

FINANCIAL DISCLOSURE REPORT FINAL FILING

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 01/01/2019 to 04/01/2019
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.	

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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.)*

<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. 2019	American Bar Association - salary
2. 2019	Ropes & Gray LLP - retirement benefits
3. 2/2/19	American University - \$400 honorarium
4. 2019	Self-employed (consultant)

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. George Mason University Center for Law and Economics	Jan. 23-27, 2019	Islamorada, FL	Course on Economics for Judges	Transportation, lodging, and meals
2. American Law Institute	Mar. 6-8, 2019	Philadelphia, PA	Drafting Session - Restatement of Copyright Law	Transportation, lodging, and meals
3. NY Intellectual Property Law Association	Mar. 22-24, 2019	New York, NY	Program, Luncheon, and Meeting	Transportation, lodging, and meals
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.	BB&T	Mortgage on rental property	N
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. Rental Property, Alexandria, VA	E	Rent	P1	W					
2. Citibank (cash accounts)	A	Interest	K	T					
3. RGIP, LLC	B	Distribution	L	U					
4. Dept. of Justice Credit Union (cash)	B	Interest	N	T					
5. 401(k) #1 (H)									
6. Ameriprise Insured Deposit Account (IDA) (cash)	A	Interest	L	T					
7. WCM Focus Int Growth Inst (WCMIX)		None	M	T					
8. Advisors Inner Circle FDS Edgewood Growth Instl CI (EGFIX)		None	N	T	Buy (add'l)	01/23/19	K		
9. Artisan High Income Inst (APHFX)	C	Dividend	M	T	Sold (part)	01/23/19	L		
10. Artisan Intl Value Inst (APHKX)		None	M	T					
11. Ashmore Emerging Markets Short Dur I (ESFIX)	A	Dividend	M	T	Buy	02/21/19	M		
12. Blackrock Strategic Income Opportunities (BSIIX)	A	Dividend			Sold	02/21/19	M		
13. Dreihaus Inc. Mut. Fd. Emerging Mkt. Act (DIEMX)		None	M	T	Buy (add'l)	01/23/19	K		
14. FMI Funds Large Cap (FMIQX)		None	N	T	Sold (part)	01/23/19	M		
15. Matthews Intl Fds Asia Div. Fd. (MIPIX)		None	M	T	Buy (add'l)	01/23/19	L		
16. Metropolitan West Tot Ret Bd P (MWTSX)	D	Dividend	O	T	Buy (add'l)	01/23/19	K		
17. Miller Invt TR Convertible Bond Fund (MCIFX)	A	Dividend	L	T					

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	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	F = \$50,001 - \$100,000 (See Columns C1 and D3)	J = \$15,001 or less N = \$250,001 - \$500,000 P3 = \$250,001 - \$500,000	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	Q = Appraisal (See Column C2)	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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18. Newberger Berman Core Bd Fd Intl Cl (NCRLX)	C	Dividend	N	T	Sold (part)	01/23/19	M		
19. Transamerica Intl Sml Cap Value (TISVX)		None	M	T					
20. Vanguard Index Sml Cap Index Admiral (VSMAX)	A	Dividend	M	T					
21. Vanguard Index 500 Index Admiral (VFIAX)	B	Dividend	N	T	Sold (part)	01/23/19	M		
22. Oil & Gas Royalty (Houston & San Antonio, TX)	C	Royalty	L	W					
23. 529 ACCOUNTS (H)									
24. U Fund College Investing Plan #1: Fidelity Funds, MA Portfolio 2021		None	K	T					
25. U Fund College Investing Plan #2: Fidelity Funds, MA Portfolio 2024		None	K	T					
26. U Fund College Investing Plan #3: Fidelity Funds, MA Portfolio 2024		None	K	T					
27. U Fund College Investing Plan #4: Fidelity Funds, MA Portfolio 2027		None	K	T					
28. U Fund College Investing Plan #5: Fidelity Funds, MA Portfolio 2027		None	K	T					
29. U Fund College Investing Plan #6: Fidelity Funds, NH Portfolio 2030		None	K	T					
30. U Fund College Investing Plan #7: Fidelity Funds, NH Portfolio 2033		None	J	T					
31. Trust #1 (H)									
32. Federated Govt Obli Fd (GOFXX)	A	Dividend	K	T					
33. Edgewood Growth Fund (EGFIX)		None	L	T					
34. FMI Large Cap Fd (FMIHX)		None	L	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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35. Vanguard 500 Index Fund (VOO)	A	Dividend	L	T					
36. Artisan Intl Value Fd Ins (APHKX)		None	K	T					
37. WCM Focused International Growth Fund (WCMIX)		None	K	T					
38. Vanguard Sml Cap Index Fd (VB)	A	Dividend	K	T					
39. Transamerica Intl Small Cap Value Fd (TISVX)		None	K	T					
40. Driehaus Emg Mkts Growth Fund (DREGX)		None	K	T					
41. Matthews Asia Dividends Ins (MAPIX)	A	Dividend	K	T					
42. NB Muni I/T Bonds Fnd Ins. (NBH)	A	Dividend	M	T					
43. Vanguard I/T T/E Fd Adm (VWITX)	A	Dividend	M	T					
44. Nuveen Short Duration High Yield Muni Bond Fd. (NVHAX)	A	Dividend	K	T					
45. Blackrock Strategic Inc. Opp Fd Ins (BSILX)	A	Dividend			Sold	02/22/19	K		
46. Miller Convertible Bond Fund (MCIFX)	A	Dividend	K	T					
47. Ashmore EM Mkts Sht Dur-Inst	A	Dividend	K	T	Buy	02/22/19	K		
48. ABAThrt Savings 401(k) (no control) (H)									
49. Vanguard Target Ret 2040 (VFORX)		None	M	T					
50. Vanguard Target Ret Inc (VTINX)	A	Dividend	M	T					
51. Vanguard Ext Mkt Idx Adm (VEXAX)	A	Dividend	L	T					

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

Part VII, lines 48-51: 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.

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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/ 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