

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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) Chen, Raymond T.	2. Court or Organization Court of Appeals for Federal Circuit	3. Date of Report 05/14/2014
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 01/01/2013 to 12/31/2013
7. Chambers or Office Address U.S. Court of Appeals for the Federal Circuit 717 Madison Place, N.W. Washington, DC 20439		
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.

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.

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.)*

	<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.	Wells Fargo Financial National Bank	Credit Card	J
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. CollegeBoundfund Age-Based Moderate Growth Portfolio		None	M	T					
2. SunTrust Bank Accounts	A	Interest	L	T					
3. Fidelity Case Reserves	A	Interest	L	T					
4. AllianceBernstein Balance Wealth Strategy Fund	A	Dividend	J	T					
5. JNL/Mellon Capital Management 25 Fund		None	L	T	Buy (add'l)	06/20/13	K		
6. JNL/JP Morgan U.S. Government & Quality Bond		None			Sold	06/20/13	K	B	
7. JNL/Goldman Sachs Core Plus Bond		None			Sold	06/20/13	L	B	
8. JNL/PIMCO Total Return Bond		None			Sold	06/20/13	K	B	
9. JNL/Mellon Capital Management Oil & Gas Sector		None	K	T					
10. JNL/Ivy Asset Strategy		None	M	T					
11. JNL/PIMCO Real Return		None			Sold	06/20/13	L	B	
12. Aberdeen Asia Bond Institutional	A	Dividend			Sold	06/18/13	J	A	
13. Aston/Optimum Mid Cap I	A	Dividend			Sold	06/18/13	J	A	
14. BlackRock Liquidity T-Fund Mgmt	A	Dividend			Sold	06/18/13	J	A	
15. Driehaus Active Income Fund	A	Dividend			Sold	06/18/13	J	A	
16. Federated Intern Govt/Corp Svc	A	Dividend			Sold	06/18/13	J	A	
17. Federated Total Rtn Govt Instl Svc	A	Dividend			Sold	06/18/13	J	A	

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	

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	(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)

18. Federated Short-Term Income Fund	A	Dividend			Sold	06/18/13	J	A	
19. iPath Seasonal Natural Gas ETN		None			Sold	05/31/13	J	A	
20. iShares Dow Jones US Home Construction	A	Dividend			Sold	06/18/13	J	A	
21. iShares Dow Jones US Real Estate	A	Dividend			Sold (part)	05/16/13	J	A	
22.					Sold	5/17/13	J		
23. JPMorgan Core Bond A	A	Dividend			Sold	06/18/13	J	A	
24. Lazard US Global Listed Infrastructure		None			Sold	06/18/13	J	A	
25. Merger Fund	A	Dividend			Sold	01/25/13	J	A	
26. PIMCO Investment Grade Corp Bd Admin	A	Dividend			Sold	06/18/13	J	A	
27. PIMCO Low Duration Admin	A	Dividend			Sold	06/18/13	J	A	
28. Ramius Dynamic Replication Fund	A	Dividend			Sold	06/18/13	J	A	
29. Ramius Strategic Volatility I	A	Dividend			Sold	06/18/13	J	A	
30. Ramius Trading Strat Managed Futures I	A	Dividend			Sold	06/18/13	J	A	
31. T. Rowe Price High Yield Adv	A	Dividend			Sold	05/20/13	J	A	
32. T. Rowe Price Short Term Bond Adv	A	Dividend			Sold	06/18/13	J	A	
33. T. Rowe Price U.S. Bond Index	A	Dividend			Sold	06/18/13	J	A	
34. SPDR Gold Trust (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	
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35. Barclays ETN S&P Dynamic VEQTOR ETN (Y)									
36. ProShares Ultra Pro Short S&P500 (Y)									
37. AQR Managed Futures Strategy N (Y)									
38. Natixis ASG Managed Futures Strategy A (Y)									
39. Rydex Series Trust US Government (Y)									
40. MainStay Epoch Global Equity Yield (Y)									
41. Arbitrage Fund Class R (Y)									
42. JNL/S&P Intrinsic Value		None	K	T	Buy	06/20/13	K		
43. JNL/Mellon Capital Healthcare Sector		None	K	T	Buy	06/20/13	K		
44. JNL/Mellon Capital Small Cap Index		None	K	T	Buy	06/20/13	K		
45. JNL/S&P Total Yield		None	K	T	Buy	06/20/13	K		
46. JNL/Mellon Capital S&P SMid60		None	K	T	Buy	06/20/13	K		

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

Section VII: Lines 1-5 and 9-10 were previously reported in the Financial Disclosure Report Nomination Filing.

Section VII: Lines 6-8 and 11-33 were sold during the reporting period.

Section VII: Lines 34-41 were sold in 2012.

Section VII: Lines 42-46 were purchased during the reporting period.

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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/ Raymond T. Chen**

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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