

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) Pryor, Jr., William H.	2. Court or Organization United States Court of Appeals	3. Date of Report 5/08/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Circuit Judge - Active	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 1729 Fifth Avenue North Suite 900 Birmingham, AL 35203		
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.	Visiting Professor	University of Alabama School of Law
2.	Adjunct Professor	Cumberland School of Law, Samford University
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

Pryor, Jr., William H.

Date of Report

5/08/2018

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. 2017	University of Alabama School of Law	\$12,000.00
2. 2017	Cumberland School of Law, Samford University	\$7,500.00
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. 2017	SELF-EMPLOYED ACCOUNTANT
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. Yale Law School	February 10-12, 2017	New Haven, CT	Panel Member, Celebrating Justice Thomas's 25 Years on the Supreme Court	Transportation, Lodging, and Meals
2. The Federalist Society	March 3- 4, 2017	New York, NY	Panel Moderator, National Student Symposium, Columbia Law School	Transportation, Lodging, and Meals
3. American Bar Association	March 9, 2017	Miami, FL	Panel Moderator, 31st Annual National Institute on White Collar Crime	Transportation and Meals
4. Texas Review of Law & Politics	April 21-23, 2017	Austin, TX	2017 Twentieth Annual Banquet	Transportation, Lodging and Meals (including my spouse)

FINANCIAL DISCLOSURE REPORT

Page 3 of 10

Name of Person Reporting

Pryor, Jr., William H.

Date of Report

5/08/2018

5.	Charles Koch Institute	May 16-17, 2017	Washington, DC	Keynote Speaker, Behind the Bench: The Past, Present, and Future of Fed. Sentencing	Transportation, Lodging, and Meals
6.	Witherspoon Institute	August 1-2, 2017	New York, NY	Presentation to the Witherspoon Institute	Transportation, Lodging, and Meals
7.	George Mason University Antonin Scalia Law School	September 15-16, 2017	Washington, DC	Keynote Speaker, Tenth Annual Transatlantic Law Forum	Transportation, Lodging, and Meals
8.	The Federalist Society	September 22-24, 2017	Nashville, TN	Keynote Speaker, Vanderbilt Law School	Transportation, Lodging, and Meals
9.	The American Law Institute	October 25-26, 2017	Philadelphia, PA	Advisors Meeting, Restatement 3rd on Conflicts	Transportation, Lodging, and Meals
10.	The Federalist Society	October 26-29, 2017	Columbus, OH	Deliver Lecture, Lawyers' Chapter	Transportation, Lodging, and Meals
11.	New York University School of Law	November 2-3, 2017	New York, NY	Deliver the Hayek Lecture	Transportation, Lodging, and Meals
12.	The William F. Buckley Jr Program at Yale	November 3, 2017	New Haven, CT	Deliver Opening Address to The William Buckley Jr. Program at Yale, 7th Annual Conf.	Transportation and Meals
13.	The Federalist Society	November 15-18, 2017	Washington, DC	Panel Moderator, 2017 National Lawyers Convention	Transportation, Lodging, and Meals
14.	The University of Alabama School of Law	August 14, 2017 - November 20, 2017	Tuscaloosa, AL	Professor - Legislation: Special Problems in Statutory Interpretation	Transportation

FINANCIAL DISCLOSURE REPORT

Page 4 of 10

Name of Person Reporting

Pryor, Jr., William H.

Date of Report

5/08/2018

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.			

FINANCIAL DISCLOSURE REPORT

Page 5 of 10

Name of Person Reporting

Pryor, Jr., William H.

Date of Report

5/08/2018

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 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)

1. IRA #1 (H)									
2. - FIDELITY SELECT RETAILING	A	Dividend			Sold	07/24/17	K	C	
3. - FIDELITY OTC PORT	B	Dividend	K	T	Buy	07/24/17	K		
4. IRA #2 (H)									
5. - FIDELITY BLUE CHIP GROWTH	C	Dividend	L	T					
6. - FIDELITY IT SERVICES PORTFOLIO	B	Dividend	L	T					
7. - FIDELITY GOVERNMENT CASH RESERVES(Y)									
8. - CLEARBRIDGE SMALL CAP FUND CLASS A	B	Dividend	K	T	Buy	01/03/17	K		
9. - FIDELITY LARGE CAP VALUE ENHANCED INDEX	B	Dividend	K	T					
10. - FIDELITY NASDAQ COMPOSITE INDEX	A	Dividend	K	T					
11. - FIDELITY SELECT CHEMICALS	B	Dividend	K	T					
12. IRA #3 (H)									
13. - FIDELITY STRATEGIC DIVIDEND & INCOME	C	Dividend			Sold (part)	07/19/17	K	A	
14.					Sold	07/24/17	K	C	
15. - FIDELITY OTC PORT	B	Dividend	L	T	Buy	07/24/17	K		
16. - FIDELITY NASDAQ COMPOSITE INDEX	A	Dividend	K	T	Buy	07/19/17	K		
17. IRA #4 (H)									

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

Pryor, Jr., William H.

Date of Report

5/08/2018

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. -FIDELITY NASDAQ COMPOSITE INDEX	A	Dividend	L	T					
19. -FIDELITY REAL ESTATE	B	Dividend			Sold	02/15/17	K	D	
20. -FIDELITY SELECT ENERGY	A	Dividend			Sold	05/02/17	K	A	
21. -FIDELITY SELECT SEMICONDUCTORS PORT	D	Dividend	L	T	Buy (add'l)	01/18/17	K		
22. -FIDELITY GOVERNMENT CASH RESERVES(Y)									
23. -FIDELITY BLUE CHIP GROWTH	A	Dividend	K	T	Buy	05/26/17	K		
24. -FIDELITY CONTRAFUND	B	Dividend	K	T	Buy	05/26/17	K		
25. -FIDELITY SMALL CAP GROWTH	B	Dividend	K	T	Buy	01/18/17	K		
26. -FIDELITY SELECT CHEMICALS	B	Dividend	K	T	Buy	01/18/17	K		
27. -FIDELITY SELECT MATERIALS	B	Dividend	K	T	Buy	01/18/17	K		
28. -FIDELITY STOCK SELECTOR	B	Dividend	K	T	Buy	01/18/17	K		
29. -FIDELITY TREND	B	Dividend	K	T	Buy	01/18/17	K		
30. -FIDELITY SELECT MEDICAL EQUIP&SYSTEMS	C	Dividend	L	T	Buy	02/15/17	K		
31. IRA #7 (H)									
32. -FIDELITY OTC PORTFOLIO	B	Dividend	K	T					
33. -FIDELITY TOTAL EMERGING MARKETS	A	Dividend	K	T					
34. BROKERAGE ACCT #1 (H) (Y)									

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 10

Name of Person Reporting

Pryor, Jr., William H.

Date of Report

5/08/2018

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. -FIDELITY CASH(Y)									
36. -AMERICAN BALANCED CLASS F1 (Y)									
37. -FIDELITY SMALL CAP ENHANCED INDEX FUND (Y)									
38. BROKERAGE ACCT #2 (H)									
39. -FIDELITY CASH (Y)									
40. -FIDELITY SMALL CAP ENHANCED INDEX FUND	A	Dividend			Buy (add'l)	02/14/17	J		
41.					Sold	04/19/17	K	A	
42. -FIDELITY SELECT SEMICONDUCTORS PORT	C	Dividend	K	T	Buy (add'l)	07/18/17	J		
43. -FIDELITY CAPITAL & INCOME	A	Dividend	J	T					
44. -FIDELITY LARGE CAP VALUE ENHANCED INDEX	A	Dividend	J	T					
45. -FIDELITY SELECT TECHNOLOGY	B	Dividend	K	T	Buy	05/26/17	K		
46.					Buy (add'l)	07/25/17	J		
47. WARREN AVERITT, LLC PROFIT SHARING PLAN (H)									
48. -AQR MANAGED FUTURES STRATEGY FUND		None			Sold	08/22/17	J		
49. -BOSTON PARTNERS ROBECO LONG/ SHORT RESEARCH		None			Sold	08/22/17	J	A	
50. -DFA INTERNATIONAL SMALL COMPANY I	B	Dividend	K	T	Sold (part)	08/22/17	J	D	
51. -DFA INTERNATIONAL VALUE I	B	Dividend	L	T	Sold (part)	08/22/17	K	D	

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 10

Name of Person Reporting

Pryor, Jr., William H.

Date of Report

5/08/2018

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. -DFA US MICRO CAP I	A	Dividend			Sold	08/22/17	J		
53. -JPMORGAN STRATEGIC INCOME OPPORTUNITIES FUND	A	Dividend			Sold	08/22/17	J	A	
54. -MELLON STABLE VALUE FUND	A	Dividend	K	T	Buy (add'l)	08/22/17	J		
55. -MERGER INVESTOR		None			Sold	08/22/17	J	A	
56. -OPPENHEIMER STEEL PATH MLP ALPHA	A	Dividend			Sold	08/22/17	J		
57. -VANGUARD EMERGING MKTS STOCK IDX.	B	Dividend	K	T	Sold (part)	08/22/17	J	D	
58. -VANGUARD GROWTH INDEX ADM	A	Dividend	L	T	Buy (add'l)	08/22/17	K		
59. -VANGUARD INTERM-TERM CORPORATE BOND	A	Dividend	J	T	Sold (part)	08/22/17	J	A	
60. -VANGUARD MID-CAP GROWTH INDEX ADM	A	Dividend	K	T	Sold (part)	08/22/17	J	D	
61. -VANGUARD MID-CAP VALUE INDEX ADM	A	Dividend	K	T	Sold (part)	08/22/17	J	D	
62. -VANGUARD SMALL CAP GROWTH INDEX ADM	A	Dividend	K	T	Sold (part)	08/22/17	J	C	
63. -VANGUARD SMALL CAP VALUE INDEX ADM	A	Dividend	K	T	Buy (add'l)	08/22/17	J		
64. -VANGUARD TOTAL BOND MARKET INDEX ADM	A	Dividend	K	T	Buy (add'l)	08/22/17	K		
65. -VANGUARD VALUE INDEX ADM	B	Dividend	M	T	Buy (add'l)	08/22/17	L		
66. BBVA COMPASS BANK - A/C #1	A	Interest	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 \$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 10

Name of Person Reporting

Pryor, Jr., William H.

Date of Report

5/08/2018

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

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

Pryor, Jr., William H.

Date of Report

5/08/2018

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/ William H. Pryor, Jr.

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