

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) O'Malley, Kathleen M.	2. Court or Organization U.S. Court of Appeals for the Federal Circuit	3. Date of Report 08/05/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Circuit 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 the Federal Circuit 717 Madison Place NW 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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 12

Name of Person Reporting

O'Malley, Kathleen M.

Date of Report

08/05/2019

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.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 10/31/18	Shanghai Jiao Ting University, KoGuan School of Law (teaching)	\$1,000.00
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. 2018	Self-employed (attorney)
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. New York IP Law Association	03/22/2018-03/25/2018	New York, NY	NYIPLA Annual Meeting	Train fare, hotel, ground transportation, meals
2. New Jersey IP Law Association	06/08/2018-06/09/2018	Short Hills, NJ	NJIPLA Annual Meeting	Train fare, hotel, ground transportation, meals
3. Federal Communications Bar Association	06/19/2018-06/23/2018	San Diego, CA	Bench & Bar	Airfare, hotel, ground transportation, meals
4. IPO	09/24/2018-09/25/2018	Chicago, IL	IPO Annual Meeting	Airfare, hotel, ground transportation, meals
5. EDTX Bar Association	10/17/2018-10/18/2018	Dallas, TX	Bench & Bar	Airfare, hotel, ground transportation, meals

FINANCIAL DISCLOSURE REPORT

Page 3 of 12

Name of Person Reporting	Date of Report
O'Malley, Kathleen M.	08/05/2019

6.	KoGuan Law School	10/29/2018-11/04/2018	Shanghai, China	IP Conference	Airfare, hotel, ground transportation, meals
7.	World IP Organization	11/05/2018-11/10/2018	Geneva, Switzerland	Judges Conference	Airfare, hotel, ground transportation, meals
8.	Fordham University	12/12/2018-12/14/2018	London, England	Judges Roundtable	Airfare, hotel, ground transportation, meals

FINANCIAL DISCLOSURE REPORT

Page 4 of 12

Name of Person Reporting

O'Malley, Kathleen M.

Date of Report

08/05/2019

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.			
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 5 of 12

Name of Person Reporting

O'Malley, Kathleen M.

Date of Report

08/05/2019

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 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)

1. Citibank (cash)	A	Interest	N	T					
2. Castle Harlan Affiliates IV-A, LLP	A	Distribution	J	U					
3. Castle Harlan Partners V, LLP		None	K	U					
4. CHP V Affiliates AIV, LP	D	Distribution	J	U					
5. Mid-Atlantic Fund of Funds II, LP		None	K	V					
6. AEI Alien Series B Inv II, LLC		None	K	V					
7. Sun Basket, Inc		None	M	V					
8. Covington & Burling Partnership LLP	A	Int./Div.	P1	V					
9. Advanced Battery Concepts, LLC		None	K	V					
10. Cloud9 Charts, Inc		None	K	V					
11. Lois Kitchen LLC		None	K	V					
12. Lois Wine Bar (note)	B	Interest	L	T					
13. Rembrandt Partners IV, L.P.	C	Dividend	N	V	Buy (add'l)	07/31/18	K		
14. Empire Residential Communities Fund IV, LLC	C	Distribution	L	V	Buy	01/30/18	M		
15. Lyft, Inc.		None	M	V	Buy	10/24/18	M		
16. Uber Tech		None	M	V	Buy	11/16/18	M		
17. OPAC Famous LLC		None	L	V	Buy	09/07/18	L		

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 12

Name of Person Reporting

O'Malley, Kathleen M.

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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. IRA #1 (H)									
19. Schwab Bank (cash)	A	Interest	K	T	Open	04/19/18	K		
20. Schwab Adv Cash Reserve Prem. (SWZXX)	A	Interest			Redeemed	04/18/18	K		
21. Baird Aggregate Bond Inst Fund (BAGIX)	B	Dividend	K	T					
22. Dodge & Cox Int'l Stock Fund (DODFX)	A	Dividend	J	T					
23. Hotchkis & Wiley Hi Yield (HWHIX)	B	Dividend	K	T					
24. Pimco Emerging Local Bond Fund (PELBX)	A	Dividend	J	T					
25. Pimco Foreign Bond Fund (PFORX)	A	Dividend	K	T					
26. Vanguard Inflation Protected Securities (VIPSX)	A	Dividend	K	T					
27. Wells Fargo Advtg Int'l Fund (ESICX)		None	K	T					
28. American Fund Europacific Growth (AEGFX)	A	Dividend	J	T					
29. Cohen & Steers Realty Shares (CSRSX)	B	Dividend	K	T					
30. DFA Emerging Mkt Value Portfolio (DFEVX)	A	Dividend	J	T					
31. Dodge & Cox Income Fund (DODIX)	B	Dividend	J	T					
32. Steelpath MLP Select 40 (OSPSX)	B	Dividend	K	T					
33. Pimco Comm Real Estate Return (PCRIX)	A	Dividend	J	T					
34. Ishares Trust S&P 500 Index (IVV)	A	Dividend	K	T					

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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	
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FINANCIAL DISCLOSURE REPORT

Page 7 of 12

Name of Person Reporting

O'Malley, Kathleen M.

Date of Report

08/05/2019

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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)
35. Vanguard Small Cap Fund (VB)	A	Dividend	J	T					
36. 401k (H)									
37. Dodge & Cox Stock (DODGX)		None	O	T					
38. JP Morgan Large Cap R6 (JLGMX)		None	P1	T					
39. American Beacon Small Cap Val Inst (AVFIX)		None	M	T					
40. Janus Enterprises N (JDMNX)		None	M	T					
41. Lazard Emerging Market Equity Inst (LZEMX)		None	M	T					
42. Oakmark International I (OAKIX)		None	O	T					
43. Metropolitan West Total Return Bond (MWTRX)		None	O	T					
44. Schwab Covington Burlington Pooled Stable Value Fund		None	O	T					
45. Brokerage Account #1 (H)									
46. Schwab Bank Accounts (cash)	A	Interest	K	T	Open	04/03/18	K		
47. Schwab Advance Cash Reserve Premium (SWZXX)	A	Dividend			Redeemed (part)	03/09/18	J		
48.					Redeemed	04/02/18	J		
49. Baird Inter Muni (BMBIX)	C	Interest	M	T	Buy (add'l)	04/26/18	L		
50.					Sold (part)	10/01/18	K		
51.					Sold (part)	10/08/18	K		

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 \$5,000,000	L = \$50,001 - \$100,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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FINANCIAL DISCLOSURE REPORT

Page 8 of 12

Name of Person Reporting

O'Malley, Kathleen M.

Date of Report

08/05/2019

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52. Goldman Sachs Emerging Markets Debt Fund (GSDIX)	B	Dividend	K	T	Buy (add'l)	04/26/18	J		
53.					Sold (part)	10/08/18	K		
54. Hotchkis & Wiley Hi Yield (HWHIX)	D	Dividend	M	T	Buy (add'l)	04/26/18	K		
55. Pimco Foreign Bond Fund (PFORX)	A	Dividend			Buy (add'l)	04/26/18	K		
56.					Sold (part)	10/01/18	K		
57.					Sold	10/08/18	K		
58. Vang Inflation Protected (VIPSX)	B	Dividend	K	T	Buy (add'l)	04/26/18	J		
59. Vang St Exempt Fund (VWSTX)	B	Dividend	M	T	Buy (add'l)	04/26/18	L		
60.					Sold (part)	10/02/18	K		
61. Wells Fargo Adv Int'l (ESICX)		None			Buy (add'l)	04/26/18	K		
62.					Sold (part)	10/01/18	J		
63.					Sold	10/08/18	K		
64. American Fund Europacific (AEGFX)	C	Dividend	L	T	Buy (add'l)	04/26/18	K		
65. Cohen & Steers Realty (CSRSX)	C	Dividend	K	T	Buy (add'l)	04/26/18	J		
66.					Sold (part)	10/08/18	K		
67. Credit Suisse Comm Return Strategy Fund (CRSOX)	A	Dividend			Sold	10/08/18	K		
68. Dodge & Cox Int'l Stock Fund (DODFX)	B	Dividend	L	T	Buy (add'l)	04/26/18	K		

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FINANCIAL DISCLOSURE REPORT

Page 9 of 12

Name of Person Reporting

O'Malley, Kathleen M.

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08/05/2019

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69. Maingate MLP Fund (IMLPX)	C	Dividend	L	T	Buy (add'l)	04/26/18	J		
70. Ishares Trust S&P 500 (IVV)	C	Dividend	L	T	Buy (add'l)	04/26/18	M		
71.					Sold (part)	12/07/18	L	E	
72. Ishares MSCI Emerging Market Index (EEM)	B	Dividend	L	T	Buy (add'l)	04/26/18	K		
73. Vang Small Cap (VB)	A	Dividend	L	T	Buy (add'l)	04/26/18	K		
74. Brokerage Account #2 (H)									
75. Baird Inter Muni (BMBIX)	C	Dividend	M	T					
76. Goldman Sachs Emerging Markets Debt (GSDIX)	B	Dividend	K	T					
77. Hotchkis & Wiley Hi Yield (HWHIX)	C	Dividend	L	T					
78. Pimco Foreign Bond Fund (PFORX)	B	Dividend	L	T					
79. Vang Inflation Protected (VIPSX)	A	Dividend	K	T					
80. Vang St Exempt Fund (VWSTX)	B	Interest	M	T	Sold (part)	05/02/18	J		
81. Wells Fargo Adv Int'l (ESCIX)		None	K	T					
82. American Fund Europacific (AEGFX)	B	Dividend	K	T					
83. Cohen & Steers Realty (CSRSX)	C	Dividend	L	T					
84. Credit Suisse Comm Return Strategy (CRSOX)	A	Dividend	K	T					
85. Dodge & Cox Int'l Stock Fund (DODFX)	A	Dividend	K	T					

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FINANCIAL DISCLOSURE REPORT

Page 10 of 12

Name of Person Reporting

O'Malley, Kathleen M.

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86. Maingate MLP Fund (IMLPX)	C	Dividend	L	T					
87. Ishares Trust S&P 500 (IVV)	A	Dividend	K	T					
88. Ishares MSCI Emerging Markets Index (EEM)	B	Dividend	L	T					
89. Vang Small Cap (VB)	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
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FINANCIAL DISCLOSURE REPORT

Page 11 of 12

Name of Person Reporting

O'Malley, Kathleen M.

Date of Report

08/05/2019

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

Part VII, Column C(2), lines 5-11 and 13-17: Value method code "V" indicates cumulative value of funds invested.

Part VII, line 47: This asset is reportable in 2018; there is not a corresponding reportable transaction.

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 12 of 12

Name of Person Reporting

O'Malley, Kathleen M.

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08/05/2019

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/ **Kathleen M. O'Malley**

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