

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) Randolph, Arthur R.	2. Court or Organization U.S. Court of Appeals/D.C. Cir	3. Date of Report 08/21/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) 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 U.S. Court of Appeals/D.C. Cir 333 Constitution Avenue, N.W. Washington, D.C. 20001-2866		
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.)

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.	

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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.)*

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. 2017

Practice of Law

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. Administrative Office of the
U.S. Courts

3/10/17-3/12/17

New York, NY

Second Circuit's 125th
Anniversary panel
discussion on Judge Henry
J. Friendly

transportation, food, lodging

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.		
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. Money Market at Smith Barney & Merrill Lynch	A	Interest	L	T					
2. 401(K) - World Bond Fund - American Funds	A	Dividend	K	T					
3. 401(K) - Pimco High Income	A	Dividend	J	T					
4. 401(K) - Dur. Inc. Fund - Eaton Vance	C	Dividend	K	T					
5. 401(K) - Pimco Real Ret.	A	Dividend	K	T					
6. Pillsbury Retirement Savings Plan - Fidelity PYR INX LFC	E	Dividend	O	T					
7. ML & Co. Str. ACC - Am Cap. Growth	A	Dividend	L	T					
8. Blackrock Gov't & Cap.	A	Dividend	J	T					
9. Citibank - Savings	A	Interest	K	T					
10. 401(K) - U.S. Gov't - American	A	Dividend	J	T					
11. 401(K) - Eaton Vance - Floating	A	Dividend	J	T					
12. 401(K) Fidelity - Floating	A	Dividend	K	T					
13. 401(K) - Gov't Goldman Sachs	A	Dividend	J	T					
14. 401(K) - Adv. Fidelity Int	A	Dividend	J	T					
15. Mutual Fund - Franklin TOT. - A	A	Dividend	J	T					
16. Mutual Fund - Putnam - Absolute Ret. 300	B	Dividend	K	T					
17. Mutual Fund - Sun Am Senior - Now AIG - name change	A	Dividend	K	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 \$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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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				
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18. Mutual Fund - Temp. Global	A	Dividend	K	T					
19. 401(K) Mutual Fund - ClearBridge	C	Dividend	L	T	Buy	05/23/17	K		
20. 401(K) - Tortoise MLP	B	Dividend	J	T					
21. 401(K) - Bank of Am.	A	Dividend	K	T					
22. M - I Shares Silver	A	Dividend	J	T					
23. 401(K) - John Hancock Rainer	A	Dividend	K	T					
24. 401(K) - Blackrock Cap.	A	Dividend	K	T					
25. 401(K) - Gabelli Gold Gamco	A	Dividend	J	T					
26. 401(K) - Am Global Bal.	A	Dividend	K	T					
27. 401(K) - Goldman Equity	A	Dividend	L	T	Buy	05/23/17	J		
28. Jt - JP Morgan Int. Tax	A	Dividend	K	T					
29. Jt - SPDR Gold	A	Dividend	J	T					
30. Jt - 1st Eagle Global	A	Dividend	K	T					
31. Jt - Am Infl. Bond	A	Dividend	K	T					
32. Jt. IShares Mun.	A	Dividend	K	T					
33. 401(K) - Am. High Inc.	B	Dividend	K	T					
34. 401(K) - Gold Am. Eagle		None	K	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 \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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35. 401(K) - Silver Am. Eagle		None	J	T					
36. SunAmerica - SR Floating Rate - Now AIG - name change	A	Dividend	K	T					
37. Pimco Commodity	A	Dividend	J	T					
38. Blackrock Global Sm. C.	A	Dividend	J	T					
39. Del. Small Cap.	A	Dividend	K	T					
40. Jt - I Shares High Div.	B	Dividend	K	T					
41. Jt - Vanguard Div. App.	A	Dividend	K	T					
42. Jt. - Goldman Inc.	A	Dividend	K	T					
43. Jt. - Ivy Sc. & Tech.	A	Dividend	K	T					
44. Jt. - Del. Div.	A	Dividend	K	T					
45. Jt. - Lord A. Multi-A	A	Dividend	K	T					
46. Jt. - Putnam Div.	A	Dividend	K	T					
47. JP Morgan Glb. Allo.	B	Dividend			Sold	05/23/17	M	C	
48. Blackrock Multi-A.	A	Dividend	K	T					
49. Capital One-Savings	A	Interest	J	T					
50. Goldman US Eq	A	Dividend	L	T					
51. Lord Ab. Flt	B	Dividend	K	T					

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52. Columbia Infl, Pro	A	Dividend	K	T					
53. Ivy Em. Mkt	A	Dividend	L	T	Buy	05/23/17	K		
54. Ab High Inc.	A	Dividend	K	T					
55. Legg Mason Core	A	Dividend			Sold	11/02/17	K	C	
56. Am Cent. Altern.	A	Dividend	K	T					
57. Angel Oak Mult.	B	Dividend	K	T	Buy	05/23/17	K		
58. Tortoise Pipe.	A	Dividend	K	T					
59. Columbia St. Inc.	B	Dividend	L	T	Buy	05/23/17	K		
60. Oppenheimer Emg Mk	C	Dividend	K	T	Buy	05/23/17	K		
61. Pioneer Fund. Growth	A	Dividend	J	T	Buy	05/23/17	J		
62.									
63.									
64.									
65.									
66.									
67.									
68.									

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69.									
70.									
71.									
72.									
73.									
74.									

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

Inadvertently listed Vanguard Div. App. twice on my 2013 report.

Please note that on this report two holdings of the same BlackRock mutual fund reported on my 2016 report (Part VII, lines 50 & 56) were consolidated on line 38 of Part VII.

Please note that on this report two holdings of the same JP Morgan mutual fund reported on my 2016 report (Part VII, lines 19 & 34) were consolidated on line 28 of Part VII.

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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/ **Arthur R. Randolph**

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
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Washington, D.C. 20544