

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) Schall, Alvin A.	2. Court or Organization United States Court of Appeals for the Federal Circuit	3. Date of Report 07/17/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States Circuit Judge (Senior Status)	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 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.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Trustee (one of two)	Trust #2
2.	Trustee (one of two)	Trustee #4
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.)*

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. Former Law Clerk

06/08/13-06/09/13

Essex, CT

Wedding

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.)*

<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.		
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. Abbott Laboratories, Inc.	A	Dividend	K	T					
2. Abbvie	B	Dividend	L	T	Spinoff (from line 1)	01/02/13	K		
3. Altria Group, Inc.	B	Dividend	K	T					
4. Boeing Co.	B	Dividend	M	T	Buy	07/15/13	M		
5. BP PLC	B	Dividend	M	T	Buy	07/15/13	M		
6. BP PLC	B	Dividend	M	T	Buy	11/25/13	M		
7. Exxon Mobil Corp.	D	Dividend	N	T					
8. General Electric Co.	C	Dividend	M	T					
9. General Mills, Inc.	B	Dividend	L	T					
10. Home Depot, Inc.	C	Dividend	M	T					
11. Hospira, Inc.		None	J	T					
12. Intel Corp.	C	Dividend	M	T					
13. Johnson & Johnson	A	Dividend	L	T	Buy	11/25/13	M		
14. J.P. Morgan Chase & Co.	C	Dividend	M	T					
15. Kraft Foods Grp., Inc..	A	Dividend	J	T					
16. MBIA, Inc.		None	J	T					
17. Minnesota Mining & Mfg. Co.	C	Dividend	M	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	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	N = \$250,001 - \$500,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
(See Column C2)	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) 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. Mondelez Int'l. Inc.	A	Dividend	K	T					
19. Motorola Solutions, Inc.	A	Dividend	K	T					
20. Pepsico, Inc.	C	Dividend	M	T					
21. Philip Morris Int'l. Inc.	C	Dividend	M	T					
22. R.R. Donnelly & Sons Co.	B	Dividend	K	T					
23. DWS Funds Mid-Cap Growth Fund Class S	A	Dividend	M	T					
24. DWS Funds International Emerging Markets Equity Fund Class S	A	Dividend			Sold	07/15/13	K		
25. Walt Disney Co.			M	T					
26. Yum Brands, Inc.	A	Dividend	K	T					
27. Capital One Bank Certificate of Deposit	C	Interest			Redeemed	11/26/13	L	A	
28. American Express Certificate of Deposit	C	Interest			Redeemed	11/26/13	L	A	
29. Wachovia Bank Certificate of Deposit	B	Interest			Redeemed	05/21/13	K	A	
30. DWS Strategic Gov. SEC Fund	B	Interest	L	T					
31. DWS GNMA Fund - S	B	Interest	K	T					
32. Great Horn Mining Syndicate		None	J	W					
33. Edgartown Water Co.		None	J	W					
34. Mainbocher, Inc.		None	J	W					

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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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35. Evergreen Money Fund	B	Interest	J	T					
36. Fidelity Contra Fund	A	Dividend	L	T					
37. Vanguard Int.-Term Tax-Exempt Fund Adm. Shares Bond Fund	D	Dividend	M	T					
38. Vanguard Ltd.-Term Tax-Exempt Fund Adm. Shares Bond Fund	C	Dividend	M	T					
39. Vanguard GNMA Fund Admiral Shares Bond Fund	A	Dividend			Redeemed	01/22/13	M		
40. Vanguard Short-Term Bond Index Adm. Shares Bond Fund	B	Dividend	M	T					
41. Vanguard Dividend Growth Fund	D	Dividend	N	T	Buy	01/22/13	M		
42. TRUST #1:									
43. Deutsche Bank Trust Co. Tax-Free Income Fund	B	Dividend	K	T					
44. Deutsche Bank Trust Co. International Fund	A	Dividend	K	T					
45. Deutsche Bank Trust Co. U.S. Large Capitalization Value Fund	C	Dividend	M	T	Sold (part)	05/15/13	J	A	
46. 2.00% U.S. Treasury Notes	A	Interest	J	T					
47. DWS High Income Fund Class A	A	Dividend	J	T					
48. I Shares MSCI Emerging Markets Index Fund	A	Dividend	K	T					
49. I Shares Goldman Sachs Natural Resources Index Fund	A	Dividend	J	T	Sold (part)	05/15/13	J	B	
50. Deutsche Bank Trust Co. Money Market Deposit Account	A	Interest	J	T					
51. TRUST #2:									

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	
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52. American Express Co.	A	Dividend	L	T					
53. BP PLC	B	Dividend	K	T					
54. Kimberly Clark Corp.	C	Dividend	L	T					
55. Pfizer, Inc.	A	Dividend	K	T					
56. Raytheon Co.	B	Dividend	L	T					
57. R.R. Donnelly & Sons Co.	A	Dividend			Sold	05/09/13	J	C	
58. Fidelity Contra Fund	A	Dividend	K	T					
59. Deutsche Bank Trust Co. U.S. Large Capital Growth Fund	C	Dividend	N	T					
60. Deutsche Bank Trust Co. Tax-Free Income Fund	D	Dividend	M	T					
61. Deutsche Bank Trust Co. International Fund	A	Dividend	K	T	Sold (part)	09/16/13	J	C	
62. Deutsche Bank Trust Co. Money Market Deposit Account	A	Interest	K	T					
63. TRUST #3:									
64. Deutsche Bank Trust Co. U.S. Small Capitalization Fund	A	Dividend	K	T					
65. Deutsche Bank Trust Co. Tax-Free Income Fund	B	Dividend	K	T					
66. Deutsche Bank Trust Co. International Fund	A	Dividend	K	T					
67. Deutsche Bank Trust Co. U.S. Large Capitalization Value Fund	C	Dividend	M	T					
68. 2.00% U.S. Treasury Notes	A	Interest	J	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
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69. DWS High Income Fund Class A	A	Dividend	J	T					
70. I Shares MSCI Emerging Markets Index Fund	A	Dividend	K	T					
71. I Shares Goldman Sachs Natural Resources Index Fund	A	Dividend	J	T					
72. I Shares Cohen & Steers Realty Majors Index Fund	A	Dividend	J	T					
73. Deutsche Bank Trust Co. Money Market Deposit Account	A	Dividend	J	T					
74. TRUST #4:									
75. American Express Co.	B	Dividend	L	T					
76. BP PLC	B	Dividend	K	T					
77. General Electric Co.	B	Dividend	K	T					
78. Merck & Co., Inc.	B	Dividend	L	T					
79. Procter & Gamble Co.	B	Dividend	L	T					
80. Deutsche Bank Trust Co. International Fund	B	Dividend	L	T					
81. Deutsche Bank Trust Co. Taxable Income Fund	D	Dividend	N	T					
82. DWS High Income Fund-Insured	B	Dividend	K	T					
83. I Shares U.S. Treasury Inflation Protected Securities Fund	A	Dividend	K	T					
84. PIMCO Developing Local Markets Fund	A	Dividend	K	T					
85. Para-metrics Emerging Markets Fund (formerly Easton Vance Structured									

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86. Emerging Markets Fund)	A	Dividend	K	T					
87. Deutsche Bank Trust Co. U.S. Large Capitalization Value Fund	B	Dividend	M	T					
88. DWS Reef Global Real Estate Secured Fund	A	Dividend			Sold	04/15/13	J	C	
89. Deutsche Bank Trust Co. Money Market Deposit Account	A	Dividend	K	T					
90. Williams 79 Associates		None	J	W					

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

INFORMATION WITH RESPECT TO AMENDMENT OF PART IV OF THIS REPORT:

This form AO 10 amends the AO 10 filed on 04/25/14. Specifically, in the form filed on 04/25/14, I forgot about a former law clerk paying lodging expenses (in the amount of \$580.00) for me and my wife when I officiated at the former clerk's wedding in Essex, Connecticut on 06/09/13. I have therefore amended Part IV of this report to reflect the former clerk's payment of lodging expenses.

ADDITIONAL INFORMATION WITH RESPECT TO PART VII OF THIS REPORT:

1. Items 1-22, 25, 26, 32-34, 52-57, and 75-79 are common stock holdings.
2. Items 23, 24, 30, 31, 36-41, 47-49, 58, 69-72, 82-86, and 88 are mutual funds.
3. Items 27-29 are certificates of deposit.
4. Items 35, 50, 62, 73, and 89 are in the nature of money markets accounts.
5. Items 46 and 68 are United States Treasury Notes.
6. Items 44, 45, 59, 61, 64, 66, 67, 80, and 87 are [REDACTED] common stock trust funds managed by Deutsche Bank Trust Co.
7. Items 43, 60, and 65 are [REDACTED] tax-free securities trust funds managed by Deutsche Bank Trust Co.
8. Item 81 is a [REDACTED] debt securities trust fund managed by Deutsche Bank Trust Co.
9. Item 90 is a real estate partnership.

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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/ Alvin A. Schall

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