

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) Friedman, Paul L.	2. Court or Organization U.S. District Court	3. Date of Report 06/27/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District 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. Courthouse, Rm. 6012 333 Constitution Ave. N.W. Washington, DC 20001		
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 and Secretary	American Law Institute: Member of the Council since 1998; member of the Executive Committee since 2001; Secretary since 2013
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2017	White & Case Retirement Income Pension Plan Administered by State Street Retiree Service - Pension Plan	\$22,509.00
2. 2017	Charles Schwab & Co., Inc., IRA Rollover Account - Required Minimum Distribution	\$163,000.00
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	Prudential Insurance Co of America - Retirement Plan Distribution
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. American Law Institute	01/18-01/20/2017	Philadelphia, PA	Meeting of ALI Council	Transportation, hotel, meals
2. American Bar Association	03/08-03/10/2017	Miami, FL	National Institute on White Collar Crime	Transportation, hotel, meals
3. American Bar Association	03/30/2017	Washington, DC	Antitrust Spring Meeting	Dinner for Judge Friedman & wife
4. American Law Institute	10/17-10/20/2017	New York, NY	Meeting of ALI Council	Transportation, hotel, meals
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.)*

<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1. Douglas Wheeler	Washington Performing Arts Gala for Judge Friedman and wife	\$400.00
2. Henry H. Kennedy, Jr	Dinner for Judge Friedman and wife	\$400.00
3. Peter Halle and Carolyn Lamm	Roundtrip airfare to Nantucket	\$1,300.00
4. Jane Ottenberg and Richard Creighton	David Lynch Foundation Dinner for Judge Friedman and wife	\$1,000.00
5. Pauline Schneider	Dinner and opening performance at Shakespeare Theatre for Judge Friedman and wife	\$400.00
6. Elizabeth Conahan and James Oldham	Concert for Judge Friedman and wife	\$500.00
7. Peter Halle and Carolyn Lamm	Kennedy Center Honors for Judge Friedman and wife	\$700.00
8. White and Case	Retirement dinner for former law firm colleague for Judge Friedman and wife	\$400.00

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.		

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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-I)	(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-I)	(5) Identity of buyer/seller (if private transaction)
1. BROKERAGE ACCOUNT (H)									
2. -Gabelli Small Cap Fund	D	Dividend	M	T					
3. -Gabelli Asset Fund	B	Dividend	K	T	Sold (part)	01/17/17	J	D	
4. -Harbor International	D	Dividend	M	T					
5. -iShares Cohen & Steers Realty Majors Index Fund	B	Dividend	L	T					
6. -iShares Russell 1000 Growth Index Fund	B	Dividend	M	T					
7. -iShares Russell 2000 Growth Index Fund	A	Dividend	L	T					
8. -iShares Russell 2000 Value Index Fund	B	Dividend	L	T					
9. -Brown Capital Mgmt Small Company Fund	B	Dividend	K	T					
10. -SPDR S&P Dividend Fund	C	Dividend	L	T					
11. -Vanguard Long Term Tax Exempt Fund	A	Dividend	K	T	Buy (add'l)	02/28/17	J		
12. -Vanguard Minicpal Bond Tax Exempt Fund	A	Dividend	L	T	Buy	01/19/17	K		
13.					Buy (add'l)	03/02/17	K		
14.					Buy (add'l)	12/02/17	K		
15. -SPDR Nuveen Bloomberg Barclays Short Term Tax Exempt Fund	A	Dividend	K	T	Buy	12/12/17	K		
16. IRA ACCOUNT #1 (H)									
17. -Longleaf Partners Small Cap Fund	D	Dividend	M	T					

1. Income Gain Codes:
(See Columns B1 and D4)

2. Value Codes
(See Columns C1 and D3)

3. Value Method Codes
(See Column C2)

A = \$1,000 or less

F = \$50,001 - \$100,000

J = \$15,000 or less

N = \$250,001 - \$500,000

P3 = \$25,000,001 - \$50,000,000

Q = Appraisal

U = Book Value

B = \$1,001 - \$2,500

G = \$100,001 - \$1,000,000

K = \$15,001 - \$50,000

O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)

V = Other

C = \$2,501 - \$5,000

H1 = \$1,000,001 - \$5,000,000

L = \$50,001 - \$100,000

P1 = \$1,000,001 - \$5,000,000

P4 = More than \$50,000,000

S = Assessment

W = Estimated

D = \$5,001 - \$15,000

H2 = More than \$5,000,000

M = \$100,001 - \$250,000

P2 = \$5,000,001 - \$25,000,000

T = Cash Market

E = \$15,001 - \$50,000

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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)
18. -PIMCo Real Return Fund	C	Dividend	M	T					
19. -Schwab Money Market Fund	A	Interest	K	T					
20. -Morgan Stanley US RE Fund	B	Dividend			Sold	10/16/17	M	A	
21. -American Funds EuroPacific Growth Fund	D	Dividend	M	T					
22. -T. Rowe Price Mid Cap Growth Fund	D	Dividend	M	T					
23. -Dodge & Cox Stock Fund	D	Dividend	M	T					
24. -First Eagle Global Fund	D	Dividend	M	T					
25. -Loomis Sayles Investment Gr Bond Fund	D	Dividend	M	T					
26. -Royce Special Equity Fund		None			Sold	10/16/17	L	D	
27. -T. Rowe Price Capital Appreciation Fund	D	Dividend	M	T					
28. -Vanguard PRIMECAP Core Fund	D	Dividend	N	T	Sold (part)	01/17/17	K	D	
29.					Sold (part)	11/20/17	K	E	
30. -Vanguard Small Cap Growth Index Fund		None			Sold	02/28/17	M	F	
31. -PRIMECAP Odyssey Stock Fund	A	Dividend	J	T	Sold (part)	10/16/17	K	E	
32. -T. Rowe Price Growth Stock Fund	D	Dividend	M	T					
33. -SPDR S&P Dividend Fund	C	Dividend	L	T					
34. -Dodge & Cox Income Fund	D	Dividend	N	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
H = \$1,000,001 - \$5,000,000 | D = \$5,001 - \$15,000
I = More than \$5,000,000 | E = \$15,001 - \$50,000
J = More than \$50,000,000 |
| 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				
	(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. -Goldman Sachs Bank CD	B	Interest			Matured	08/08/17	L	A	
36. -Goldman Sachs Bank CD	B	Interest	L	T					
37. -Gabelli Small Cap Growth Fund		None			Sold	02/28/17	K	C	
38. -Vanguard Corporate Bond Fund	D	Dividend	N	T	Buy (add'l)	01/19/17	L		
39.					Buy (add'l)	03/06/17	J		
40.					Buy (add'l)	08/17/17	K		
41.					Buy (add'l)	10/17/17	M		
42.					Sold (part)	11/21/17	L	A	
43. -Vanguard Dividend Appreciation Fund	C	Dividend	N	T					
44. -American Express CD	B	Interest	L	T					
45. -Goldman Sachs Bank CD	B	Interest	K	T					
46. -Synchrony Bank CD	B	Interest	L	T					
47. -JP Morgan Equity Income Fund	D	Dividend	M	T	Sold (part)	01/17/17	K	B	
48. -Schwab US Dividend Fund	D	Dividend	M	T	Sold (part)	10/17/17	K	D	
49. -iShares Core US Aggregate Bond Fund	D	Dividend	N	T	Buy (add'l)	08/17/17	K		
50. -American Funds New World Fund	B	Dividend	L	T					
51. -JPMorgan Chase Bank CD	B	Interest	M	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
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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
52. -iShares S&P Small Cap 600 Fund	A	Dividend	L	T	Buy	03/02/17	L		
53. -SPDR S&P 600 Small Cap Fund	B	Dividend	L	T	Buy	03/02/17	L		
54. -Vanguard REIT Fund	B	Dividend	M	T	Buy	10/17/17	M		
55. -Vanguard Small Cap Fund	A	Dividend	J	T	Buy	10/17/17	M		
56. IRA ACCOUNT #2 (H)									
57. -Schwab Money Market Fund	A	Interest	J	T					
58. -T. Rowe Price Mid Cap Growth Fund	D	Dividend	L	T					
59. -T. Rowe Price Growth Stock Fund	E	Dividend	M	T					
60. -American Funds EuroPacific Growth Fund	B	Dividend	K	T					
61. -Brown Capital Mgmt Small Company Fund	C	Dividend	K	T					
62. -American Funds New World Fund	A	Dividend	K	T					
63. -First Eagle Global Fund	B	Dividend	L	T					
64. -SPDR S&P Dividend Fund	C	Dividend	L	T					
65. -Dodge & Cox Income Fund	B	Dividend	L	T	Buy (add'l)	10/16/17	K		
66. -Loomis Sayles Bond Fund	C	Dividend	L	T	Buy (add'l)	10/16/17	J		
67. -Goldman Sachs Bank CD	A	Interest			Matured	10/17/17	K	A	
68. -Vanguard Small Cap Fund	A	Dividend	L	T					

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

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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.)

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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				
	(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)
69. -Vanguard Corporate Bond Fund	B	Dividend	L	T					
70. -Discover Bank CD	A	Interest	K	T					
71. -Goldman Sachs Bank CD	A	Interest	K	T					
72. -Synchrony Bank CD	A	Interest	K	T					
73. -PRIMECAP Odyssey Stock Fund	A	Dividend	J	T	Sold (part)	10/16/17	K	D	
74. -Schwab US Dividend Fund	C	Dividend	L	T					
75. -iShares Core US Aggregate Bond Fund	B	Dividend	L	T	Buy (add'l)	10/17/17	K		
76. -JPMorgan Chase Bank CD	A	Interest	K	T					
77. -Capital One Bank CD		None	J	T	Buy	10/20/17	J		
78. -Discover Bank CD		None	K	T	Buy	10/25/17	K		
79. MONEY MARKET ACCOUNTS (H)									
80. T. Rowe Price Tax Exempt Fd	A	Interest	M	T					
81. Schwab US Treasury Money Fd	A	Interest	K	T					
82. BROKERAGE ACCOUNT: Tax Exempt (H)									
83. -District of Columbia Revenue Bond	B	Interest	K	T					
84. -District of Columbia Revenue Bond	B	Interest	L	T					
85. -District of Columbia Revenue Bond	B	Interest	K	T					

1. Income Gain Codes: A = \$1,000 or less B = \$1,001 - \$2,500 C = \$2,501 - \$5,000 D = \$5,001 - \$15,000 E = \$15,001 - \$50,000
(See Columns B1 and D4) F = \$50,001 - \$100,000 G = \$100,001 - \$1,000,000 H = \$1,000,001 - \$5,000,000 I = \$5,000,001 - \$10,000,000 J = \$10,000,001 - \$50,000,000 K = \$50,000,001 - \$100,000,000 L = \$100,000,001 - \$500,000,000 M = \$500,000,001 - \$1,000,000,000 N = \$1,000,000,001 - \$5,000,000,000 O = \$5,000,000,001 - \$10,000,000,000 P = \$10,000,000,001 - \$50,000,000,000 Q = \$50,000,000,001 - \$100,000,000,000 R = \$100,000,000,001 - \$500,000,000,000 S = \$500,000,000,001 - \$1,000,000,000,000 T = \$1,000,000,000,001 - \$5,000,000,000,000 U = \$5,000,000,000,001 - \$10,000,000,000,000 V = \$10,000,000,000,001 - \$50,000,000,000,000 W = \$50,000,000,000,001 - \$100,000,000,000,000

2. Value Codes: J = \$15,000 or less K = \$15,001 - \$50,000 L = \$50,001 - \$100,000 M = \$100,001 - \$250,000 N = \$250,001 - \$500,000 O = \$500,001 - \$1,000,000 P = \$1,000,001 - \$5,000,000 Q = \$5,000,001 - \$10,000,000 R = \$10,000,001 - \$25,000,000 S = \$25,000,001 - \$50,000,000 T = \$50,000,001 - \$100,000,000 U = \$100,000,001 - \$250,000,000 V = \$250,000,001 - \$500,000,000 W = \$500,000,001 - \$1,000,000,000 X = \$1,000,000,001 - \$5,000,000,000 Y = \$5,000,000,001 - \$10,000,000,000 Z = \$10,000,000,001 - \$50,000,000,000

3. Value Method Codes: Q = Appraisal R = Cost (Real Estate Only) S = Assessment T = Cash Market U = Book Value V = Other W = Estimated

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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
86. STOCK WARRANTS (H)									
87. -Scios Nova Inc		None	J	T					
88. LIFE INSURANCE (H)									
89. Security Mutual Life Ins. Co. of NY Universal Life Policy	C	Dividend	M	T					
90.									
91.									
92.									
93.									
94.									

1. Income Gain Codes:
(See Columns B1 and D4)

2. Value Codes
(See Columns C1 and D3)

3. Value Method Codes
(See Column C2)

A = \$1,000 or less

F = \$50,001 - \$100,000

J = \$15,000 or less

N = \$250,001 - \$500,000

P3 = \$25,000,001 - \$50,000,000

Q = Appraisal

U = Book Value

B = \$1,001 - \$2,500

G = \$100,001 - \$1,000,000

K = \$15,001 - \$50,000

O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)

V = Other

C = \$2,501 - \$5,000

I11 = \$1,000,001 - \$5,000,000

L = \$50,001 - \$100,000

P1 = \$1,000,001 - \$5,000,000

P4 = More than \$50,000,000

S = Assessment

W = Estimated

D = \$5,001 - \$15,000

I12 = More than \$5,000,000

M = \$100,001 - \$250,000

P2 = \$5,000,001 - \$25,000,000

T = Cash Market

E = \$15,001 - \$50,000

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

Part VII, Line 87: Scios Nova Inc stock warrants. Four Contingent Payment Rights issued to former limited partners of Nova Technology Limited Partnership in 1993.

Part VII, Line 89: Security Mutual Life Ins. Co. Of NY, Universal Life Policy. No underlying investment options.

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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/ Paul L. Friedman**

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
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