

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) Friedman, Paul L.	2. Court or Organization U.S. District Court	3. Date of Report 05/08/2017
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 01/01/2016 to 12/31/2016
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

- | | |
|-----------|--|
| 1. Member | Secretary of the American Law Institute & member of its Council (the governing body of the Institute) & the Executive Committee since 1998 |
| 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. 2016	White & Case Retirement Income Pension Plan Administered by State Street Retiree Service - Pension Plan	\$22,509.00
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. 2016	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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. American Law Institute	01/20-01/22/2016	Philadelphia, PA	Meeting of ALI Council	Transportation, hotel, meals
2. American Bar Association	03/01-03/04/2016	San Diego, CA	National Institute on White Collar Crime	Transportation, hotel, meals
3. Federal Bar Association & American Bar Association	06/01-06/03/2016	Orlando, FL	Federal Sentencing Seminar	Transportation, hotel, meals
4. American Law Institute	10/20-10/21/2016	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.	Cherry Doggett	National Symphony Orchestra Ball	\$500.00
2.	Wayne and Catherine Reynold	Dinner for Judge Friedman and wife on two occasions	\$500.00
3.	Professor Stephen Saltzburg	Federal Rules of Evidence Treatise (11th edition)	\$890.00
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. BROKERAGE ACCOUNT (H)									
2. -Gabelli Small Cap Fund	C	Dividend	M	T					
3. -Gabelli Asset Fund	C	Dividend	K	T	Sold (part)	01/05/16	K	D	
4.					Sold (part)	08/10/16	J	D	
5. -Harbor International	B	Dividend	M	T					
6. -iShares Cohen & Steers Realty Majors Index Fund	B	Dividend	L	T					
7. -iShares Russell 1000 Growth Index Fund	B	Dividend	M	T					
8. -iShares Russell 2000 Growth Index Fund	A	Dividend	L	T					
9. -iShares Russell 2000 Value Index Fund	B	Dividend	L	T					
10. -Brown Capital Mgmt Small Company Fund	B	Dividend	K	T					
11. -SPDR S&P Dividend Fund	C	Dividend	L	T					
12. -Vanguard Long Term Tax Exempt Fund	A	Dividend	K	T	Sold (part)	01/05/16	L	A	
13. IRA ACCOUNT #1 (H)									
14. -Lionleaf Partners Small Cap Fund	E	Dividend	M	T					
15. -PIMCo Real Return Fund	B	Dividend	M	T					
16. -Schwab Money Market Fund	A	Interest	J	T					
17. -Morgan Stanley US RE Fund	D	Dividend	L	T	Sold (part)	08/10/16	K	A	

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	
	P3 ~\$25,000,001 - \$50,000,000		P4 ~More than \$50,000,000		
3. Value Method Codes	Q ~Appraisal	R ~Cost (Real Estate Only)	S ~Assessment	T ~Cash Market	
(See Column C2)	U ~Book Value	V ~Other	W ~Estimated		

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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 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. -American Funds EuroPacific Growth Fund	B	Dividend	M	T					
19. -T. Rowe Price Mid Cap Growth Fund	C	Dividend	M	T					
20. -Dodge & Cox Stock Fund	D	Dividend	M	T	Sold (part)	08/10/16	K	D	
21. -First Eagle Global Fund	D	Dividend	M	T					
22. -Loomis Sayles Investment Gr Bond Fund	D	Dividend	M	T					
23. -Royce Special Equity Fund	C	Dividend	L	T					
24. -T. Rowe Price Capital Appreciation Fund	C	Dividend	M	T					
25. -Vanguard PRIMECAP Core Fund	E	Dividend	N	T					
26. -Vanguard Small Cap Growth Index Fund	B	Dividend	M	T					
27. -PRIMECAP Odyssey Stock Fund	B	Dividend	K	T	Sold (part)	08/10/16	L	E	
28. -T. Rowe Price Growth Stock Fund	B	Dividend	L	T					
29. -SPDR S&P Dividend Fund	C	Dividend	L	T					
30. -Dodge & Cox Income Fund	E	Dividend	N	T					
31. -Goldman Sachs Bank CD	C	Interest	M	T					
32. -Discover Bank CD	A	Interest			Matured	09/21/16	L	A	
33. -Goldman Sachs Bank CD	B	Interest	M	T					
34. -Gabelli Small Cap Growth Fund	B	Dividend	K	T	Sold (part)	08/10/16	K	D	

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	P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	L = \$50,001 - \$100,000 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. -Vanguard Corporate Bond Fund	C	Dividend	M	T	Sold (part)	10/18/16	L	A	
36. -Vanguard Dividend Appreciation Fund	C	Dividend	M	T					
37. -American Express CD	B	Interest	M	T					
38. -Goldman Sachs Bank CD	B	Interest	L	T					
39. -Synchrony Bank CD	B	Interest	L	T					
40. -JP Morgan Equity Income Fund	D	Dividend	M	T					
41. -Schwab US Dividend Fund	D	Dividend	M	T					
42. -iShares Core US Aggregate Bond Fund	D	Dividend	N	T					
43. -American Funds New World Fund	A	Dividend	K	T					
44. -JPMorgan Chase Bank CD	A	Interest	M	T	Buy	08/10/16	M		
45. IRA ACCOUNT #2 (H)									
46. -Schwab Money Market Fund	A	Interest	J	T					
47. -T. Rowe Price Mid Cap Growth Fund	B	Dividend	L	T					
48. -T. Rowe Price Growth Stock Fund	B	Dividend	M	T					
49. -American Funds EuroPacific Growth Fund	A	Dividend	K	T					
50. -Brown Capital Mgmt Small Company Fund	B	Dividend	K	T					
51. -American Funds New World Fund	A	Dividend	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
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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52. -First Eagle Global Fund	B	Dividend	L	T					
53. -SPDR S&P Dividend Fund	C	Dividend	L	T					
54. -Dodge & Cox Income Fund	C	Dividend	L	T					
55. -Loomis Sayles Bond Fund	B	Dividend	K	T					
56. -Goldman Sachs Bank CD	A	Interest	K	T					
57. -Vanguard Small Cap Fund	A	Dividend	L	T					
58. -Vanguard Corporate Bond Fund	B	Dividend	L	T					
59. -Discover Bank CD	A	Interest	K	T					
60. -Goldman Sachs Bank CD	A	Interest	K	T					
61. -Synchrony Bank CD	A	Interest	K	T					
62. -PRIMECAP Odyssey Stock Fund	B	Dividend	K	T					
63. -Schwab US Dividend Fund	B	Dividend	L	T					
64. -iShares Core US Aggregate Bond Fund	B	Dividend	L	T					
65. -JPMorgan Chase Bank CD	A	Interest	K	T	Buy	08/10/16	K		
66. MONEY MARKET ACCOUNTS (H)									
67. T. Rowe Price Tax Exempt Fd	A	Interest	M	T					
68. Schwab US Treasury Money Fd	A	Interest	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
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69. BROKERAGE ACCOUNT: Tax Exempt (H)									
70. -District of Columbia Revenue Bond	B	Interest	K	T					
71. -District of Columbia Revenue Bond	B	Interest	L	T					
72. -District of Columbia Revenue Bond	B	Interest	K	T					
73. STOCK WARRANTS (H)									
74. -Scios Nova Inc		None	J	T					
75. LIFE INSURANCE (H)									
76. Security Mutual Life Ins. Co. of NY Universal Life Policy	C	Dividend	M	T					
77. Mass Mtual Life Ins Co	A	Dividend			Expired	12/31/16	J		
78.									
79.									
80.									
81.									
82.									

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

Part VII, Line 74: Scios Nova Inc stock warrants. Four Contingent Payment Rights issued to former limited partners of Nova Technology Limited Partnership in 1993.

Part VII, Line 76: Security Mutual Life Ins. Co. Of NY, Universal Life Policy. No underlying investment options.

Part VII, Line 77: Mass Mutual Life Ins Co. Group Flexible Premium Adjustable Life Insurance Policy. No underlying investment options. Policy expired 12/31/16. No cash received upon expiration.

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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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544