

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) Edwards, Harry T.	2. Court or Organization USCA for D.C. Circuit	3. Date of Report 05/09/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Senior Circuit Judge	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 5500 U.S. Courthouse 333 Constitution Ave., NW Washington, D.C. 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	Member American Law Institute
2. Member	American Academy of Arts & Sciences
3. Member	American Bar Association
4. Board of Directors	Institute of Judicial Administration, NYU Law School
5. Fellow	American Bar Foundation
6. Professor of Law	NYU Law School
7. Member	Supreme Court Historical Society
8. Member	Dean's Advisory Committee, University of California at Irvine Law School
9. Member	Committee on Science, Technology, and Law at National Academy of Sciences
10. Senior Advisor Co-Chair	President's Council of Advisors on Science and Technology, Report to the President on Forensic Science in Criminal Courts

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. 2016	NYU School of Law, Professor of Law

FINANCIAL DISCLOSURE REPORT

Page 2 of 11

Name of Person Reporting	Date of Report
Edwards, Harry T.	05/09/2017

2.
3.

FINANCIAL DISCLOSURE REPORT

Page 3 of 11

Name of Person Reporting

Edwards, Harry T.

Date of Report

05/09/2017

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. 12/31/16	NYU Law School, Professor of Law	\$209,063.00
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.	
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.	NYU School of Law, New York, NY	1/7-9/2016	New York, NY	Teaching	Room, meals, transportation
2.	NYU School of Law, New York, NY	1/19-21/2016	New York, NY	Teaching	Room, meals, transportation
3.	NYU School of Law, New York, NY	1/26-28/2016	New York, NY	Teaching	Room, meals, transportation
4.	NYU School of Law, New York, NY	2/2-4/2016	New York, NY	Teaching	Room, meals, transportation
5.	NYU School of Law, New York, NY	2/10-13/2016	New York, NY	Teaching	Room, meals, transportation

FINANCIAL DISCLOSURE REPORT

Page 4 of 11

Name of Person Reporting

Edwards, Harry T.

Date of Report

05/09/2017

6.	NYU School of Law, New York, NY	2/13-15/2016	New York, NY	Teaching	Room, meals, transportation
7.	NYU School of Law, New York, NY	2/16-18/2016	New York, NY	Teaching	Room, meals, transportation
8.	NYU School of Law, New York, NY	2/24-25/2016	New York, NY	Teaching	Room, meals, transportation
9.	NYU School of Law, New York, NY	3/1-3/2016	New York, NY	Teaching	Room, meals, transportation
10.	National Academy of Sciences	3/9-10/2016	Passadena, CA	Committee on Science, Technology, & Law Meeting	Room, meals, transportation
11.	University of California, Irvine	3/11-13/2016	Irvine, CA	Dean's Advisory Meeting	Room, meals, transportation
12.	NYU School of Law, New York, NY	3/22-24/2016	New York, NY	Teaching	Room, meals, transportation
13.	NYU School of Law, New York, NY	4/5-7/2016	New York, NY	Teaching	Room, meals, transportation
14.	NYU School of Law, New York, NY	4/20-21/2016	New York, NY	Teaching	Room, meals, transportation
15.	NYU School of Law, New York, NY	4/25-29/2016	New York, NY	Teaching	Room, meals, transportation
16.	NYU School of Law, New York, NY	8/30/2016 - 9/1/2016	New York, NY	Teaching	Room, meals, transportation
17.	NYU School of Law, New York, NY	9/7-8/2016	New York, NY	Teaching	Room, meals, transportation
18.	NYU School of Law, New York, NY	9/14-17/2016	New York, NY	Teaching	Room, meals, transportation
19.	Just the Beginning Foundation	9/16-17/2016	New York, NY	Conference speaker	Meals
20.	NYU School of Law, New York, NY	9/21-22/2016	New York, NY	Teaching	Room, meals, transportation
21.	NYU School of Law, New York, NY	9/26-29/2016	New York, NY	Teaching	Room, meals, transportation
22.	NYU School of Law, New York, NY	10/3-7/2016	New York, NY	Teaching	Room, meals, transportation
23.	NYU School of Law, New York, NY	10/10-11/2016	New York, NY	Teaching	Room, meals, transportation
24.	NYU School of Law, New York, NY	11/7-10/2016	New York, NY	Teaching	Room, meals, transportation
25.	NYU School of Law, New York, NY	11/14-17/2016	New York, NY	Teaching	Room, meals, transportation
26.	NYU School of Law, New York, NY	11/28/2016 - 12/2/2016	New York, NY	Teaching	Room, meals, transportation

FINANCIAL DISCLOSURE REPORT

Page 5 of 11

Name of Person Reporting

Edwards, Harry T.

Date of Report

05/09/2017

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

1. _____

2. _____

3. _____

4. _____

5. _____

FINANCIAL DISCLOSURE REPORT

Page 6 of 11

Name of Person Reporting

Edwards, Harry T.

Date of Report

05/09/2017

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)

1. Citibank Accounts	A	Interest	J	T					
2. TD Bank		None	J	T					
3. Justice Federal Credit Union		None	J	T					
4. Wells Fargo IRA money market		None	M	T					
5. Bank of America Accounts		None	J	T					
6. Vanguard total stock market index	A	Dividend			Buy (add'l)	01/15/16	J		
7. Vanguard total stock market index					Buy (add'l)	02/16/16	J		
8. Vanguard total stock market index					Redeemed (part)	03/08/16	J		
9. Vanguard total stock market index					Buy (add'l)	03/16/16	J		
10. Vanguard total stock market index					Buy (add'l)	04/15/16	J		
11. Vanguard total stock market index					Buy (add'l)	05/16/16	J		
12. Vanguard total stock market index					Merged (with line 13)	06/09/16	J		
13. Vanguard total stock market Admiral index	A	Dividend	J	T	Buy	06/09/16	J		
14. Vanguard total stock market Admiral index					Buy (add'l)	06/16/16	J		
15. Vanguard total stock market Admiral index					Buy (add'l)	07/15/16	J		
16. Vanguard total stock market Admiral index					Buy (add'l)	08/16/16	J		
17. Vanguard total stock market Admiral index					Buy (add'l)	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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 11

Name of Person Reporting

Edwards, Harry T.

Date of Report

05/09/2017

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)

18. Vanguard total stock market Admiral index					Buy (add'l)	10/14/16	J		
19. Vanguard total stock market Admiral index					Buy (add'l)	11/16/16	J		
20. Vanguard total stock market Admiral index					Buy (add'l)	12/16/16	J		
21. Vanguard Prime Money Market	A	Dividend	K	T	Buy (add'l)	01/16/16	J		
22. Vanguard Prime Money Market					Buy (add'l)	02/16/16	J		
23. Vanguard Prime Money Market					Sold (part)	03/08/16	J		
24. Vanguard Prime Money Market					Redeemed (part)	03/08/16	J		
25. Vanguard Prime Money Market					Buy (add'l)	03/16/16	J		
26. Vanguard Prime Money Market					Buy (add'l)	04/15/16	J		
27. Vanguard Prime Money Market					Buy (add'l)	05/16/16	J		
28. Vanguard Prime Money Market					Buy (add'l)	06/16/16	J		
29. Vanguard Prime Money Market					Sold (part)	07/15/16	J		
30. Vanguard Prime Money Market					Buy (add'l)	08/16/16	J		
31. Vanguard Prime Money Market					Buy (add'l)	09/16/16	J		
32. Vanguard Prime Money Market					Buy (add'l)	10/10/16	J		
33. Vanguard Prime Money Market					Buy (add'l)	11/16/16	J		
34. Vanguard Prime Money Market					Buy (add'l)	12/16/16	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 \$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 11

Name of Person Reporting

Edwards, Harry T.

Date of Report

05/09/2017

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)

35. Vanguard Prime Money Market					Sold (part)	12/27/16	J		
36. Vanguard Wellesley Fund	C	Dividend	L	T	Buy (add'l)	01/15/16	J		
37. Vanguard Wellesley Fund	A	Distribution			Buy (add'l)	02/16/16	J		
38. Vanguard Wellesley Fund					Buy (add'l)	03/8/16	J		
39. Vanguard Wellesley Fund					Buy (add'l)	03/08/16	J		
40. Vanguard Wellesley Fund					Buy (add'l)	03/16/16	J		
41. Vanguard Wellesley Fund					Buy (add'l)	04/15/16	J		
42. Vanguard Wellesley Fund					Buy (add'l)	05/16/16	J		
43. Vanguard Wellesley Fund					Buy (add'l)	06/16/16	J		
44. Vanguard Wellesley Fund					Buy (add'l)	07/15/16	J		
45. Vanguard Wellesley Fund					Buy (add'l)	08/16/16	L		
46. Vanguard Wellesley Fund					Buy (add'l)	09/16/16	J		
47. Vanguard Wellesley Fund					Buy (add'l)	10/14/16	J		
48. Vanguard Wellesley Fund					Buy (add'l)	11/16/16	J		
49. Vanguard Wellesley Fund					Buy (add'l)	12/16/16	J		
50. Vanguard Life Strategy Growth	A	Dividend	K	T	Buy	01/15/16	J		
51. Vanguard Life Strategy Growth	A	Distribution			Buy (add'l)	02/16/16	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 \$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 11

Name of Person Reporting

Edwards, Harry T.

Date of Report

05/09/2017

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)
52. Vanguard Life Strategy Growth					Buy (add'l)	03/16/16	J		
53. Vanguard Life Strategy Growth					Buy (add'l)	04/15/16	J		
54. Vanguard Life Strategy Growth					Buy (add'l)	05/16/16	J		
55. Vanguard Life Strategy Growth					Buy (add'l)	06/16/16	J		
56. Vanguard Life Strategy Growth					Buy (add'l)	07/15/16	J		
57. Vanguard Life Strategy Growth					Buy (add'l)	08/16/16	J		
58. Vanguard Life Strategy Growth					Buy (add'l)	09/16/16	J		
59. Vanguard Life Strategy Growth					Buy (add'l)	10/14/16	J		
60. Vanguard Life Strategy Growth					Buy (add'l)	11/16/16	J		
61. Vanguard Life Strategy Growth					Buy (add'l)	12/16/16	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	

FINANCIAL DISCLOSURE REPORT

Page 10 of 11

Name of Person Reporting

Edwards, Harry T.

Date of Report

05/09/2017

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

FINANCIAL DISCLOSURE REPORT

Page 11 of 11

Name of Person Reporting

Edwards, Harry T.

Date of Report

05/09/2017

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/ **Harry T. Edwards**

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