

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) Griffith, Thomas B.	2. Court or Organization US Court of Appeals for the D.C. Circuit	3. Date of Report 8/27/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 1/1/2019 to 12/31/2019
7. Chambers or Office Address 333 Constitution Avenue, NW Suite 3917 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. Member, International Advisory Board	CEELI Institute
2. Director, President	The Temple and Observatory Group
3. Member, Advisory Board and Imprint Board	Neal A. Maxwell Institute
4. Member, Board of Directors	Historical Society of the District of Columbia Circuit
5. Member, Advisory Board	BYU Law School

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. 2000	Deseret Mutual Benefit Association (DMBA) Investment Fund (retirement plan)
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. 2019	Harvard Law School - Lecturer on Law salary	\$28,050.00
2. 2019	Deseret Mutual Benefit Association - Retirement Account	\$18,867.60
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.	Administrative Office of the U.S. Courts	1/2/2019 - 1/4/2019	San Diego, CA	Attend the meeting of the Code of Conduct Committee	Airfare, baggage fee, taxi, accommodations, meals, parking, mileage
2.	Harvard Law School	1/6/2019 - 1/18/2019	Cambridge, MA	Teach Class - "The Role of the ArSpeak at J. Reuben Clark Law Society Annual Fireside	Airfare, baggage fee, taxi, accommodations, parking, mileage
3.	University of Virginia Law School	2/28/2019	Charlottesville, VA	Participate in conference on Originalism	Mileage, meals
4.	Temple Observatory Group	3/24/2019 - 3/25/2019	Cambridge, MA	Participate in Temple Observatory Group meeting	Train, taxi, accommodations, meals

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5.	Federalist Society	3/28/2019 - 3/30/2019	Idaho Falls, ID	Speak to Federalist Society members	Airfare, accommodations, meals, parking, mileage
6.	Temple Observatory Group	4/8/2019 - 4/10/2019	New Haven, CT	Participate in Temple Observatory Group meetings	Train, taxi, accommodations, meals
7.	Federalist Society	4/10/2019 - 4/11/2019	New Haven, CT	Speak to Yale Law School Federalist Society members	Train, accommodations, meals, mileage
8.	Brigham Young University	6/7/2019 - 6/9/2019	Provo, UT	Attend Maxwell Institute Board Meeting and Imprint Board Meeting	Airfare, baggage fee, car rental, accommodations, meals, parking, mileage
9.	Brigham Young University	9/23/2019 - 9/26/2019	Provo, UT	Participate in J. Clifford Wallace Lecture at BYU Law	Airfare, baggage fee, car rental, accommodations, meals, mileage, parking
10.	Federalist Society	10/25/2019 - 10/29/2019	Stanford, CA	Speak to the Stanford Law School Federalist Society members	Airfare, baggage fee, taxis, meals, parking, mileage
11.	Brigham Young University	11/11/2019 - 11/17/2019	Provo, UT	Attend Maxwell Institute Board Meeting, Speak to 1L students and FedSoc Group	Airfare, baggage fee, car rental, accommodations, meals, parking, mileage
12.					
13.					

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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. Wells Fargo Bank Acct	A	Interest	J	T					
2. Nuveen Multi-Manager Large-Cap Value A	A	Dividend	J	T					
3. DMBA Investment Fund	A	Dividend	K	T					
4. Edward Jones Money Market	A	Interest	J	T					
5. MUTUAL FUNDS (H)									
6. --Lord Abbett Fund Cl A	A	Dividend	J	T					
7. --Washington Mutual Invs FD Cl A	A	Dividend	K	T					
8. --Blackrock Equity Dividend	A	Dividend	J	T	Sold (part)	01/03/19	J	A	
9.					Buy (add'l)	04/03/19	J		
10.	A	Dividend	J	T	Sold (part)	05/10/19	J	A	
11.	A	Dividend	J	T	Sold (part)	06/06/19	J	A	
12. --Blackrock High Yield Bond K	A	Dividend	J	T	Buy	04/03/19	J		
13.	A	Dividend	J	T	Sold (part)	05/10/19	J	A	
14.	A	Dividend	J	T	Sold (part)	06/06/19	J	A	
15. --Bridge Builder Core Bond	A	Dividend	K	T	Sold (part)	01/03/19	J	A	
16.	A	Dividend	K	T	Sold (part)	04/01/19	J	A	
17.	A	Dividend	K	T	Sold (part)	05/10/19	J	A	

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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18.	A	Dividend	K	T	Sold (part)	06/06/19	J	A	
19. --Bridge Builder Core Plus Bond	A	Dividend	K	T					
20.	A	Dividend	K	T	Sold (part)	01/03/19	J	A	
21.					Buy (add'l)	04/03/19	J		
22.	A	Dividend	K	T	Sold (part)	05/10/19	J	A	
23.	A	Dividend	K	T	Sold (part)	06/06/19	J	A	
24. --Bridge Builder INTL Equity	A	Dividend	J	T	Sold (part)	01/03/19	J	B	
25.	A	Dividend	J	T	Sold (part)	05/10/19	J	B	
26.	A	Dividend	J	T	Sold (part)	06/06/19	J	B	
27. --Bridge Builder Large Growth	C	Dividend	J	T	Sold (part)	01/03/19	J	A	
28.	C	Dividend	J	T	Sold (part)	05/10/19	J	A	
29.	C	Dividend	J	T	Sold (part)	06/06/19	J	A	
30. --Bridge Builder Large Value	C	Dividend	K	T	Sold (part)	01/03/19	J	A	
31.	C	Dividend	K	T	Sold (part)	05/10/19	J	A	
32.	C	Dividend	K	T	Sold (part)	06/06/19	J	A	
33. --Bridge Builder Smallmid Growth	B	Dividend	J	T	Sold (part)	01/03/19	J	A	
34.	B	Dividend	J	T	Sold (part)	05/10/19	J	A	

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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	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.	B	Dividend	J	T	Sold (part)	06/06/19	J	A	
36. --Bridge Builder Smallmid Value	B	Dividend	J	T	Sold (part)	01/03/19	J	A	
37.	B	Dividend	J	T	Sold (part)	05/10/19	J	A	
38.	B	Dividend	J	T	Sold (part)	06/06/19	J	A	
39. --Capital World Bond	B	Dividend	J	T	Sold (part)	01/03/19	J	A	
40.	B	Dividend	J	T	Sold (part)	05/10/19	J	A	
41.	B	Dividend	J	T	Sold (part)	06/06/19	J	A	
42. --Dodge & Cox INTL Stock	A	Dividend	J	T	Sold (part)	01/03/19	J	A	
43.	A	Dividend	J	T	Sold (part)	05/10/19	J	A	
44.	A	Dividend	J	T	Sold (part)	06/06/19	J	A	
45. --Franklin Dynatech (X)	E	Dividend			Sold	04/02/19	K	A	
46. --Franklin Mutual Global Disc A (X)	E	Dividend	K	T					
47. --Franklin VA Tax-Free Income A1 (X)	E	Dividend							
48.	E	Dividend			Sold (part)	03/29/19	K	A	
49.					Sold	06/06/19	J	A	
50. --Janus Flexible Bond	B	Dividend			Sold	04/01/19	J	A	
51. --JPMorgan Federal Money Market Fund Institutional Cl	A	Dividend	J	T	Sold (part)	01/03/19	J	A	

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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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52. --JP Morgan Strategic Inc Opp C (X)	D	Dividend			Sold	06/05/19	J	A	
53. --Neuberger Berman Genesis	A	Dividend	J	T	Sold (part)	01/03/19	J	A	
54.	A	Dividend	J	T	Sold (part)	05/10/19	J	A	
55.	A	Dividend	J	T	Sold (part)	06/06/19	J	A	
56. --Neuberger Berman High Income	A	Dividend	J	T	Sold (part)	01/03/19	J	A	
57.	A	Dividend	J	T	Sold (part)	05/10/19	J	A	
58.	A	Dividend	J	T	Sold (part)	06/06/19	J	A	
59. --Prudential Total Return Bond	A	Dividend	J	T	Sold (part)	01/03/19	J	A	
60.	A	Dividend	J	T	Sold (part)	05/10/19	J	A	
61.	A	Dividend	J	T	Sold (part)	06/06/19	J	A	
62. --T Rowe Price Equity Income	A	Dividend	J	T	Sold (part)	01/03/19	J	A	
63.	A	Dividend	J	T	Sold (part)	05/10/19	J	A	
64.	A	Dividend	J	T	Sold (part)	06/06/19	J	A	
65. --Tiaa-Cref Mid-Cap Value C1 I (X)	A	Dividend	J	T	Sold (part)	01/03/19	J	A	
66.	A	Dividend	J	T	Sold (part)	06/06/19	J	A	
67. --Dimensional International Small Company Fund	A	Dividend	J	T					
68. --WA Managed Municipals C (X)	E	Dividend							

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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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69.					Sold	06/05/19	K	A	
70. MUNICIPAL BONDS (H)									
71. --Loudoun Cnty Virginia Public Improvement Gen Oblig Ser A	A	Interest			Redeemed	07/01/19	J	A	
72. --Norfolk Virginia General Obligation Cap Impt & Rfdg A	A	Interest	J	T					
73. --Suffolk Virginia Refunding General Obligation	A	Interest	J	T					
74. --Isle Wight County Virginia Refunding Series A Gen Oblig	A	Interest	J	T					
75. --Suffolk Virginia General Obligation & Refunding	A	Interest	J	T					
76. --Hampton Virginia Public Improvement General Obligation	A	Interest	J	T					
77. --Virginia State Series A-2 General Obligation	A	Interest	K	T					
78. --Fairfax Cnty Virginia Econ Dev Auth Fac Rev Cmnty Svcs Facs A	A	Interest	J	T					
79. --Harrisonburg Virginia GO Pub Impt	A	Interest			Sold	06/05/19	J	A	
80. STOCKS (H)									
81. --Realty Income Corp	D	Dividend	K	T					
82. --Coca-Cola Co (X)	D	Dividend	K	T					
83. --Colgate Palmolive Co (X)	B	Dividend	K	T					
84.	B	Dividend	K	T	Sold (part)	06/05/19	K	B	
85. --Eli Lilly & Co (X)	B	Dividend	K	T					

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86. --Garrett Motion Inc.(X)	A	Dividend	J	T					
87. --General Mills Inc. (X)	B	Dividend	J	T					
88.	B	Dividend	J	T	Sold (part)	06/05/19	J	A	
89. --Honeywell International Inc (X)	D	Dividend	K	T					
90. --Johnson & Johnson (X)	B	Dividend	K	T					
91. --Kimberly Clark Corp (X)	C	Dividend	K	T					
92.	C	Dividend	K	T	Sold (part)	06/05/19	J	B	
93. --Residio Technologies Inc (X)	A	Dividend	J	T					
94. --WP Carey Inc (X)	C	Dividend	L	T					
95. EXCHANGE TRADED AND CLOSED END FUNDS (H)									
96. --Sector Spdr Trust Utilities	D	Dividend	K	T					
97. LINCOLN FINANCIAL LIFE INSURANCE AMERICAN LEGACY II VARIABLE (H)	A	Dividend							
98. -Indiv. Fixed			K	T	Sold (part)	06/06/19	K	B	
99. -AMR Grth/Inc.			K	T	Sold (part)	06/06/19	J	B	
100. -AMR Growth			L	T	Sold (part)	06/06/19	J	C	
101. -AMR INTL			K	T	Sold (part)	06/06/19	J	A	

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	

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)
102. -AMR Govt Aaa			K	T	Sold (part)	06/06/19	K	B	
103. DFA International Small Company	A	Dividend	J	T	Sold (part)	01/03/19	J	A	
104.	A	Dividend	J	T	Sold (part)	05/10/19	J	A	
105.	A	Dividend	J	T	Sold (part)	06/06/19	J	A	

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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Name of Person Reporting

Griffith, Thomas B.

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

Part VII -- Investments and Trusts

#6 -- Lord Abbett Fund C1 A was previously listed as an IRA, in error, but is a mutual fund so was moved into the mutual fund section of this report.

#7 -- Washington Mutual Invs FD C1 A was previously listed as an IRA, in error, but is a mutual fund so was moved into the mutual fund section of this report.

#65 -- TIAA-Cref Mid-Cap Value C1 I purchase was mistakenly omitted from the 2018 report. B(1) A; B(2) Dividend; D(1) Buy; D(2) 8/3/18; D(3) J.

Virginia State Housing Dev. Authority Rental was sold in 2016 and mistakenly carried forward through 2018. Entries for 2016: B(1) A; B(2) Dividend; C(1) J; C(2) T; D(1) Sold; D(2) 10/27/16; D(3) J; D(4) A.

Dimensional International Small Company Fund and DFA International are one in the same entity and were mistakenly entered as two entities in 2018.. Dimensional International Small Company Fund has been deleted and DFA International Small Company is now the correct entry.

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Griffith, Thomas B.

Date 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/ Thomas B. Griffith**

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
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