

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) Harris, Pamela A.	2. Court or Organization U.S. Court of Appeals, Fourth Circuit	3. Date of Report 04/29/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Circuit Judge - Active Status	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2019 to 12/31/2019
7. Chambers or Office Address 7201 Wisconsin Avenue Suite 420 Bethesda, MD 20814		
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	Revocable Trust
2. Trustee	Revocable Trust
3. Trustee	Trust
4. Trustee	Trust
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 11

Name of Person Reporting

Harris, Pamela A.

Date of Report

04/29/2020

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	Univ. of VA School of Law, teaching income	\$10,000.00
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. 2019	Google LLC - salary, bonus, Alphabet Inc. equity
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. American Constitution Society	2/22/2019-2/24/2019	Charlottesville, VA	Non-FJC educational program	Food, lodging
2. Yale Law School	11/19/2019-11/20/2019	New Haven, CT	Non-FJC educational program	Transportation, lodging
3.				
4.				
5.				

Name of Person Reporting	Date of Report
Harris, Pamela A.	04/29/2020

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.		
2.		
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 11

Name of Person Reporting

Harris, Pamela A.

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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. SunTrust cash account	A	Interest	J	T					
2. M&T Bank cash account	A	Interest	J	T					
3. Bank of America cash accounts	D	Interest	O	T					
4. Northern Trust cash accounts	B	Interest	M	T					
5. Northwestern Mutual - whole life insurance policies	C	Dividend	M	T	Buy (add'l)	12/31/19	J		
6. Aberdeen US Small Cap Equity Fund		None	N	T	Buy (add'l)	06/03/19	J		
7. Agilent Technologies Common	B	Dividend	M	T					
8. Alphabet Inc. Common		None	P1	T	Sold (part)	02/26/19	M		
9.					Sold (part)	03/01/19	K		
10.					Sold (part)	06/03/19	L		
11.					Sold (part)	07/29/19	M		
12.					Sold (part)	11/04/19	M		
13. American Century Equity Growth Fund	A	Dividend	J	T					
14. American Funds EuroPacific Growth Fund	A	Dividend	J	T					
15. American Funds Growth Fund of America	D	Dividend	N	T	Buy (add'l)	06/03/19	J		
16. American International Group Inc. Common	A	Dividend	J	T					
17. American International Group Inc. Warrants		None	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 11

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☐ NONE (No reportable income, assets, or transactions.)

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18. Automatic Data Processing Common	D	Dividend	N	T					
19. Blackrock Advantage Large Cap Value Fund	D	Dividend	N	T	Buy (add'l)	06/03/19	J		
20. Blackrock High Yield Bond Portfolio Fund	E	Int./Div.	N	T	Buy (add'l)	05/15/19	M		
21.					Buy (add'l)	12/24/19	J		
22. BNY Mellon Small/Mid Cap Growth Fund		None	M	T	Buy	09/20/19	M		
23. Boston Partners All Cap Value Fund	C	Int./Div.	M	T	Buy (add'l)	06/03/19	J		
24. Broadridge Financial Solutions, Inc. Common	A	Dividend	K	T					
25. CDK Global Inc. Common	A	Dividend	K	T					
26. Cisco Systems Inc. Common	B	Dividend	K	T					
27. Clearbridge Dividend Strategy Fund	C	Dividend	N	T	Buy (add'l)	06/03/19	J		
28. Cigna Corp Common	A	Dividend	L	T					
29. Coca Cola Common	D	Dividend	M	T					
30. Davis New York Venture Fund	D	Dividend	N	T					
31. Dell Technologies Inc. Common		None	J	T					
32. DFA International Small Company Portfolio Fund	A	Dividend	J	T	Buy (add'l)	05/16/19	J		
33.					Buy (add'l)	08/23/19	J		
34. DFA U.S. Core Equity 1 Portfolio Fund	E	Dividend	P1	T	Buy (add'l)	05/15/19	L		

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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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FINANCIAL DISCLOSURE REPORT

Page 6 of 11

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35. Discover Financial Services Common	B	Dividend	L	T					
36. Exxon Mobil Corp. Common	E	Dividend	N	T					
37. Fidelity Advisor Mid Cap II Fund	A	Dividend			Sold	09/20/19	N		
38. Fidelity Advisor New Insights Fund	A	Dividend	N	T	Buy (add'l)	06/03/19	J		
39. First Eagle Global Fund	C	Dividend	M	T	Buy (add'l)	06/03/19	J		
40. Flexshares Morningstar Global Upstream Natural Resources Index Fund	E	Dividend	N	T	Buy (add'l)	05/16/19	J		
41.					Sold (part)	08/23/19	J		
42. Flexshares STOXX Global Broad Infrastrture Index Fund	C	Dividend	M	T	Buy (add'l)	05/16/19	J		
43.					Buy (add'l)	08/26/19	J		
44. Howard County, MD Municipal Bond	C	Interest	L	T					
45. IBM Corp. Common	D	Dividend	M	T					
46. Intel Corp. Common	C	Dividend	M	T					
47. Janus Enterprise Fund	A	Dividend	K	T					
48. Johnson & Johnson Common	D	Dividend	N	T					
49. Keysight Technologies Inc. Common		None	L	T					
50. McDonald's Corp. Common	E	Dividend	O	T					
51. Medtronic PLC Common	D	Dividend	O	T					

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FINANCIAL DISCLOSURE REPORT

Page 7 of 11

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52. Merk & Co. Common	D	Dividend	O	T					
53. MFS Value Fund	B	Dividend	M	T	Buy	09/20/19	M		
54. Morgan Stanley Common	B	Dividend	L	T					
55. Northern Emerging Markets Equity Index Fund	A	Dividend	J	T	Buy (add'l)	05/15/19	J		
56.					Sold (part)	08/23/19	J		
57. Northern Global Real Estate Index Fund	D	Dividend	N	T	Buy (add'l)	05/15/19	J		
58.					Buy (add'l)	08/23/19	J		
59. Northern High Yield Fixed Income Fund	A	Dividend	J	T	Buy (add'l)	05/15/19	J		
60.					Buy (add'l)	08/23/19	J		
61. Northern International Equity Index Fund	E	Dividend	P1	T	Buy (add'l)	05/15/19	J		
62.					Sold (part)	08/23/19	J		
63. Northern Mid Cap Index Fund	D	Dividend	N	T	Buy (add'l)	12/20/19	J		
64. Northern Small Cap Index Fund	B	Dividend	M	T	Buy (add'l)	05/15/19	J		
65.					Buy (add'l)	08/23/19	J		
66.					Buy (add'l)	12/20/19	J		
67. Northern Stock Index Fund	A	Dividend	K	T	Buy (add'l)	05/15/19	J		
68.					Buy (add'l)	08/23/19	J		

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FINANCIAL DISCLOSURE REPORT

Page 8 of 11

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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)
69.					Buy (add'l)	12/20/19	J		
70. Oakmark International Fund	C	Int./Div.	M	T	Buy (add'l)	06/03/19	J		
71. Pfizer Inc. Common	D	Dividend	N	T					
72. Prince George's County, MD Municipal Bonds	C	Interest	L	T					
73. Principal Midcap Fund	C	Dividend	O	T	Buy (add'l)	06/03/19	J		
74. Schlumberger Ltd. Common	C	Dividend	L	T					
75. SPDR S&P 500 ETF Trust	D	Dividend	N	T					
76. Texas Instruments Common	E	Dividend	O	T					
77. Vanguard Developed Markets Index Fund	A	Dividend	L	T	Buy (add'l)	01/01/19	J		
78. Vanguard Emerging Markets Select Stock Fund	D	Dividend	M	T					
79. Vanguard Emerging Markets Stock Index Fund	A	Dividend	K	T	Buy (add'l)	01/01/19	J		
80. Vanguard Explorer Fund	B	Dividend	M	T					
81. Vanguard Extended Market Index Fund	B	Dividend	M	T	Buy (add'l)	01/01/19	J		
82. Vanguard 500 Index Trust Fund	B	Dividend	M	T	Buy (add'l)	01/01/19	J		
83. Vanguard Int'l Equity Index Funds Emerging Markets Stock Index Fund	E	Dividend	O	T					
84. Vanguard International Growth Fund	B	Dividend	M	T					
85. Vanguard Life Strategy Growth Fund	A	Dividend	J	T					

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86. Vanguard Mid-Cap Growth Fund	B	Dividend	M	T					
87. Vanguard Mid-Cap Index Fund	B	Dividend	M	T					
88. Vanguard PrimeCap Core Fund	E	Dividend	O	T					
89. Vanguard REIT Index Fund	B	Dividend	M	T	Buy (add'l)	01/01/19	J		
90. Vanguard Small-Cap Index Fund	B	Dividend	M	T					
91. Vanguard Total Bond Market Index Fund	A	Dividend	K	T	Buy (add'l)	01/01/19	J		
92. Vanguard Total Stock Market Index Fund	B	Dividend	M	T					
93. Vanguard U.S. Growth Fund	B	Dividend	L	T					
94. Vanguard Wellington Fund	A	Dividend	L	T					
95. Vanguard Windsor II Fund	B	Dividend	M	T					
96. Western Digital Corp. Common	A	Dividend	K	T					
97. Zoetis Inc. Common	A	Dividend	L	T					

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FINANCIAL DISCLOSURE REPORT

Page 10 of 11

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

PART VII:

Alphabet Inc. shares (Part VII, lines 8-12) vested monthly throughout the year.

Vanguard funds with purchase date of 01/01/19 (Part VII, lines 77, 79, 81, 82, 89, 91) had purchases throughout 2019 from salary withholding.

FINANCIAL DISCLOSURE REPORT

Page 11 of 11

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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/ **Pamela A. Harris**

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