

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) KAGAN, ELENA	2. Court or Organization SUPREME COURT	3. Date of Report 05/11/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) ASSOCIATE JUSTICE	5a. Report Type (check appropriate type) ☐ Nomination Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2016 to 12/31/2016
	5b. ☐ Amended Report	
7. Chambers or Office Address 1 FIRST STREET NE WASHINGTON, D.C. 20543		
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. VISITING PROFESSOR (SEPTEMBER 2016)	HARVARD LAW SCHOOL
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2016	PRESIDENT AND FELLOWS OF HARVARD COLLEGE - TEACHING	\$15,000.00
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.)*

<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.	NEW YORK UNIVERSITY SCHOOL OF LAW	APRIL 4-5, 2016	NEW YORK, NY	SPEECH, MOOT COURT	TRANSPORTATION, HOTEL, MEALS
2.	THE UNIVERSITY OF ARIZONA JAMES E. ROGERS COLLEGE OF LAW	AUGUST 30 - SEPTEMBER 1, 2016	TUCSON, AZ	SPEECH	TRANSPORTATION, HOTEL, MEALS
3.	HARVARD LAW SCHOOL	SEPTEMBER 6-10, 2016	CAMBRIDGE, MA	TEACHING, SPEECH	TRANSPORTATION, HOTEL, MEALS
4.	YALE LAW SCHOOL	SEPTEMBER 21-24, 2016	NEW HAVEN, CT	CONFERENCE	TRANSPORTATION, HOTEL, MEALS

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5.	UNIVERSITY OF LOUISVILLE BRANDEIS SCHOOL OF LAW	OCTOBER 24, 2016	LOUISVILLE, KY	SPEECH	TRANSPORTATION, MEALS
6.	AMERICAN PHILOSOPHICAL SOCIETY	NOVEMBER 11-12, 2016	PHILADELPHIA, PA	SPEECH	TRANSPORTATION, MEALS

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

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. JUSTICE FEDERAL CREDIT UNION ACCOUNT	A	Interest	M	T					
2. FRANKLIN TEMPLETON MUTUAL BEACON FUND	D	Dividend	L	T					
3. VANGUARD PRIME MONEY MKT FUND	A	Dividend	K	T					
4. VANGUARD TOTAL STOCK MKT INDEX ADM	D	Dividend	N	T					
5. UNIV. OF CHICAGO RET - TIAA TRADITIONAL GUARANTEED FIXED ANNUITY	C	Interest	L	T					
6. UNIV. OF CHICAGO RET - CREF STOCK QCSTIX		None	K	T					
7. UNIV. OF CHICAGO RET - CREF BOND MARKET VIABILITY ANNUITY QCBMIX		None	K	T					
8. UNIV. OF CHICAGO RET - VANGUARD INT-TERM BOND	A	Dividend	K	T					
9. UNIV. OF CHICAGO RET - VANGUARD WINDSOR FUND ADMIRAL	B	Dividend	K	T					
10. IRA #1 - FIDELITY MAGELLAN FUND	D	Dividend	M	T					
11. IRA #1 - FIDELITY PURITAN FUND	D	Dividend	M	T					
12. IRA #1 - FIDELITY INTERMED BOND FUND	B	Dividend	L	T					
13. IRA #2 - VANGUARD TOTAL BOND MKT INDEX	A	Dividend	K	T					
14. IRA #2 - VANGUARD FED MONEY MKT FUND	A	Dividend	J	T					
15. IRA #2 - VANGUARD WELLESLEY INC FUND	B	Dividend	L	T					
16. IRA #2 - VANGUARD 500 INDEX FUND	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 \$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	

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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)
17. IRA #2 - VANGUARD INTL EXPLORER FUND	A	Dividend	K	T					
18. DREYFUS GNMA FUND - CLASS Z	A	Dividend	J	T					
19. VANGUARD - GNMA FUND INVESTOR SHARES	A	Dividend	J	T					
20. CHARLES SCHWAB MONEY MARKET FUND ACCOUNT	A	Dividend	L	T	Distributed (part)	07/05/16	J		
21. SCHWAB S&P 500 INDEX FUND	C	Dividend	M	T					
22. WASHINGTON, DC - RENTAL PROPERTY	B	Rent	K	W					
23. CITIBANK ACCOUNT	A	Interest	M	T	Open	10/21/16	M		

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

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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/ ELENA KAGAN

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