

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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) Braden, Susan G.	2. Court or Organization U.S. Court of Federal Claims	3. Date of Report 05/08/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Chief Judge (Senior)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2018 to 12/31/2018
7. Chambers or Office Address U.S. Court of Federal Claims 717 Madison Place, N.W. Washington, D.C. 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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 9

Name of Person Reporting

Braden, Susan G.

Date of Report

05/08/2019

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.		
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2018	American Bar Association - salary
2. 2018	Ropes & Gray LLP - retirement benefits
3. 3/16/18	American University - \$200 honorarium
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. New York Intellectual Property Law Association	March 23-24, 2018	New York, NY	Dinner in Honor of the Federal Judiciary	Transportation, lodging, and food
2. American Bar Association	April 18-19, 2018	Arlington, VA	Spring Meeting and Counsel Dinner	Transportation and food
3. Harvard Law School	April 23-26, 2018	Boston, MA	Law and Society Seminar	Transportation, lodging, and food
4. World Congress Research, Inc.	July 24-25, 2018	New York, NY	IP Conference Keynote Speaker	Transportation, lodging, and food
5. Georgia Bar Association	September 20-22, 2018	Amelia Island, FL	IP Conference Panelist	Transportation, lodging, and food

FINANCIAL DISCLOSURE REPORT

Page 3 of 9

Name of Person Reporting

Braden, Susan G.

Date of Report

05/08/2019

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.	BB&T	Mortgage on rental property	N
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 9

Name of Person Reporting

Braden, Susan G.

Date of Report

05/08/2019

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. Rental Property, Alexandria, VA	F	Rent	P1	W					
2. Citibank (cash accounts)	A	Interest	K	T					
3. RGIP, LLC	D	Distribution	L	U					
4. Dept. of Justice Credit Union (cash)	D	Interest	N	T					
5. 401(k) #1 (H)									
6. Ameriprise Insured Deposit Account (IDA) (cash)	A	Interest	K	T					
7. WCM Focus Int Growth Inst (WCMIX)	D	Dividend	M	T					
8. Advisors Inner Circle FDS Edgewood Growth Instl C1 (EGFIX)	A	Dividend	M	T					
9. Artisan High Income Advisor (APDFX)	C	Dividend			Sold	02/21/18	M		
10. Artisan High Income Inst (APHFX)	D	Dividend	M	T	Buy	02/21/18	M		
11. Artisan Intl Value (APDKX)		None			Sold	02/12/18	M		
12. Artisan Intl Value Inst (APHKX)	D	Dividend	M	T	Buy	02/12/18	M		
13. Blackrock Strategic Income Opportunities (BSIIX)	C	Dividend	M	T					
14. Dreihaus Inc. Mut. Fd. Emerging Mkt. Act (DIEMX)	C	Dividend	L	T					
15. FMI Funds Large Cap (FMIQX)	E	Dividend	M	T	Sold (part)	11/05/18	L		
16. Matthews Intl Fds Asia Div. Fd. (MIPIX)	D	Dividend	L	T					
17. Metropolitan West Fds. Total Return Bd Fd (MWTIX)	C	Dividend			Sold	02/21/18	O		

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 = \$250,000.01 - \$500,000.00	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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 9

Name of Person Reporting

Braden, Susan G.

Date of Report

05/08/2019

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. Metropolitan West Tot Ret Bd P (MWTX)	D	Dividend	O	T	Buy	02/21/18	O		
19. Miller Invnt TR Convertible Bond Fund (MCIFX)	B	Dividend	L	T					
20. Newberger Berman Core Bd Fd Intl Cl (NCRLX)	D	Dividend	O	T					
21. Transamerica Intl Sml Cap Value (TISVX)	D	Dividend	M	T	Sold (part)	11/05/18	K		
22. Vanguard Index Sml Cap Index Admiral (VSMAX)	A	Dividend	M	T					
23. Vanguard Index 500 Index Admiral (VFIAX)	C	Dividend	N	T	Sold (part)	11/05/18	L		
24. Oil & Gas Royalty (Houston & San Antonio, TX)	E	Royalty	L	W					
25. 529 ACCOUNTS (H)									
26. U Fund College Investing Plan #1: Fidelity Funds, MA Portfolio 2021		None	K	T	Buy (add'l)	12/06/18	J		
27. U Fund College Investing Plan #2: Fidelity Funds, MA Portfolio 2024		None	K	T	Buy (add'l)	12/06/18	J		
28. U Fund College Investing Plan #3: Fidelity Funds, MA Portfolio 2024		None	K	T	Buy (add'l)	12/06/18	J		
29. U Fund College Investing Plan #4: Fidelity Funds, MA Portfolio 2027		None	K	T	Buy (add'l)	12/06/18	J		
30. U Fund College Investing Plan #5: Fidelity Funds, MA Portfolio 2027		None	K	T	Buy (add'l)	12/06/18	J		
31. U Fund College Investing Plan #6: Fidelity Funds, NH Portfolio 2030		None	K	T	Buy (add'l)	12/06/18	J		
32. U Fund College Investing Plan #7: Fidelity Funds, NH Portfolio 2033		None	J	T	Buy (add'l)	12/06/18	J		
33. Trust #1 (H)									
34. Federated Govt Obli Fd (GOFXX)	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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 9

Name of Person Reporting

Braden, Susan G.

Date of Report

05/08/2019

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)

35. Edgewood Growth Fund (EGFIX)	C	Dividend	L	T	Buy (add'l)	11/20/18	J		
36.					Buy (add'l)	12/31/18	J		
37. FMI Large Cap Fd (FMIHX)	D	Dividend	L	T					
38. Vanguard 500 Index Fund (VOO)	B	Dividend	L	T	Buy (add'l)	11/20/18	K		
39.					Sold (part)	11/30/18	K	A	
40. Artisan Intl Value Fd Inv. (ARTKX)		None			Sold	01/25/18	K		
41. Artisan Intl Value Fd Ins (APHKX)	B	Dividend	K	T	Buy	01/25/18	K		
42.					Buy (add'l)	03/16/18	J		
43.					Buy (add'l)	11/20/18	J		
44. WCM Focused International Growth Fund (WCMIX)	B	Dividend	K	T	Buy (add'l)	03/16/18	J		
45.					Buy (add'l)	11/20/18	J		
46. Vanguard Sml Cap Index Fd (VB)	A	Dividend	K	T	Sold (part)	03/15/18	K	C	
47.					Buy (add'l)	11/20/18	J		
48.					Buy (add'l)	12/31/18	J		
49. Transamerica Intl Small Cap Value Fd (TISVX)	C	Dividend	K	T	Buy (add'l)	11/20/18	J		
50. Driehaus Emg Mkts Growth Fund (DREGX)	B	Dividend	K	T	Buy (add'l)	11/20/18	J		
51. Matthews Asia Dividends Ins (MAPIX)	B	Dividend	K	T	Buy (add'l)	11/20/18	J		

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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 9

Name of Person Reporting

Braden, Susan G.

Date of Report

05/08/2019

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)

52. NB Muni I/T Bonds Fnd Ins. (NBH)	C	Dividend	M	T	Buy (add'l)	03/16/18	J		
53.					Sold (part)	11/19/18	K		
54. Vanguard I/T T/E Fd Adm (VWITX)	C	Dividend	M	T	Buy (add'l)	03/16/18	J		
55.					Buy (add'l)	11/20/18	L		
56. Nuveen Short Duration High Yield Muni Bond Fd. (NVHAX)	B	Dividend	K	T					
57. Blackrock Strategic Inc. Opp Fd Ins (BSHIX)	B	Dividend	K	T	Buy (add'l)	11/20/18	J		
58. Miller Convertible Bond Fund (MCIFX)	A	Dividend	K	T	Buy (add'l)	11/20/18	J		
59. ABAThrift Savings 401(k) (no control) (H)									
60. T. Rowe Prc Retirement 2010 (Y)									
61. T. Rowe Price 2040 Fund (Y)									
62. S.SgA Russ. Sm/MD Cap Index Fund (Y)									
63. Vanguard Target Ret 2040 (VFORX) (X)	C	Dividend	M	T					
64. Vanguard Target Ret Inc (VTINX) (X)	D	Dividend	M	T					
65. Vanguard Ext Mkt Idx Adm (VEXAX) (X)	B	Dividend	L	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	

FINANCIAL DISCLOSURE REPORT

Page 8 of 9

Name of Person Reporting

Braden, Susan G.

Date of Report

05/08/2019

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

Part IV, line 2: This item was treated as reimbursed travel for court purposes, however, to the extent that it might be treated as a gift for purposes of this report, the value of the program registration and food provided by the ABA was \$1,215.

Part VII, lines 59-65: This is an employer-controlled retirement plan. The employee can choose the funds in which he is invested from a list provided by the employer's plan administrator, but the employee is not able to control transactions executed within the plan, nor is he provided with the details of transactions executed within the plan by the plan administrator. The employee receives quarterly statements identifying the allocated value and investment earnings for the funds in which he is invested (Columns A through C). Despite inquiry of the plan administrator, further information is unavailable.

Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value, per page 42 of the filing instructions.

FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

Braden, Susan G.

Date of Report

05/08/2019

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/ Susan G. Braden**

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