

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) Chen, Raymond T.	2. Court or Organization Court of Appeals for Federal Circuit	3. Date of Report 05/12/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Circuit Judge (Active)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address U.S. Court of Appeals for the Federal Circuit 717 Madison Place, N.W. 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.	

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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.	Colorado and Denver Bar Associations	1/8-10/2016	Vail, CO	Activity of professional association (Panelist)	Airfare; lodging; shuttle to airport.
2.	Korean American Bar Association of San Diego	2/25/2016	San Diego, CA	Activity of professional association (Speaker)	Airfare; lodging; meal; taxi fare.
3.	Santa Clara Univ., Federal Circ. Bar Assoc., High Tech Law, Bay Area IP Inn of Court	2/26-27/2016	San Jose, CA	Activity of professional association (Panelist)	Airfare; lodging; meal; taxi fare.
4.	Biotechnology Innovation Organization Intellectual Property	3/29-4/1/2016	San Antonio, TX	Activity of professional association (Speaker)	Airfare; lodging; taxi fare.

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5.	New York Intellectual Property Law Association	4/1-2/2016	New York City, NY	Activity of professional association	Transportation; lodging; meals.
6.	American Inns of Court-Atlanta Intellectual Property Inn	5/11-12/2016	Atlanta, GA	Activity of professional association	Airfare; lodging; taxi fare.
7.	Jimmie V. Reyna Intellectual Property Am. Inn of Court	5/24/2016, 5/25/2016	Minneapolis, MN	Activity of professional association (Panelist)	Airfare; lodging; meals; taxi fare.
8.	Federal Circuit Bench and Bar Association	6/22-24/2016	Nashville, TN	Activity of professional associations (Speaker)	Airfare; lodging; meals; taxi fare.
9.	European Patent Lawyers Assoc. and Federal Circuit Bench and Bar Assoc.	10/11-15/2016	Paris, France	Activity of professional association (Panelist)	Airfare; lodging; taxi fare.
10.	The Honorable Ronald M. Whyte Symposium	10/18-19/2016	San Francisco, CA	Activity of professional association (Panelist)	Airfare; lodging; taxi fare.
11.	Eastern District of TX Bench Bar Association	10/19-20/2016	Dallas, TX	Activity of professional association (Panelist)	Airfare; lodging; taxi fare.
12.	New York University and IP Institute	11/30-12/1/2016	New York City, NY	Activity of professional association and Law School (Panelist)	Transportation; lodging; parking.

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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.	Wells Fargo Financial National Bank	Credit Card	J
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. CollegeBoundfund Age-Based Moderate Growth Portfolio		None	N	T					
2. SunTrust Bank Accounts	A	Interest	K	T					
3. Fidelity Cash Reserves	A	Interest	L	T					
4. AllianceBernstein Balance Wealth Strategy Fund	A	Dividend	J	T					
5. *JNL/S&P4		None	L	T					
6. JNL/Mellon Capital Management Oil & Gas Sector		None	K	T					
7. *JNL/FPA + DoubleLine Flexible Allocation		None	M	T					
8. JNL/S&P Intrinsic Value		None	L	T					
9. JNL/Mellon Capital Healthcare Sector		None	K	T					
10. JNL/Mellon Capital Small Cap Index		None	L	T					
11. JNL/S&P Total Yield		None	L	T					
12. JNL/Mellon Capital S&P SMid60		None	K	T					
13.									
14.									
15.									
16.									
17.									

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

Additional Information regarding Section VII:

Line 5. *JNL/Mellon Capital Management 25 Fund, Value Code L, Value Method Code T was sold and JNL/S&P4 was purchased on 9/25/2015. The value information of the JNL/S&P4 on 9/25/2015 was Value Code L; Value Method Code was T. This transaction was inadvertently overlooked in the 2015 Report.

Line 7. *JNL/Ivy Asset Strategy, Value Code M, Value Method Code T was converted to JNL/FPA + DoubleLine Flexible Allocation on 4/25/2016. The current value information of JNL/FPA + DoubleLine Flexible Allocation remains Value Code M, Value Method Code T.

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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/ **Raymond T. Chen**

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
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