

**FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2019**

*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) Bacharach, Robert E.	2. Court or Organization Court of Appeals for the 10th Circuit	3. Date of Report 07/31/2020
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	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
7. Chambers or Office Address 200 NW 4th Street Room 2421 Oklahoma City, OK 73102		
IMPORTANT NOTES: <i>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>		

I. POSITIONS. *(Reporting individual only; see pp. 9-13 of filing instructions)*

☐ NONE *(No reportable positions.)*

POSITION

NAME OF ORGANIZATION/ENTITY

1. At Large Director	Federal Bar Association, Oklahoma City Chapter
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.	

Name of Person Reporting	Date of Report
Bacharach, Robert E.	07/31/2020

III. NON-INVESTMENT INCOME. (Reporting individual and spouse; see pp. 17-24 of filing instructions)

A. Filer's Non-Investment Income

[X] 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.)

[X] 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.)

[X] NONE (No reportable reimbursements.)

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.				
2.				
3.				
4.				
5.				

Name of Person Reporting	Date of Report
Bacharach, Robert E.	07/31/2020

V. GIFTS. (Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)

☒ NONE (No reportable gifts.)

SOURCE	DESCRIPTION	VALUE
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.)

CREDITOR	DESCRIPTION	VALUE CODE
1. Charles Schwab & Co., Inc.	Margin Loan (Brokerage Account)	K
2. [REDACTED] Oklahoma City, Oklahoma	Student Tuition	J
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 9

Name of Person Reporting

Bacharach, Robert E.

Date of Report

07/31/2020

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1. VANGUARD VARIABLE ANNUITY									
2. - Vanguard Equity Index Portfolio	A	Int./Div.	L	T					
3. - Vanguard Diversified Value Portfolio	A	Int./Div.	L	T					
4. - Vanguard Growth Portfolio	A	Int./Div.	L	T					
5. - Vanguard International Portfolio	A	Int./Div.	M	T					
6. - Vanguard Mid-Cap Index Portfolio	A	Int./Div.	L	T					
7. - Vanguard REIT Index Portfolio	A	Int./Div.	K	T					
8. CHARLES SCHWAB & CO INC Acct #1									
9. - (DFEVX) DFA Emerging Markets Value I	A	Int./Div.	K	T					
10. - (DISVX) DFA Internationall Small Cap Portfolio	A	Int./Div.	K	T					
11. - (DFLVX) DFA US Large Cap Value I	B	Int./Div.	K	T					
12. - (FEUPX) Europacific Growth Fund	A	Int./Div.	J	T					
13. - (SFILX) Schwab Fundimental International Small Co Index	A	Int./Div.	J	T	Buy (add'l)	02/15/19	J		
14. - (SFNNX) Schwab Fundamental International Large	A	Int./Div.			Sold	01/31/19	J	A	
15. - (SWMXX) Schwab Money Market Fund	A	Int./Div.	J	T					
16. CHARLES SCHWAB & CO INC Acct #2									
17. - (SWGXX) Schwab Government Money Fund	A	Int./Div.	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 5 of 9

Name of Person Reporting

Bacharach, Robert E.

Date of Report

07/31/2020

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. - (SFENX) Schwab Fundimental Emerging Markets Large Company Index Fund	A	Int./Div.	J	T	Sold (part)	12/18/19	J	A	
19. - (SFILX) Schwab Fundimental International Small Co Index	A	Int./Div.	J	T	Sold (part)	09/13/19	J	A	
20. CHARLES SCHWAB & CO INC Acct #3									
21. - (DFEVX) DFA Emerging Markets Value I	B	Int./Div.	L	T					
22. - (DISVX) DFA International Small Cap Value I	C	Int./Div.	L	T	Buy (add'l)	02/15/19	J		
23. - (DFIVX) DFA International Value I	C	Int./Div.	L	T					
24. - (DFLVX) DFA US Large Cap Value I	B	Int./Div.	K	T					
25. - (DFS VX) DFA US Small Cap Value I	C	Int./Div.	M	T					
26. - (DURPX) DFA Hi Relatv Profitability Instnutional Fund	A	Int./Div.	L	T					
27. - (SFILX) Schwab Fundamental International Small Co Index					Sold	02/15/19	J	A	
28. - (SWMXX) Schwab Money Market Fund	A	Int./Div.	J	T					
29. - (VADDX) Invesco Equally-Weighted S&P 500 Fund	B	Int./Div.	K	T					
30. CHARLES SCHWAB & CO INC Acct #4									
31. - (INFIX) Advisory Research MLP & Energy Income I	C	Int./Div.	L	T					
32. - (DFEVX) DFA Emerging Markets Value I	A	Int./Div.	K	T					
33. - (DFITX) DFA International Real Estate Securities I	C	Int./Div.	K	T					
34. - (DISVX) DFA International Small Cap Value I	C	Int./Div.	L	T	Buy (add'l)	07/29/19	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 9

Name of Person Reporting

Bacharach, Robert E.

Date of Report

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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
35. - (DFIVX) DFA International Value I	C	Int./Div.	L	T					
36. - (DFREX) DFA Real Estate Securities I	A	Int./Div.	J	T					
37. - (IEMG) iShares Core MSCI Emerging Markets ETF	B	Int./Div.	L	T	Buy (add'l)	06/24/19	J		
38.					Buy (add'l)	07/29/19	J		
39.					Buy (add'l)	12/23/19	J		
40. - (VADDX) Invesco Equally Weighted S&P 500 Fund	C	Int./Div.	L	T					
41. - (SWMXX) Schwab Money Market Fund	A	Int./Div.	J	T					
42. - (VIGAX) Vanguard Growth Index Admiral	B	Int./Div.	M	T	Sold (part)	07/29/19	K	E	
43.					Sold (part)	12/19/19	J	B	
44. CHARLES SCHWAB & CO INC Acct #5									
45. - (SWMXX) Schwab Money Market Fund	A	Int./Div.	J	T					
46. - (DFIVX) DFA International Value I	A	Int./Div.	K	T					
47. CHARLES SCHWAB & CO INC Acct #6									
48. - (DTMMX) DFA Tax Managed US Marketwide Value	C	Int./Div.	L	T					
49. - (DFUSX) DFA US Large Company I	A	Int./Div.	J	T	Sold (part)	04/30/19	J	C	
50. - (DFS VX) DFA US Small Cap Value I	A	Int./Div.	K	T					
51. - (SWMXX) Schwab Money Market Fund	A	Int./Div.	J	T					

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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☐

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
52. - (VOE) Vanguard Mid-Cap Value EFT	B	Int./Div.	L	T					
53.									

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 8 of 9

Name of Person Reporting

Bacharach, Robert E.

Date of Report

07/31/2020

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

FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

Bacharach, Robert E.

Date of Report

07/31/2020

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/ Robert E. Bacharach**

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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