

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) Davis, Andre M.	2. Court or Organization Court of Appeals for the Fourth Circuit	3. Date of Report 05/12/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Senior Circuit Judge	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 Courthouse 101 W. Lombard Street Baltimore, MD 21201		
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.	Member	University of MD School of Law Board of Visitors
2.	Instructor	National Judicial College
3.	Member of the Faculty Council	National Judicial College
4.	Director	Open Society Institute-Baltimore
5.	Member of the Board	Baltimore Urban Debate League, Inc.
6.	Member of the Board	Community Law in Action, Inc.
7.	Member of the Death Penalty Due Process Steering Committee	American Bar Association
8.	Member	Network on Neuroscience and the Law

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 8

Name of Person Reporting

Davis, Andre M.

Date of Report

05/12/2017

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.)*

DATE	SOURCE AND TYPE	INCOME (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.)*

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.	MacArthur Foundation	January 13-15, 2016	Salem, OR	Guest Speaker	Transportation, Lodging, and Food
2.	MacArthur Foundation	February 29-March 2, 2016	Half Moon Bay, CA	Meeting of Research Network	Transportation, Lodging, and Food
3.	Northwestern Univ. Law School	March 3-4, 2016	Chicago, IL	Moot Court	Transportation, Lodging, and Food
4.	University of Michigan Law School	March 8, 2016	Ann Arbor, MI	Guest Lecturer	Transportation, Lodging, and Food
5.	American Bar Association	March 31-April 2, 2016	Austin, TX	Legal Seminar on Death Penalty	Transportation, Lodging, and Food

FINANCIAL DISCLOSURE REPORT

Page 3 of 8

Name of Person Reporting

Davis, Andre M.

Date of Report

05/12/2017

6.	MacArthur Foundation	April 28-29, 2016	Albuquerque, NM	ABA Section Meeting	Transportation, Lodging, and Food
7.	American Bar Association	May 12-13, 2016	Atlanta, GA	Spring Section Meeting	Transportation, Lodging, and Food
8.	National Judicial College	June 16-17, 2016	Las Vegas, NV	Faculty Council Meeting	Transportation, Lodging, and Food
9.	Just the Beginning Foundation	September 15-18, 2016	New York, NY	Biennial Meeting of Non-Profit Foundation	Transportation, Lodging, and Food
10.	University of Tennessee Law School	October 20-21, 2016	Knoxville, TN	Moot Court	Transportation, Lodging, and Food
11.	New York University School of Law	November 11-13, 2016	New York, NY	Seminar on International Law	Transportation, Lodging, and Food
12.	MacArthur Foundation	November 14-17, 2016	San Diego, CA	Meeting of Research Network	Transportation, Lodging, and Food

FINANCIAL DISCLOSURE REPORT

Page 4 of 8

Name of Person Reporting

Davis, Andre M.

Date of Report

05/12/2017

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.	Sovereign Bank	Mortgage on Rental Property/ Eastham, MA	O
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 5 of 8

Name of Person Reporting

Davis, Andre M.

Date of Report

05/12/2017

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 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. Citibank Accounts(Y)									
2. Capital One Accounts(Y)									
3. Bank of America Accounts	A	Interest	K	T					
4. American Express Bank Account	A	Interest	L	T					
5. JPMorgan LiquidAssetsMoneyMarket(Y)									
6. Lines 7 to 10 report EXCHANGE TRADED FUNDS (H)									
7. Fidelity MSCI Health Care Index	A	Dividend	J	T					
8. iShares S& P 500 Growth ETF	A	Dividend			Sold	12/30/16	K		
9. iShares Silver Trust(Y)									
10. Technology Select Sector SPDR Fund(Y)									
11. Lines 12 to 14 report Common Stock (H)									
12. Verizon	A	Dividend			Sold	12/30/16	J		
13. Sun Edison		None			Sold	12/23/16	J		
14. Gamco Global Gold, Nat Resources	A	Dividend	J	T					
15. Lines 16 to 21 report MUTUAL FUNDS (H)									
16. Davis NY Venture Fund Class C(Y)									
17. Europacific Growth Fund Class A(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 6 of 8

Name of Person Reporting

Davis, Andre M.

Date of Report

05/12/2017

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)

18. T Rowe Price Growth(Balance) Fund	C	Distribution	K	T					
19. T Rowe Price Blue Chip Growth Fund	B	Distribution	K	T	Redeemed (part)	12/27/16	K		
20. T Rowe Price Equity Income Fund	B	Distribution	K	T					
21. T Rowe Price MD Tax Free Bond Fund	A	Int./Div.	K	T					
22. Rental Property--Eastham, MA	E	Rent	P1	W					
23. Trust No. 1 This is an income beneficiary trust.	E	Distribution	P1	W					

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 7 of 8

Name of Person Reporting

Davis, Andre M.

Date of Report

05/12/2017

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

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

Davis, Andre M.

Date of Report

05/12/2017

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/ Andre M. Davis**

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