

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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 04/10/2018
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 01/01/2017 to 12/31/2017
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.	

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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.)*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. _____

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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.	Federal Circuit Bar Association	2017 Annual Dinner	\$186.38
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. Abbott Laboratories, Inc.	B	Dividend	L	T					
2. Abbvie, Inc.	C	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. Exxon Mobil Corp.	D	Dividend	M	T					
7. General Electric Co.	C	Dividend	L	T					
8. General Mills, Inc.	C	Dividend	L	T					
9. Home Depot, Inc.	D	Dividend	N	T					
10. Intel Corp.	D	Dividend	M	T					
11. Johnson & Johnson	C	Dividend	M	T					
12. J.P. Morgan Chase & Co.	D	Dividend	N	T					
13. Kraft Heinz Co.	A	Dividend	K	T					
14. Minnesota Mining & Mfg. Co.	C	Dividend	M	T					
15. Mondelez Int'l., Inc.	A	Dividend	K	T					
16. Motorola Solutions, Inc.	A	Dividend	K	T					
17. Pepsico, Inc.	D	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 –\$250,000,001 - \$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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☐ 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 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. Philip Morris Int'l., Inc.	D	Dividend	M	T					
19. Vanguard High Dividend Yield ETF	D	Dividend	N	T					
20. Vanguard High Dividend Yield ETF	D	Dividend	N	T					
21. Walt Disney Co.	C	Dividend	M	T					
22. Yum Brands, Inc.	A	Dividend	L	T					
23. Yum China Holdings, Inc.	A	Dividend	K	T					
24. DWS Strategic Gov. SEC Fund	B	Interest	L	T	Sold (part)	12/01/17	J	A	
25. DWS GNMA Fund - S	B	Interest	K	T	Sold (part)	12/01/17	J	A	
26. Edgartown Water Co.		None	J	W					
27. Mainbocher, Inc.		None	J	W					
28. Evergreen Money Fund	A	Interest	J	T					
29. Fidelity Contra Fund	B	Dividend	M	T	Sold (part)	12/01/17	J	B	
30. Vanguard Int.-Term Tax-Exempt Fund Adm. Shares Bond Fund	D	Dividend	M	T					
31. Vanguard Ltd.-Term Tax-Exempt Fund Adm. Shares Bond Fund	C	Dividend	M	T					
32. Vanguard Dividend Growth Fund	D	Dividend	O	T					
33. Williams 79 Associates		None	J	W					
34. TRUST #1:									

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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☐ 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. Deutsche Bank Trust Co. Tax-Free Income Fund	B	Dividend	K	T					
36. Deutsche Bank Trust Co. International Fund	A	Dividend	K	T					
37. Deutsche Bank Trust Co. U.S. Large Capitalization Value Fund	C	Dividend	M	T	Sold (part)	08/15/17	J	A	
38. Deutsche Bank Trust Co. High Income Fund Class A	A	Dividend	L	T	Sold	08/07/17	J		Loss
39. Deutsche Bank Trust Co. Money Market Deposit Account	A	Interest	J	T					
40. TRUST #2:									
41. American Express Co.	A	Dividend	K	T					
42. BP PLC	B	Dividend	K	T					
43. Kimberly Clark Corp.	C	Dividend	M	T					
44. Pfizer, Inc.	A	Dividend	K	T					
45. Raytheon Co.	B	Dividend	M	T					
46. Fidelity Contra Fund	A	Dividend	L	T					
47. Deutsche Bank Trust Co. U.S. Large Capitalization Growth Fund	D	Dividend	N	T	Sold (part)	04/17/17	K	A	
48. Deutsche Bank Trust Co. Tax-Free Income Fund	D	Dividend	M	T					
49. Deutsche Bank Trust Co. Money Market Deposit Account	A	Interest	K	T					
50. TRUST #3:									
51. Deutsche Bank Trust Co. U.S. Small Capitalization 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	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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52. Deutsche Bank Trust Co. Tax-Free Income Fund	B	Dividend	K	T					
53. Deutsche Bank Trust Co. International Fund	A	Dividend	K	T					
54. Deutsche Bank Trust Co. U.S. Large Capitalization Value Fund	D	Dividend	N	T	Sold (part)	11/30/17	J	A	
55. Deutsche Bank Trust Co. High Income Fund Class A	A	Dividend	J	T					
56. I Shares MSCI Emerging Markets Index Fund	A	Dividend	K	T					
57. I Shares Cohen & Steers REIT ETF	A	Dividend	J	T					
58. Deutsche Bank Trust Co. Money Market Deposit Account	A	Dividend	J	T					
59. TRUST #4:									
60. American Express Co.	B	Dividend	M	T					
61. BP PLC	B	Dividend	K	T					
62. General Electric Co.	A	Dividend	K	T					
63. Merck & Co., Inc.	B	Dividend	L	T					
64. Procter & Gamble Co.	B	Dividend	L	T					
65. Deutsche Bank Trust Co. International Fund	B	Dividend	L	T					
66. Deutsche Bank Trust Co. Taxable Income Fund	D	Dividend	N	T					
67. Deutsche Bank Trust Co. High Income Fund-Insured	B	Dividend	K	T					
68. I Shares U.S. Treasury Inflation Protected Securities Fund	A	Dividend	K	T					

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69. Para-metrics Emerging Markets Fund	A	Dividend	K	T					
70. Deutsche Bank Trust Co. U.S. Large Capitalization Value Fund	B	Dividend	M	T					
71. Deutsche Bank Trust Co. Money Market Deposit Account	A	Interest	K	T					
72.									
73.									
74.									
75.									
76.									

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

ADDITIONAL INFORMATION WITH RESPECT TO PART VII OF THIS REPORT:

1. Items 1-18, 21-23, 26, 27, 41-45, and 60-64 are common stock holdings.
2. Items 19, 20, 24, 25, 29-32, 46, 56, 57, 68, and 69 are mutual funds.
3. Items 28, 39, 49, 58, and 71 are in the nature of money market accounts.
4. Items 36-38, 47, 51, 53-55, 65-67 and 70 are mutual funds managed by Deutsche Bank Trust Co.
5. Items 35, 48, and 52 are tax-free securities funds managed by Deutsche Bank Trust Co.
6. Item 33 is a real estate partnership.
7. "() Denotes holding () .

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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/ 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