

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2018Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (last name, first, middle initial) Tatel, David S.	2. Court or Organization U.S. Court of Appeals, DC Cir.	3. Date of Report 05/10/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Circuit Judge (Active)	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 Prettyman U.S. Courthouse 333 Constitution Ave., NW 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.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Board Member	Federal Judicial Center
2.	Member of Judicial Advisory Board	American Society of International Law
3.	Co-Chair, Committee on Science, Technology, and Law	National Academy of Sciences
4.	Board Member	Associated Universities, Inc.
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.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 10

Name of Person Reporting

Tatel, David S.

Date of Report

05/10/2019

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.	
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. Stanford University, Stanford, CA	2/7/18-2/9/18	Stanford, CA	Judge Law School Moot Court	Airfare, Local Transportation, Meals
2. National Academy of Sciences, Washington, D.C.	3/14/18-3/17/18	Pasadena, CA	Attend Committee Meeting	Airfare, Local Transportation, Meals, Lodging
3. National Academy of Sciences, Washington, D.C.	6/2/18-6/9/18	London, UK	Attend Royal Society's Seminar on Science & Law	Airfare, Train fare, Local Transportation, Meals, Lodging
4. American Philosophical Society, Philadelphia, PA	7/18/18-7/19/18	Philadelphia, PA	Record promotional video	Train fare, Local Transportation, Meals
5. National Academy of Sciences, Washington, D.C.	10/8/18	Washington, D.C.	Attend Committee Meeting	Local Transportation

FINANCIAL DISCLOSURE REPORT

Page 3 of 10

Name of Person Reporting	Date of Report
Tatel, David S.	05/10/2019

6.	American Society of International Law, Washington, D.C.	11/16/18	Washington, D.C.	Attend Board Meeting	Local Transportation
----	---	----------	------------------	----------------------	----------------------

FINANCIAL DISCLOSURE REPORT

Page 4 of 10

Name of Person Reporting

Tatel, David S.

Date of Report

05/10/2019

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 10

Name of Person Reporting

Tatel, David S.

Date of Report

05/10/2019

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. Capital One Bank	A	Interest	K	T					
2. Starbucks Corp.	C	Dividend	M	T					
3. Standard & Poors Midcap 400	B	Dividend	M	T					
4. Federal Realty Investment Trust	B	Dividend	K	T	Donated (part)				
5. Avalonbay Communities	B	Dividend	K	T					
6. Spring, TX Indpt Sch 5% due 8/15/33	A	Interest			Redeemed	03/07/18	J	A	
7. Schwab Advisors Cash Reserves Premier Fund	A	Dividend	J	T	Sold (part)	01/11/18	J	A	
8. -See Line 7					Sold (part)	04/13/18	J	A	
9. -See Line 7					Sold (part)	07/13/18	J	A	
10. -See Line 7					Buy (add'l)	08/01/18	J		
11. -See Line 7					Buy (add'l)	09/26/18	K		
12. -See Line 7					Sold (part)	10/09/18	J	A	
13. -See Line 7					Buy (add'l)	11/14/18	K		
14. -See Line 7					Sold (part)	11/15/18	J	A	
15. DFA International Small Cap Value Portfolio	A	Dividend	J	T					
16. DFA T.A. U.S. Core Equity 2 Portfolio	B	Dividend	K	T	Sold (part)	12/27/18	K	A	
17. DFA US Core Equity 2 Portfolio	A	Dividend	L	T	Buy (add'l)	12/27/18	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	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 10

Name of Person Reporting

Tatel, David S.

Date of Report

05/10/2019

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. United Therapeutics Corp.		None	J	T					
19. Solaredge Tech		None	J	T					
20. DFA International Core Equity Portfolio	A	Dividend	K	T					
21. DFA Muni Real Return Portfolio Inst	B	Dividend	M	T	Buy (add'l)	09/27/18	K		
22. First Solar Inc.		None	J	T	Buy (add'l)	01/17/18	J		
23. Simplified Employee Pension Plan (SEP-IRA)									
24. --Schwab Advisors Cash Reserve Premier Fund	A	Dividend	J	T	Sold (part)	11/14/18	J	A	
25. --DFA Selectively Hedged Global Fixed Income Portfolio	B	Dividend	K	T	Sold (part)	11/13/18	J	A	
26. --DFA International Core Equity Portfolio	B	Dividend	L	T	Buy (add'l)	06/28/18	J		
27. ---See Line 26					Buy (add'l)	09/27/18	J		
28. ---See Line 26					Buy (add'l)	12/17/18	J		
29. Individual Retirement Account									
30. --U.S. Treasury TIPS 2% due 1/15/26	C	Interest	M	T					
31. --Vanguard S/T Investment Grade Fd	D	Dividend	N	T					
32. --Vanguard Inter Term Corporate Bond Fd	C	Dividend	L	T					
33. --DFA Five Year Global Fixed Income Portfolio	E	Dividend	N	T					
34. --DFA Selectively Hedged Global Fixed Income Portfolio	D	Dividend	N	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 7 of 10

Name of Person Reporting

Tatel, David S.

Date of Report

05/10/2019

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. --PIMCO Emerging Local Bond Fund	B	Dividend	K	T					
36. --DFA Emerging Markets Core Equity Portfolio	B	Dividend	L	T					
37. --DFA Emerging Markets Small Cap Portfolio	B	Dividend	L	T					
38. --DFA International Core Equity Portfolio	B	Dividend	K	T					
39. --DFA International Small Cap Value Portfolio	B	Dividend	M	T					
40. --DFA U.S. Core Equity 2 Portfolio	B	Dividend	L	T	Sold (part)	11/13/18	K	D	
41. --DFA U.S. Small Cap Value Portfolio	B	Dividend	M	T	Sold (part)	09/25/18	K	E	
42. ---See Line 41					Sold (part)	11/13/18	K	D	
43. --DFA U.S. Micro Cap Portfolio	A	Dividend	L	T					
44. --DFA Emerging Markets Value Portfolio	B	Dividend	L	T					
45. --Schwab Advisors Cash Reserve Premier Fund	A	Dividend	L	T					
46. --Templeton Global Bond Fund	B	Dividend	K	T					
47. --Vanguard Total International Bond ETF	B	Dividend	L	T					
48. --Vanguard Short-Term Inflation-Protected Securities ETF	B	Dividend	L	T					
49. --Vanguard Emerging Markets Government Bond ETF	B	Dividend	K	T					
50. --United Therapeutics		None	J	T					
51. --DFA Targeted Credit Portfolio	D	Dividend	N	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 \$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 8 of 10

Name of Person Reporting

Tatel, David S.

Date of Report

05/10/2019

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. MassMutual Life- whole life insurance policy	D	Int./Div.	N	T					
53. Rental property, Rappahannock County, VA (8/2/96 \$86,600)	D	Rent	L	R					
54. Nevada College Savings Plan Vanguard Moderate Growth Port (no control)		None	M	T					
55. Nevada College Savings Plan Vanguard Income Portfolio (no control)		None	J	T					
56. Nevada College Savings Plan Vanguard Conserv Grwth Port (no control)		None	K	T					
57. Nevada College Savings Plan Vanguard Growth Portfolio (no control)		None	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	

FINANCIAL DISCLOSURE REPORT

Page 9 of 10

Name of Person Reporting

Tatel, David S.

Date of Report

05/10/2019

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

5

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

Tatel, David S.

Date of Report

05/10/2019

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/ **David S. Tatel**

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