

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) Schall, Alvin A.	2. Court or Organization United States Court of Appeals for the Federal Circuit	3. Date of Report 04/21/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States Circuit Judge (Senior Status)	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 717 Madison Place, N.W. Washington, D.C. 20439		
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 (one of two)	Trust #2
2.	Trustee (one of two)	Trust #4
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

Schall, Alvin A.

Date of Report

04/21/2017

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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE 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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. _____

2. _____

3. _____

4. _____

5. _____

FINANCIAL DISCLOSURE REPORT

Page 3 of 10

Name of Person Reporting

Schall, Alvin A.

Date of Report

04/21/2017

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 4 of 10

Name of Person Reporting

Schall, Alvin A.

Date of Report

04/21/2017

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. Abbott Laboratories, Inc.	B	Dividend	K	T					
2. Abbvie	B	Dividend	L	T					
3. Altria Group, Inc.	C	Dividend	L	T					
4. Boeing Co.	C	Dividend	M	T					
5. BP PLC	D	Dividend	M	T					
6. Donnelley Financial Solutions, Inc.	A	Dividend			Sold	12/12/16	J	A	
7. Exxon Mobil Corp.	D	Dividend	M	T					
8. General Electric Co.	C	Dividend	M	T					
9. General Mills, Inc.	C	Dividend	L	T					
10. Home Depot, Inc.	D	Dividend	N	T					
11. Intel Corp.	C	Dividend	M	T					
12. Johnson & Johnson	C	Dividend	M	T					
13. J.P. Morgan Chase & Co.	C	Dividend	M	T					
14. Kraft Heinz Co.	A	Dividend	K	T					
15. LSC Communications, Inc.	A	Dividend			Sold	12/12/16	J	A	
16. Minnesota Mining & Mfg. Co.	C	Dividend	M	T					
17. Mondelez Int'l., Inc.	A	Dividend	K	T					

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	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
(See Column C2)	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
	U = Book Value	V = Other	W = Estimated		

FINANCIAL DISCLOSURE REPORT

Page 5 of 10

Name of Person Reporting

Schall, Alvin A.

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☐ 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. Motorola Solutions, Inc.	A	Dividend	K	T					
19. Pepsico, Inc.	D	Dividend	M	T					
20. Philip Morris Int'l., Inc.	C	Dividend	M	T					
21. R.R. Donnelley & Sons Co.	A	Dividend			Sold	12/12/16	J		Loss
22. Vanguard High Dividend Yield ETF	D	Dividend	M	T					
23. Vanguard High Dividend Yield ETF (■)	D	Dividend	M	T	Buy	04/18/16	M		
24. Walt Disney Co.	C	Dividend	M	T					
25. Yum Brands, Inc.	B	Dividend	K	T					
26. Yum China Holdings, Inc.	B	Dividend	K	T	Spinoff (from line 25)	11/01/16	K		
27. DWS Strategic Gov. SEC Fund	B	Interest	L	T	Sold (part)	12/01/16	J	A	
28. DWS GNMA Fund - S (■)	B	Interest	K	T					
29. Edgartown Water Co.		None	J	W					
30. Mainbocher, Inc.		None	J	W					
31. Evergreen Money Fund	A	Interest	J	T					
32. Fidelity Contra Fund (■)	B	Dividend	L	T	Sold (part)	12/01/16	J	B	
33. Vanguard Int.-Term Tax-Exempt Fund Adm. Shares Bond Fund (■)	D	Dividend	M	T					
34. Vanguard Ltd.-Term Tax-Exempt Fund Adm. Shares Bond Fund (■)	C	Dividend	M	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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 10

Name of Person Reporting

Schall, Alvin A.

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35. Vanguard Short-Term Bond Index Adm. Shares Bond Fund	B	Dividend			Sold	04/18/16	M		Loss
36. Vanguard Dividend Growth Fund	D	Dividend	O	T					
37. Williams 79 Associates		None	J	W					
38. TRUST #1:									
39. Deutsche Bank Trust Co. Tax-Free Income Fund	B	Dividend	K	T					
40. Deutsche Bank Trust Co. International Fund	A	Dividend	K	T					
41. Deutsche Bank Trust Co. U.S. Large Capitalization Value Fund	C	Dividend	M	T					
42. Deutsche Bank Trust Co. High Income Fund Class A	A	Dividend	J	T					
43. 1 Shares MSCI Emerging Markets Index Fund	A	Dividend			Sold	03/09/16	J	C	
44. Deutsche Bank Trust Co. Money Market Deposit Account	A	Interest	J	T					
45. TRUST #2:									
46. American Express Co.	A	Dividend	K	T					
47. BP PLC	B	Dividend	K	T	Sold (part)	09/08/16	J	A	
48. Halyard Health, Inc.		None			Sold	05/24/16	J	C	
49. Kimberly Clark Corp.	C	Dividend	M	T					
50. Pfizer, Inc.	A	Dividend	K	T	Sold (part)	09/08/16	J	B	
51. Raytheon Co.	B	Dividend	M	T					

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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

Schall, Alvin A.

Date of Report

04/21/2017

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52. Fidelity Contra Fund	A	Dividend	L	T					
53. Deutsche Bank Trust Co.U.S. Large Capital Growth Fund	D	Dividend	N	T	Sold (part)	11/30/16	J		Loss
54. Deutsche Bank Trust Co. Tax-Free Income Fund	D	Dividend	M	T					
55. Deutsche Bank Trust Co. Money Market Deposit Account	A	Interest	K	T					
56. TRUST #3:									
57. Deutsche Bank Trust Co. U.S. Small Capitalization Fund	A	Dividend	J	T					
58. Deutsche Bank Trust Co. Tax-Free Income Fund	B	Dividend	K	T					
59. Deutsche Bank Trust Co. International Fund	A	Dividend	K	T					
60. Deutsche Bank Trust Co. U.S. Large Capitalization Value Fund	D	Dividend	M	T					
61. Deutsche Bank Trust Co. High Income Fund Class A	A	Dividend	J	T					
62. I Shares MSCI Emerging Markets Index Fund	A	Dividend	J	T					
63. I Shares Cohen & Steers REIT ETF	A	Dividend	J	T					
64. Deutsche Bank Trust Co. Money Market Deposit Account	A	Dividend	J	T					
65. TRUST #4:									
66. American Express Co.	B	Dividend	L	T					
67. BP PLC	B	Dividend	K	T					
68. General Electric Co.	B	Dividend	K	T					

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FINANCIAL DISCLOSURE REPORT

Page 8 of 10

Name of Person Reporting

Schall, Alvin A.

Date of Report

04/21/2017

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69. Merck & Co., Inc.	B	Dividend	L	T					
70. Procter & Gamble Co.	B	Dividend	L	T					
71. Deutsche Bank Trust Co. International Fund	B	Dividend	L	T					
72. Deutsche Bank Trust Co. Taxable Income Fund	D	Dividend	N	T					
73. Deutsche Bank Trust Co. High Income Fund-Insured	B	Dividend	K	T					
74. I Shares U.S. Treasury Inflation Protected Securities Fund	A	Dividend	K	T					
75. Para-metrics Emerging Markets Fund	A	Dividend	K	T					
76. Deutsche Bank Trust Co. U.S. Large Capitalization Value Fund	B	Dividend	M	T					
77. Deutsche Bank Trust Co. Money Market Deposit Account	A	Dividend	K	T					
78.									
79.									
80.									
81.									
82.									

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
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FINANCIAL DISCLOSURE REPORT

Page 9 of 10

Name of Person Reporting

Schall, Alvin A.

Date of Report

04/21/2017

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

ADDITIONAL INFORMATION WITH RESPECT TO PART VII OF THIS REPORT:

1. Items 1-21, 24-26, 29, 30, 46-51 and 66-70 are common stock holdings.
2. Items 22, 23, 27, 28, 32-36, 43, 52, 62, 63, 74 and 75 are mutual funds.
3. Items 31, 44, 55, 64 and 77 are in the nature of money market accounts.
4. Items 40-42, 53, 57, 59-61, 71, 73 and 76 are mutual funds managed by Deutsche Bank Trust Co.
5. Items 39, 54 and 58 are tax-free securities funds managed by Deutsche Bank Trust Co.
6. Item 72 is a debt securities fund managed by Deutsche Bank Trust Co.
7. Item 37 is a real estate partnership.
8. See Items 6 and 15. On 10/03/16 RR Donnelley & Sons Co. spunoff and created Donnelley Financial Solutions, Inc. and LSC Communications, Inc. I thus acquired these two spinoff entities on 10/03/16, because of my holding in RR Donnelley & Sons. As reflected in Items 6, 15 and 21, I sold RR Donnelley & Sons, Donnelley Financial Solutions, and LSC Communications on 12/12/16.
9. See Item 57. This holding, Deutsche Bank Trust Co. U.S. Small Capitalization Fund, was mistakenly reported in Item 58 of my 2015 Financial Disclosure Report as being totally sold on 06/22/15. In fact, it was partially sold on that date.
10. "☐" Denotes holding by ☐

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

Schall, Alvin A.

Date of Report

04/21/2017

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/ Alvin A. Schall

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