

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) Millett, Patricia A.	2. Court or Organization U.S. Court of Appeals for the DC Circuit	3. Date of Report 10/05/2020
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 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. Trustee	The [REDACTED] Trust dated February 25, 1998 as amended.
2. Trustee	The [REDACTED] Living Trust dated February 25, 1998, as amended
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. 10/2019	New York University Teaching stipend for IJA New Appellate Judges Seminar (7/14-18/2019)	\$1,800.00
2. 02/2019	Georgetown Law School teaching compensation (1/16-4/24/2019)	\$8,625.00
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	Florida Sugar Cane League, Inc. -- spouse's salary
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 Law School	2/7-10/2019	Stanford, CA	Stanford Supreme Court at Midterm Conference	Transportation & meals
2. Harvard Law School	3/31-4/1/2019	Cambridge, MA	Harvard Law Review Panel	Transportation & meals
3. American Law Institute	5/20-22/2019	Washington, DC	ALI Council meetings	Transportation & meals
4. Federal Judiciary Center	5/28-30/2019	Durham, NC	FJC Law & Technology for Judges Seminar	Transportation & meals
5. New York University	7/14-18/2019	New York, NY	IJA New Appellate Judges Seminar	Transportation, lodging & meals

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6.	William & Mary School of Law	9/13-14/2019	Williamsburg, VA	Supreme Court Preview: Panel Member	Transportation
7.	American Law Institute	9/19/2019	New York, NY	Restatement of the Law Third Law of American Indians	Transportation & meals
8.	American Law Institute	10/16-18/2019	New York, NY	ALI Council meetings	Transportation & meals
9.	American Bar Association - Section of Litigation	11/14-15/2019	Chicago, IL	2019 Women in Litigation Joint CLE Conference	Transportation & lodging

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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.		
2.		
3.		
4.		
5.		

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. US Treasury Bonds	A	Interest	K	T					
2. Wells Fargo Bank - Various accounts	A	Interest	M	T					
3. Florida Sugar Cane League, Inc. 401(k) Plan (H)									
4. -WF Stable Fund C	A	Dividend	J	T					
5. -FID FDM idx 2025 INV	C	Int./Div.	N	T	Buy (add'l)	03/31/19	J		
6.					Buy (add'l)	06/30/19	J		
7.					Buy (add'l)	09/30/19	J		
8.					Buy (add'l)	12/31/19	J		
9. American Funds Growth Fund of America 529 Plan (H)									
10. -Growth Fund of America 529A	A	Dividend			Buy (add'l)	07/03/19	J		
11.					Buy (add'l)	07/11/19	J		
12.					Sold (part)	07/23/19	K		
13.					Sold (part)	10/07/19	M		
14.					Sold	12/12/19	J		
15. American Funds Income Fund of America 529 Plan (H)									
16. -Income Fund of America 529A	C	Dividend			Buy (add'l)	07/03/19	J		
17.					Buy (add'l)	07/11/19	J		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

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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)	(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)
18.					Sold (part)	07/23/19	K		
19.					Sold (part)	10/07/19	M		
20.					Sold	12/12/19	J		
21. American Funds VCSP/College America 529 Plan (H)									
22. - AF U.S. Government Money Market - 529A	A	Dividend	M	T	Buy	10/07/19	M		
23. - AF U.S. Government Money Market - 529A					Buy (add'l)	10/07/19	M		
24. Brokerage Account #1 (H)									
25. -Lockheed Martin Corp - Common	E	Int./Div.	O	T					
26. Brokerage Account #2 (H)									
27. -Raymond James Bank	A	Interest	J	T					
28. -First Eagle Global Fund		None			Sold (part)	06/25/19	L		
29. -First Eagle Global Fund					Sold (part)	07/15/19	J		
30. -First Eagle Global Fund					Sold	10/25/19	K		
31. -T. Rowe Price Capital Appreciation Fund	D	Dividend	M	T	Sold (part)	10/25/19	J	D	
32. -T. Rowe Price Capital Appreciation Fund					Buy (add'l)	12/16/19	J		
33. Brokerage Account #3 UTMA (H)									
34. -T. Rowe Price Capital Appreciation Fund	A	Dividend	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	

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35. Brokerage Account #4 UTMA (H)									
36. -T. Rowe Price Capital Appreciation Fund	A	Dividend	J	T					
37. █████ Prudential (H)									
38. -AST Academic Strategies Asset Alloc Port	A	Interest	J	T					
39. █████ Revocable Trust Liv Trust Jackson Na (H)									
40. -JNL/Lazard Emerging		None	J	T					
41. -JNL/Mellon S&P 400		None	J	T					
42. -JNL/Mellon Cap Small Cap		None	J	T					
43. -JNL/Mellon Tech		None	J	T					
44. -JNL/Mellon Healthcare		None	J	T					
45. -JNL/Invesco China-India		None	J	T					
46. -JNL T.Rowe Price Mgd Vol		None	K	T					
47. -JNL/Mellon Cap Europe					Sold	04/05/19	J	A	
48. -JNL Tactical ETF Growth		None	K	T					
49. -JNL/Lazard IntlStratEq		None	J	T					
50. █████ Brokerage- - non-retirement (H)									
51. -Oppenheimer Global		None	J	T					

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52. [REDACTED] Brokerage -- retirement (H)									
53. -Putman Absolute Return 700		None	J	T					
54. -Principal Global Diversivied Income	A	Dividend	K	T					
55. -Putnam Multi Cap Core	A	Dividend	J	T					
56. -Highland Small Cap		None	J	T					
57. -Principal Balance	A	Dividend	J	T					
58. -AM Beacon Global Frontier	A	Dividend	J	T					
59. -AM Balance Fund	A	Dividend	J	T					
60.									

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

(1) Part VII, Lines 37-59: These assets are in [REDACTED] Revocable Living Trust; I am Trustee and a named beneficiary. I have no current financial interest or income from these assets or from the Living Trust.

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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/ **Patricia A. Millett**

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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Washington, D.C. 20544