

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) Falvey, Joseph L.	2. Court or Organization U.S. Court of Appeals for Veterans Claims	3. Date of Report 6/5/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Judge	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 Appeals for Veterans Claims 625 Indiana Avenue, Suite 900 Washington, DC 20004		
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	Family Trust #1
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.)*

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.		
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. IRA #1 (H)									
2. iShares S&P MIDCAP 400 Index (IJH)	A	Int./Div.			Sold	10/09/18	K	A	
3. iShares S&P SMALLCAP 600 Index (IJR)	A	Int./Div.			Sold	10/09/18	K	A	
4. Schwab US Aggregate BD ETF (SCHZ)	B	Int./Div.			Buy (add'l)	02/16/18	J		
5.					Sold	08/21/18	L	B	
6. Vanguard FTSE Developed MKTS (VEA)	B	Int./Div.			Sold	10/09/18	L	B	
7. Vanguard FTSE Emerging MKTS ETF (VW0)	B	Int./Div.			Buy (add'l)	02/16/18	J		
8.					Sold	10/09/18	K	A	
9. Vanguard Growth ETF (VUG)	B	Int./Div.			Sold	10/09/18	M	A	
10. Vanguard High Div Yield ETF (VYM)	B	Int./Div.			Sold	10/09/18	L	B	
11. Vanguard Short-Term Corporate (VCSH)	B	Int./Div.			Buy (add'l)	02/16/18	J		
12.					Sold	10/09/18	L	B	
13. AB High Income Adv (AGDYX)	C	Int./Div.			Sold	10/08/18	L	C	
14. First Eagle Global I (SGIIX)	B	Int./Div.			Sold	10/08/18	M	B	
15.					Sold (part)	02/16/18	K	B	
16. Vanguard Total Bond Market ETF (BND)	A	Int./Div.			Buy	08/21/18	K		
17.					Sold	10/09/18	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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	(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. iShares MSCI EAFE SMALLCAP ETF (SCZ)	A	Int./Div.			Buy	02/16/18	K		
19.					Buy (add'l)	08/21/18	L		
20.					Sold	10/09/18	L	A	
21. DFA Emerging Markets Core Equity (DFCEX)	A	Int./Div.	K	T	Buy	10/09/18	K		
22. DFA Enhanced US Large Company (DFELX)	D	Int./Div.	L	T	Buy	10/09/18	L		
23. DFA Five Year Global Fixed (DFGBX)	B	Int./Div.	L	T	Buy	10/09/18	L		
24. DFA International Core Equity (DFIEX)	B	Int./Div.	M	T	Buy	10/09/18	M		
25. DFA US Large Cap Value (DFLVX)	C	Int./Div.	L	T	Buy	10/09/18	L		
26. DFA US Small Cap Value (DFSTX)	B	Int./Div.	K	T	Buy	10/09/18	K		
27. Fuller & Thale Behavioral Sm-Cp Eq Inst (FTHSX)	A	Int./Div.	K	T	Buy	10/09/18	K		
28. Matthews Asia Dividend (MIPIX)	B	Int./Div.	K	T	Buy	10/09/18	K		
29. Osterweis Strategic Income Fund (OSTIX)	B	Int./Div.	L	T	Buy	10/09/18	L		
30. Prudential Absolute (PADZX)	B	Int./Div.	L	T	Buy	10/09/18	L		
31. Prudential Total Returns (PDBZX)	A	Int./Div.	L	T	Buy	10/09/18	L		
32. Touchstone Sands Capital Emerging Markets Growth (TSEMX)		None	K	T	Buy	10/09/18	K		
33. Vanguard Short-Term Investment-Grade Admiral Shares	A	Int./Div.	K	T	Buy	10/10/18	K		
34. IRA #2 (H)									

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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☐ 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. iShares S&P MIDCAP 400 Index (IJH)	A	Int./Div.			Sold	10/09/18	J	A	
36. iShares S&P SMALLCAP 600 Index (IJR)	A	Int./Div.			Sold	10/09/18	J	A	
37. Schwab US Aggregate BD ETF (SCHZ)	A	Int./Div.			Buy (add'l)	02/16/18	J		
38.					Sold	08/21/18	K	A	
39. Vanguard FTSE Developed MKTS (VEA)	A	Int./Div.			Sold	10/09/18	K	A	
40. Vanguard FTSE Emerging MKTS ETF (VW0)	A	Int./Div.			Buy (add'l)	02/16/18	J		
41.					Sold	10/09/18	J	A	
42. Vanguard Growth ETF (VUG)	A	Int./Div.			Sold	10/09/18	K	A	
43. Vanguard High Div Yield ETF (VYM)	A	Int./Div.			Sold	10/09/18	K	A	
44. Vanguard Short-Term Corporate (VCSH)	A	Int./Div.			Buy (add'l)	02/16/18	J		
45.					Sold	10/09/18	K	A	
46. AB High Income Adv (AGDYX)	A	Int./Div.			Sold	10/08/18	J	B	
47. First Eagle Global I (SGIIX)	B	Int./Div.			Sold (part)	02/16/18	K	B	
48.					Sold	10/08/18	J	A	
49. Vanguard Total Bond Market ETF (BND)	A	Int./Div.			Buy	08/21/18	K		
50.					Sold	10/09/18	K	A	
51. iShares MSCI EAFE SMALLCAP ETF (SCZ)	A	Int./Div.			Buy	02/16/18	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 \$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.					Buy (add'l)	08/21/18	J		
53.					Sold	10/09/18	J	A	
54. DFA Emerging Markets Core Equity (DFCEX)	A	Int./Div.	J	T	Buy	10/09/18	J		
55. DFA Enhanced US Large Company (DFELX)	B	Int./Div.	K	T	Buy	10/09/18	K		
56. DFA Five Year Global Fixed (DFGBX)	A	Int./Div.	J	T	Buy	10/09/18	J		
57. DFA International Core Equity (DFIEX)	A	Int./Div.	K	T	Buy	10/09/18	K		
58. DFA US Large Cap Value (DFLVX)	A	Int./Div.	J	T	Buy	10/09/18	J		
59. DFA US Small Cap Value (DFSTX)	A	Int./Div.	J	T	Buy	10/09/18	J		
60. Fuller & Thale Behavioral Sm-Cp Eq Inst (FTHSX)	A	Int./Div.	J	T	Buy	10/09/18	J		
61. Matthews Asia Dividend (MIPIX)	A	Int./Div.	J	T	Buy	10/09/18	J		
62. Osterweis Strategic Income Fund (OSTIX)	A	Int./Div.	K	T	Buy	10/09/18	K		
63. Prudential Absolute (PADZX)	A	Int./Div.	J	T	Buy	10/09/18	J		
64. Prudential Total Returns (PDBZX)	A	Int./Div.	J	T	Buy	10/09/18	J		
65. Touchstone Sands Capital Emerging Markets Growth (TSEMX)		None	J	T	Buy	10/09/18	J		
66. Vanguard Short-Term Investment-Grade Admiral Shares	A	Int./Div.	J	T	Buy	10/10/18	J		
67. Universal Life Insurance (H)									
68. USAA Flexible Premium Adjustable Life Insurance Policy #1	B	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. USAA Flexible Premium Adjustable Life Insurance Policy #2	B	Interest	K	T					
70. 529 #1 (H)									
71. Michigan Education Savings Program Investment Age-Based Option		None			Sold (part)	11/02/18	K	D	
72.					Sold (part)	11/05/18	J	C	
73.					Sold	11/23/18	J	C	
74. 529 #2 (H)									
75. Michigan Education Savings Program Investment Age-Based Option		None	L	T	Sold (part)	04/16/18	J	B	
76.					Sold (part)	04/30/18	J	A	
77.					Sold (part)	07/09/18	J	B	
78. 529 #3 (H)									
79. Michigan Education Savings Program Investment Age-Based Option		None	L	T	Sold (part)	04/30/18	J	A	
80.					Sold (part)	07/09/18	J	A	
81.					Sold (part)	09/07/18	J	A	
82. 529 #4 (H)									
83. Michigan Education Savings Program Investment Age-Based Option		None	L	T	Buy (add'l)	11/05/18	J		
84.					Buy (add'l)	11/23/18	J		
85. 529 #5 (H)									

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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86. Michigan Education Savings Program Investment Age-Based Option		None	K	T	Buy (add'l)	11/02/18	K		
87. Bank Accounts (H)									
88. USAA FSB Cash Accounts	A	Interest	K	T					
89. Citizens Bank Cash Account	A	Interest	J	T					
90. Family Trust #1 (H)									
91. First Eagle Global I (SGIIX)	A	Int./Div.			Sold	01/04/18	K	A	
92. Morgan Stanley Bank Cash Account	A	Interest	J	T					

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

Part I.

As noted, I am the Trustee for Family Trust #1. My spouse is one of several beneficiaries of this trust. She, and the other beneficiaries, received distributions in equal amounts from this trust in 2018.

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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/ **Joseph L. Falvey**

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