

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) Gale, Joseph H.	2. Court or Organization U.S. Tax Court	3. Date of Report 05/15/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Judge - 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 U.S. Tax Court 400 Second St., N.W. Washington, D.C. 20217		
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	Trust #1
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.		
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.)

SOURCE	DESCRIPTION	VALUE
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.)

CREDITOR	DESCRIPTION	VALUE CODE
1. U.S. Senate Federal Credit Union	Credit Lines	J
2. Charles Schwab & Co., Inc.	Margin Loan ()	J
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. DuPont E.I.deNemours Co. common stock	A	Dividend	K	T					
2. Vertex Pharmaceuticals, Inc. common stock		None	M	T					
3. Wells Fargo & Co. New common stock	A	Dividend	J	T	Sold (part)	12/28/16	J	A	
4. Intel Corp. common stock	B	Dividend	L	T					
5. Cisco Systems, Inc. common stock	B	Dividend	L	T					
6. Trust #1									
7. - Rental Property #1, Smithfield, VA \$222,300	E	Rent		S					
8. - Rental Property #2, Smithfield, VA \$217,200	E	Rent		S					
9. - CAIBX mutual fund	B	Dividend	K	T					
10. - FRDPX mutual fund	A	Dividend	K	T					
11. - AMECX mutual fund	B	Dividend	K	T					
12. - Rental property #3, Smithfield, VA \$363,900	E	Rent		S					
13. Express Scripts Holding Co.		None	J	T					
14. CA Water Service Group common stock	A	Dividend			Sold	06/08/16	J	C	
15. Chevron Corp. common stock	D	Dividend	M	T					
16. Teradata Corp DEL common stock (Y)									
17. Invesco Van Kampen Comstock Fund Class C mutual fund	A	Int./Div.			Sold	06/08/16	J	C	

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 - \$500,000.000	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 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. Invesco Van Kampen Hi Yield Mun. Fund Class A mut. fund	A	Int./Div.	J	T					
19. Achillion Pharma Inc. common stock		None	J	T					
20. Agilent Technologies Inc. common stock	A	Dividend	J	T					
21. Akamai Technologies common stock		None			Sold	07/26/16	K	A	
22. Apple Inc. common stock	C	Dividend	N	T					
23. Exxon Mobil Corp. common stock	C	Dividend	M	T					
24. McDonalds Corp. common stock	C	Dividend	M	T					
25. Oracle Corp. common stock	A	Dividend	L	T					
26. Pfizer Corp. common stock	B	Dividend	K	T					
27. Inherited IRA-Charles Schwab & Co., Inc.									See note Sec. VIII
28. - Achillion Pharma Inc. common stock		None	J	T					
29. - Akamai Technologies common stock		None	K	T					
30. - Alibaba Group Hldg FADR		None	K	T					
31. - Amazon Com. Inc. common stock		None	M	T					
32. - Apple Inc. common stock	D	Dividend	N	T					
33. - Facebook Inc. Class A common stock		None	L	T					
34. - Fire Eye Inc. common stock		None	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 \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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35. - Gilead Sciences Inc. common stock	A	Dividend	K	T					
36. - GoPro Inc. common stock		None	K	T					
37. - Vertex Pharmaceuticals common stock		None	K	T					
38. Century Link Inc. common stock	A	Dividend			Sold (part)	07/06/16	J	A	
39.					Sold	07/12/16	J	A	
40. Altria Group Inc. common stock	B	Dividend	K	T					
41. Amer Electric Pwr Co. Inc. common stock	A	Dividend	J	T					
42. BB&T Corp. common stock	A	Dividend	K	T					
43. Bristol-Myers Squibb Co. common stock		None			Sold	03/28/16	J	A	
44. Communications Sales common stock	A	Dividend	J	T					
45. Gilead Sciences Inc. common stock	A	Dividend	K	T					
46. GoPro Inc. common stock		None			Sold	06/08/16	J	A	
47. Imperial TOB Gp PLC ADRF common stock	A	Dividend	J	T					
48. Kraft Heinz Co. common stock	A	Dividend			Sold	03/28/16	J	A	
49. Medtronic Inc. common stock	A	Dividend	J	T					
50. Mondelez Int'l Inc. CLA common stock	A	Dividend	J	T					
51. Norfolk Southern Corp. common stock	B	Dividend	L	T					

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52. Reynolds American Inc. common stock	A	Dividend	K	T					
53. Sprint Corp common stock		None	J	T	Sold (part)	07/12/16	J	A	
54. Suntrust Banks Inc. common stock	A	Dividend	J	T					
55. Verizon Communications common stock	B	Dividend	K	T					
56. Whole Foods Market common stock		None			Sold	03/09/16	J	A	
57. Invesco High Yield Fund Class A mutual fund	A	Dividend	J	T					
58. American Fund Europacific mutual fund	A	Dividend	J	T					
59. American Fund Income Fund mutual fund	A	Dividend	J	T					
60. Keysight Technologies common stock		None	J	T					
61. Charles Schwab & Co. Roth IRA	A	Interest	J	T					
62. Charles Schwab & Co. Inherited IRA									See note Sec. VIII.
63. - Citigroup Inc. subordinated notes	A	Interest	J	T					
64. - AT&T Inc. common stock	A	Dividend	J	T					
65. - Bank of America Corp. common stock	A	Dividend	J	T					
66. - Facebook Inc. Class A common stock		None	K	T					
67. - Johnson & Johnson common stock	A	Dividend	J	T					
68. - Medtronic Inc. common stock	A	Dividend	J	T					

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69. - Proctor & Gamble Co. common stock	A	Dividend	J	T					
70. NCR Corp. (X)		None	J	T					See note Sec. VIII.
71. Charles Schwab & Co. Rollover IRA									See note Sec. VIII.
72. - Akamai Technologies common stock		None			Buy	07/29/15	K		See note Sec. VIII.
73.					Sold	07/29/15	K	A	See note Sec. VIII.
74. - Whole Foods Market common stock	A	Dividend	J	T	Buy	07/30/15	J		See note Sec. VIII.
75. - Fire Eye Inc. common stock		None	J	T	Buy	07/31/15	J		See note Sec. VIII.
76. - Apple Inc. common stock	A	Dividend	J	T	Buy	08/24/15	J		See note Sec. VIII.
77.									
78.									
79.									
80.									

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

Section VII. Investments and Trusts

27. Inherited from [REDACTED] in 2016.

62. Incorrectly labelled "rollover" IRA in previous report.

70. Increased above reporting thresholds at year end 2016.

71. Inadvertently omitted from previous report.

72. Inadvertently omitted from previous report.

73. Inadvertently omitted from previous report.

74. Inadvertently omitted from previous report.

75. Inadvertently omitted from previous report.

76. Inadvertently omitted from previous report.

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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/ **Joseph H. Gale**

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