

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)

|                                                                                                                                                                                                               |                                                                                                                                                                                                                                                                                          |                                                                  |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting</b> (last name, first, middle initial)<br><br>Rogers, Judith W.                                                                                                                        | <b>2. Court or Organization</b><br><br>U.S.Court of Appeals for the D.C. Circuit                                                                                                                                                                                                         | <b>3. Date of Report</b><br><br>04/30/2018                       |
| <b>4. Title</b> (Article III judges indicate active or senior status;<br>magistrate judges indicate full- or part-time)<br><br>Active                                                                         | <b>5a. Report Type</b> (check appropriate type)<br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final<br><b>5b.</b> <input type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br><br>01/01/2016<br>to<br>12/31/2016 |
| <b>7. Chambers or Office Address</b><br><br>U.S. Court of Appeals for the D.C. Circuit<br>333 Constitution Av., N.W.<br>Washington, D.C. 20001                                                                |                                                                                                                                                                                                                                                                                          |                                                                  |
| <p align="center"><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts,<br/>checking the NONE box for each part where you have no reportable information.</p> |                                                                                                                                                                                                                                                                                          |                                                                  |

## I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☒ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

|    |  |  |
|----|--|--|
| 1. |  |  |
| 2. |  |  |
| 3. |  |  |
| 4. |  |  |
| 5. |  |  |

## II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

|    |  |
|----|--|
| 1. |  |
| 2. |  |
| 3. |  |

**FINANCIAL DISCLOSURE REPORT**

Page 2 of 7

Name of Person Reporting

Rogers, Judith W.

Date of Report

04/30/2018

**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.)*

| DATE    | SOURCE AND TYPE         | INCOME<br>(yours, not spouse's) |
|---------|-------------------------|---------------------------------|
| 1. 2016 | Judge's Retirement Fund | \$104,532.27                    |
| 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.)*

| DATE | SOURCE 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.)*

| SOURCE                      | DATES     | LOCATION          | PURPOSE                             | ITEMS PAID OR PROVIDED        |
|-----------------------------|-----------|-------------------|-------------------------------------|-------------------------------|
| 1. American Bar Association | 8/5 - 8/8 | San Francisco, CA | To receive ABA Margaret Brent Award | airplane, taxis, hotel, lunch |
| 2.                          |           |                   |                                     |                               |
| 3.                          |           |                   |                                     |                               |
| 4.                          |           |                   |                                     |                               |
| 5.                          |           |                   |                                     |                               |

**FINANCIAL DISCLOSURE REPORT**

Page 3 of 7

Name of Person Reporting

Rogers, Judith W.

Date of Report

04/30/2018

**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 7

Name of Person Reporting

Rogers, Judith W.

Date of Report

04/30/2018

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 1. SunTrust Bk.                                                                                                             | A                                       | Interest                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 2. Cash at Pershing                                                                                                         | A                                       | Interest                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 3. Am.Fds: Inv. Co. of Amer.                                                                                                | E                                       | Dividend                                      | N                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 4. Am.Fds.: Wash. Mut. Inv. Fd.                                                                                             | E                                       | Dividend                                      | N                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 5. Am.Fds.: New Persp. Fd.                                                                                                  | D                                       | Dividend                                      | N                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 6. Am.Fds.: Growth Fd. Amer.                                                                                                | E                                       | Dividend                                      | O                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 7. Vanguard Small Cap Value Index                                                                                           | B                                       | Dividend                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 8. Am.Fds: New World Fund                                                                                                   | B                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 9. Am.Fds: Capital World Bond Fd                                                                                            | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 10. Am.Skd: T.Rowe Price Lg Cap Growth                                                                                      | A                                       | Dividend                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 11. Am.Skd: Loomis Sayles Lg Cap Grwth                                                                                      | A                                       | Dividend                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 12. Am.Skd: Goldman Sachs Sm Cap Val                                                                                        | A                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 13. Am.Skd: Internat'l Growth                                                                                               | A                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 14. Am.Skd: Herndon Lg Cap Value                                                                                            | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 10/17/16                | L                               |                                |                                                                   |
| 15. Am. Skd:T.Rove Price Lg Cap Value                                                                                       | A                                       | Dividend                                      | L                                               | T                                         | Buy                                             | 10/18/16                | L                               |                                |                                                                   |
| 16. Am.Skd: Wells Fargo Adv. VT Small Cap Grth Class I                                                                      | A                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 17. Am.Skd: Goldman Sachs Lg Cap Value                                                                                      | A                                       | Dividend                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                  | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$5,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                          | T = Cash Market                                              |                         |

# FINANCIAL DISCLOSURE REPORT

Page 5 of 7

Name of Person Reporting

Rogers, Judith W.

Date of Report

04/30/2018

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code I<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                                |   |          |   |   |                |          |   |  |  |
|------------------------------------------------|---|----------|---|---|----------------|----------|---|--|--|
| 18. Vanguard Intrm. Tax Exempt Admrl Class     | C | Dividend | M | T | Buy<br>(add'l) | 11/07/16 | K |  |  |
| 19. Loomis Sayles Global Bond                  | A | Dividend | K | T |                |          |   |  |  |
| 20. T.Rowe Price New Horizons                  | C | Dividend | L | T |                |          |   |  |  |
| 21. First Eagle Overseas                       | D | Dividend | M | T |                |          |   |  |  |
| 22. Vanguard Emerging Market ETF               | B | Dividend | L | T |                |          |   |  |  |
| 23. T.Rowe Price Real Estate                   | C | Dividend | M | T | Buy<br>(add'l) | 11/07/16 | J |  |  |
| 24. Am.Fds.: Inc. Fd. Am (IRA)                 | D | Dividend | M | T | Sold<br>(part) | 07/25/16 | J |  |  |
| 25. Vanguard Extended Markets Index            | C | Dividend | M | T |                |          |   |  |  |
| 26. Vanguard Growth Index                      | C | Dividend | M | T | Buy<br>(add'l) | 11/07/16 | K |  |  |
| 27. Vanguard Value Index                       | D | Dividend | M | T | Buy<br>(add'l) | 11/07/16 | K |  |  |
| 28. Vanguard Small Cap Index                   | A | Dividend | J | T |                |          |   |  |  |
| 29. Vanguard Total International Index Admiral | B | Dividend | L | T | Buy<br>(add'l) | 11/07/16 | J |  |  |
| 30. Energy Select Sector ETF                   | B | Dividend | L | T |                |          |   |  |  |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|-------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                   | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$50,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                           | T = Cash Market                                              |                         |

**FINANCIAL DISCLOSURE REPORT**

Page 6 of 7

Name of Person Reporting

**Rogers, Judith W.**

Date of Report

04/30/2018

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

Part III. Net income reported.

Part VII. This 2016 Financial Disclosure Report has been amended to reflect that a subadvisor had been replaced within my annuity on 10/17/16. The Am. Skd: Herndon Lg Cap Value Fund (Line 14) was replaced with Am.Skd: T, Rowe Lg Cap Balue (Line 15).

# FINANCIAL DISCLOSURE REPORT

Page 7 of 7

Name of Person Reporting

Rogers, Judith W.

Date of Report

04/30/2018

## 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/ **Judith W. Rogers**

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