock	B	Dividend	K	T					
3. BP PLC, Common Stock	D	Dividend	L	T					
4. Merck & Co., Common Stock	A	Dividend	K	T					
5. Express Scripts Holding Co., Common Stock		None	J	T					
6. Stryker Corp., Common Stock	A	Dividend	L	T					
7. RBC Wealth Management US Government Money Market Fund		None			Closed	02/16/16	J		
8. WalMart Stores, Inc., Common Stk.	B	Dividend	K	T					
9. Marriott Int'l, Inc. New, Class A, Common Stock	A	Dividend	L	T					
10. Marriott Vacations Worldwide Corp Common Stock	A	Dividend	J	T					
11. Host Hotels and Resorts Inc., Common Stock	A	Dividend			Sold	02/11/16	J	A	
12. PNC Financial Corp., Common Stock	A	Dividend	K	T					
13. Microsoft Corp., Common Stock	C	Dividend	M	T	Donated (part)				
14. Medtronic, Common Stock	A	Dividend	K	T					
15. Bank of America (MM/Ckg Accts)	A	Interest	L	T					
16. Boeing, Co., Common Stock	C	Dividend	M	T					
17. NIKE, Class B Common Stock	B	Dividend	L	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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	(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. Apple Inc., Common Stock	B	Dividend	L	T					
19. Alphabet Inc Class C (name change from Google Inc.,) Capital Stock		None	K	T					
20. Alphabet Inc Class A (name change from Google Inc.,) Common Stock		None	K	T					
21. Amgen. Inc., Common Stock	A	Dividend	J	T					
22. General Electric, Common Stock	B	Dividend	K	T					
23. Merrill Lynch (ML) Bank Deposit (Money Market Fund)		None	M	T					
24. Berkshire Hathaway B, Common Stock		None	J	T					
25. Cisco Systems Inc., Common Stock	A	Dividend	J	T					
26. Johnson & Johnson, Common Stock	A	Dividend	K	T					
27. AT&T Inc common stock	A	Dividend	J	T					
28. Amazon.com, Inc., Common Stock		None	L	T	Buy (add'l)	04/19/16	J		
29. Anadarko Pete., Common Stock	A	Dividend			Donated				
30. Bed Bath & Beyond Inc., Common Stock		None			Sold	04/19/16	J	A	
31. Biogen Idec Inc., Common Stock		None	K	T					
32. Cree Research Inc., Common Stock		None			Sold	04/19/16	J		
33. Expedia Inc., Common Stock	A	Dividend			Donated				
34. Nat'l Oilwell Varco Inc., Common Stock	A	Dividend			Sold	04/19/16	J		

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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)

35. Home Depot Inc., Common Stock	A	Dividend	J	T					
36. Intel Corp., Common Stock	A	Dividend			Donated				
37. L-3 Comm. Hldg Inc., Common Stock	A	Dividend			Sold	04/19/16	J	A	
38. Beneficial interest in Lehman Bros Holdings Inc Plan Trust		None	J	W					See VIII for explanation
39. Bank of America Corp., Common Stock	A	Dividend	J	T					
40. Micron Tech Inc., Common Stock		None	J	T					
41. Pepsico Inc., Common Stock	A	Dividend	J	T					
42. Pfizer Inc., Common Stock	A	Dividend	J	T					
43. Proctor & Gamble, Common Stock	B	Dividend	K	T					
44. Seagate Corp., Common Stock	A	Dividend			Sold	04/19/16	J		
45. Texas Instruments, Common Stock	A	Dividend	K	T					
46. Time Warner Inc. New, Common Stock	A	Dividend			Donated				
47. United Health Gp. Inc., Common Stock	A	Dividend			Donated				
48. Walt Disney Co., Common Stock	B	Dividend	L	T					
49. Weatherford Int'l Ltd., Common Stock		None			Sold	04/19/16	J		
50. Yahoo Inc., Common Stock		None			Donated				
51. EBay, Inc., Common Stock		None			Donated				

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52. Exxon Mobil, Common Stock	B	Dividend	L	T					
53. Colgate Palmolive, Common Stock	D	Dividend	O	T					
54. Southern Co., Common Stock	A	Dividend	J	T					
55. Abbvie Inc common stock	A	Dividend	K	T					
56. Conoco Philips, comon stock	A	Dividend	K	T					
57. Chemours, common stock	A	Dividend			Sold	04/19/16	J		
58. Devon Energy, common stock	A	Dividend	J	T	Buy (add'l)	04/19/16	J		
59.					Sold (part)	05/25/16	J		
60. Dupont E I de Nemours, Coomon stock	A	Dividend	K	T					
61. Eastman Chemical, common stock	A	Dividend	J	T					
62. IBM Corp, common stock	B	Dividend	L	T					
63. Phillips 66, common stock	A	Dividend	K	T					
64. Thompson Reuters Corp, common stock	A	Dividend	K	T					
65. United Tech Corp, common stock	A	Dividend	K	T					
66. 3M Company, common stock	B	Dividend	L	T					
67. Williams Company, common stock	A	Dividend	J	T					
68. WPX Energy, common stock		None			Sold	04/19/16	J	A	

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69. Nuveen Sanata Barbara Fund, Mutual Fund	A	Dividend	K	T					
70. MFS Multimarket Fund, Mutual Fund	A	Dividend			Sold	04/19/16	J		
71. Wells Fargo Precious Metal Fund, Mutual Fund		None			Sold	04/19/16	J	B	
72. Capital One bank 0.40% fixed rate CD, due 4/15/16	A	Interest			Redeemed	04/15/16	L		
73. Santander Bank, 0.60% fixed rate CD, due 10/14/16	A	Interest			Redeemed	10/14/16	L		
74. Santander Bank, 0.70% fixed rate CD, due 5/24/17		None	L	T	Buy	08/17/16	L		interest payable in 2017
75. Sallie Mae bank 0.45% fixed rate CD due 7/27/16	A	Interest			Buy	04/19/16	L		
76.					Redeemed	07/27/16	L		
77. Sallie Mae bank 0.60% fixed rate CD due 2/24/17		None	L	T	Buy	08/17/16	L		interest payable in 2017
78. McDonald's Corp common stock	A	Dividend	J	T	Spinoff (from line 79)	10/20/16	J		recd as RMD from 1.83
79. ML Beneficiary IRA (beneficiary of mother's IRA)									
80. --Chevron Corp common stock	A	Dividend	J	T					
81. --Glaxosmithkline PLC common stock	A	Dividend	J	T					
82. --Lockheed Martin Corp common stock	A	Dividend	K	T					
83. --McDonald's Corp common stock	B	Dividend	K	T	Distributed (part)	10/20/16	J		RMD, see 1.78
84. --Pfizer Inc common stock	A	Dividend	J	T					
85. --ML Bank Money Market Fund		None	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	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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86. Estate									
87. --ML Bank Deposit (Money Market Fund)		None	J	T					
88. --Apple Inc., common stock	B	Dividend	M	T					
89. --BP PLC common stock	B	Dividend			Sold	03/17/16	K		
90. --Chevron Corp common stock	B	Dividend	L	T					
91. --Coca Cola common stock	B	Dividend	K	T					
92. --Express Scripts Holdings Co common stock		None			Sold	08/11/16	K		
93. --General Electric common stock	A	Dividend			Sold	03/17/16	K	D	
94. --Guided Therapeutics Inc common stock		None			Sold	04/19/16	J		
95. --Horizon Holding Intl Corp common stock		None			Sold	04/19/16	J		
96. --Lockheed Martin Corp common stock	C	Dividend	M	T	Sold (part)	03/17/16	J	A	
97. --McDonalds Corp common stock	A	Dividend	J	T					
98. --Primecare Systems Inc common stock		None			Sold	04/19/16	J		
99. --Royal Dutch Shell PLC common stock	B	Dividend	K	T					
100. --Merck & Co. common stock	C	Dividend	M	T					
101. --Real Property (Essex County, NJ) \$804,500		None	O	S					
102. ML IRA									

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103. --BP PLC, Common Stock	A	Dividend	J	T					
104. --General Electric, Common Stock	A	Dividend	K	T					
105. --Goldman Sachs, Common Stock	A	Dividend	K	T					
106. --AT&T Inc., Common Stock	A	Dividend	J	T					
107. --Schlumberger, Common Stock	A	Dividend	K	T					
108. --Target, Common Stock	A	Dividend	K	T					
109. --St. Paul Travelers, Common Stock	B	Dividend	L	T					
110. --Columbia Marsico Focus Eq. A Mutual Fund		None			Sold	04/19/16	K		
111. --Hartford Cap Appreciation A Mutual Fund		None			Sold	04/19/16	L		
112. --Kinetics New Paradigm Fund Cl A Mutual Fund		None	J	T					
113. --ML Bank Deposit (Money Market Fund)		None	J	T					
114. --Abbott Labs, Common Stock	A	Dividend	J	T					
115. --Abbvie Inc., Common Stock	B	Dividend	K	T					
116. --Johnson & Johnson, Common Stock	B	Dividend	K	T					
117. --Apple Inc., Common Stock	B	Dividend	L	T					
118. --BB&T Corp., Common Stock	B	Dividend	L	T					
119. --General Motors Co., Common Stock	A	Dividend	K	T					

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Name of Person Reporting

CHIECHI, CAROLYN P.

Date of Report

08/10/2017

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. --National-Oilwell Varco Inc., Common Stock	A	Dividend	J	T					
121. --Repsol S.A., Common Stock	B	Dividend	K	T					
122. --Smith & Nephew Group, Common Stock	A	Dividend	K	T					
123. --Devon Energy Corp., Common Stock	A	Dividend	J	T					
124. --Everbank FL 0.50% fixed rate CD due 3/11/16	A	Interest			Redeemed	03/11/16	L		
125. --Discover Bk 0.65% fixed rate CD due 8/26/16	A	Interest			Redeemed	08/26/16	M		
126. --Sabrient Bakers Dozen Portfolio Fund, Mutual Fund		None			Sold	08/17/16	K		
127. --Sabrient Bakers Dozen Portfolio Fund, ser 2016, Mutual Fund		None	K	T	Buy	08/17/16	K		
128. --Safra National Bank, 0.60% fixed rate CD, due 3/29/17		None	L	T	Buy	03/17/16	L		
129. --City Natl Bank, 0.45% fixed rate CD, due 10/3/16	A	Interest	K	T	Buy	03/22/16	K		
130.					Redeemed	10/03/16	K		
131. --Columbia Dividend Opportunity Fund A, Mutual Fund		None	K	T	Buy	04/19/16	K		
132. --Hartford Equity Income Fund A, Mutual Fund		None	L	T	Buy	04/19/16	L		
133. --Peoples Bank 0.70% fixed rate CD, due 10/13/17		None	M	T	Buy	10/05/16	M		

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

II. AGREEMENTS (Cont'd).

At least for the foreseeable future, I decided to continue to have certain of the amounts I had accumulated in the HR 10 Plan, which is sponsored by SAB of which I was a partner through September 30, 1992, and which is an independently managed, fully funded, defined contribution plan that allows for self-directed investments, to be managed by the advisor retained by SAB. In July 2000, I rolled over into an IRA at Morgan Stanley the balance of those amounts. In 2007, I rolled over my Morgan Stanley IRA accounts into IRA accounts at UBS Financial Services, Inc. (UBS). In 2014, I rolled over my UBS IRA into IRA accounts at Merrill Lynch (ML).

I have a vested interest in the Sutherland, Asbill & Brennan Defined Benefit Plan for Partners and Nonlegal Personnel. The benefit I am entitled to receive under that plan is an annual income on a straight-line basis of \$6,782.15 per year, commencing at normal retirement age of 65 and which became effective as of 1/1/09. Annual amount is paid equally over 12 months. Pursuant to the terms of the plan, I was not entitled to a lump-sum payout when I withdrew as a partner from SAB effective October 1, 1992, because, as a relatively new plan, the benefits to the participants of the plan were not fully funded. The plan provides that pension payments were to begin automatically after I attained the normal retirement age of 65. The amount of the pension payments are in no way affected by the profitability of SAB or by the performance of the trust fund. If the trustee of the plan were to realize a better or a worse investment rate than assumed in the actuarial calculations for the plan, SAB either would contribute less or more to provide the defined benefit of all participants. The plan may be terminated either because of a change in the law or a decision by the partners of SAB to discontinue this benefit. In the event of plan termination, ERISA provides very specific rules for the allocation of plan assets among participants, with those who have already retired being given fully funded benefits first. If SAB were not able to provide all benefits, the Pension Benefit Guaranty Corporation would pick up the liability for any shortfall up to the benefit levels insured by that agency. It is my understanding that, except in that unlikely event, my benefit under the plan is a fixed amount.

VII. INVESTMENTS AND TRUSTS

P. 6, line 38

In 2012 Lehman Bros. Holdings, Inc., commenced bankruptcy proceedings, its stock was canceled, and its stockholders received proportionate beneficial interests in or rights to the Lehman Bros Holdings, Inc., plan trust. Although I placed a yearend value in my 2012 financial disclosure report on my interest in or right to that plan trust, upon reflection I believe that a value really was not ascertainable for that interest or right at the end of 2012, 2013, 2014, 2015, or 2016 because of the uncertainties involved in the bankruptcy proceedings. Nonetheless, I indicated that the value code is J, i.e., "\$15,000 or less".

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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/ CAROLYN P. CHIECHI

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