

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) Srinivasan, Srikanth	2. Court or Organization U.S. Court of Appeals for the District of Columbia Circuit	3. Date of Report 5/15/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Court of Appeals 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 E. Barrett Prettyman U.S. Courthouse and William B. Bryant Annex 333 Constitution Avenue, NW Washington, D.C. 20001		
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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Adjunct Professor of Law	Georgetown University Law Center
2. Trustee/Grantor	Trust #1
3. Adviser	American Law Institute
4. Member	Edward Coke Appellate Inn of Court
5. Committee Member	National Academies of Sciences, Engineering and Medicine

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. 2019	Georgetown University Law Center - Teaching in 2020
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	Georgetown University Law Center - Teaching Income	\$5,000.00
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.	
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. New York University School of Law	March 26-27, 2019	New York, NY	Orison S. Marden Moot Court Final (judge)	Transportation, meals, lodging
2. The Aspen Institute	July 8-14, 2019	Aspen, CO	Justice & Society Seminar (co-moderator)	Transportation, meals, lodging
3.				
4.				
5.				

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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. American Express	Credit Card	K
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. Brinker Destinations IRA (H)									
2. - Fidelity Cash Reserves (FDRXX)	A	Dividend	J	T					
3. - Destinations Large Cap Equity (DLCFX)	D	Dividend	N	T	Sold (part)	01/29/19	J	A	
4.					Buy (add'l)	09/24/19	J		
5. - Destinations Small Mid Cap Equity (DSMFX)	C	Dividend	L	T	Sold (part)	01/29/19	J	A	
6.					Sold (part)	07/10/19	J	A	
7. - Destinations International Equity (DIEFX)	B	Dividend	M	T	Buy (add'l)	07/10/19	J		
8.					Buy (add'l)	11/08/19	J		
9. - Destinations Equity Income (DGEFX)	A	Dividend	J	T	Buy (add'l)	09/24/19	J		
10. - Destinations Real Assets (DRAFX)		None			Sold	09/24/19	J		
11. - Destinations Multi Strategy (DMSFX)	B	Dividend	K	T	Sold (part)	11/08/19	J		
12. - Destinations Core Fixed Income (DCFFX)	B	Dividend	K	T	Buy (add'l)	01/29/19	J		
13.					Buy (add'l)	07/10/19	J		
14.					Buy (add'l)	09/24/19	J		
15.					Sold (part)	11/08/19	J		
16. - Destinations Low Duration Fixed Income (DLDFX)	A	Dividend	J	T	Buy (add'l)	01/29/19	J		
17.					Sold (part)	11/08/19	J		

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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18. - Destinations Global Fixed Income (DGFFX)	A	Dividend	K	T	Sold (part)	07/10/19	J		
19. Trust #1 - Brinker Destinations Brokerage Account (H)									
20. - Fidelity 500 Index (FXAIX)	A	Dividend	J	T	Sold (part)	01/29/19	J	A	
21.					Sold (part)	07/10/19	J	B	
22. - Columbia Select Large Cap Growth (ELGAX)		None			Sold	01/08/19	K		
23. - Delaware Value (DDVAX)	B	Dividend	K	T	Sold (part)	08/30/19	J	A	
24. - MFS International Value (MGIAX)		None			Sold (part)	01/29/19	J	A	
25.					Sold (part)	07/10/19	J	A	
26.					Sold	09/24/19	K	D	
27. - T. Rowe Price Growth Stock Advisor (TRSAX)	A	Dividend	K	T	Sold (part)	08/30/19	J	A	
28. - Virtus Mid Cap Value Equity (SMVTX)		None			Sold	01/08/19	K		
29. - T. Rowe Price Intl Stock Advisor (PAITX)		None			Sold	01/08/19	J	A	
30. - TCW Relative Value Dividend Apprec (TGIGX)		None			Sold	01/08/19	K	B	
31. - Touchstone Focused (TFOAX)		None			Sold	01/08/19	K	C	
32. - Wasatch International Opportunities (WAIOX)		None			Sold	01/08/19	J	A	
33. - Fidelity Cash Reserves (FCASH)	A	Dividend	J	T					
34. - Baron Emerging Markets (BEXFX)		None			Sold	01/08/19	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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35. - Driehaus Micro Cap Growth (DMCRX)		None			Sold	01/08/19	J	A	
36. -Touchstone Small Cap Value (TVOAX)		None			Sold	01/08/19	J		
37. - Destinations Real Assets (DRAFX)		None			Sold	09/24/19	J		
38. - Destinations Multi Strategy (DMSFX)	B	Dividend	K	T	Sold (part)	08/30/19	J		
39.					Sold (part)	11/08/19	J		
40. - Destinations Core Fixed Income (DCFFX)	A	Dividend	J	T	Sold (part)	01/29/19	J		
41. - Destinations Low Duration Fixed Income (DLDFX)	A	Dividend	J	T	Buy	01/29/19	J		
42.					Sold (part)	11/08/19	J		
43. - Destinations Global Fixed Income (DGFFX)	A	Dividend	K	T					
44. - Destinations Municipal Fixed Income (DMFFX)	B	Dividend	M	T	Buy (add'l)	01/29/19	J		
45.					Sold (part)	08/30/19	J	A	
46.					Buy (add'l)	09/24/19	J		
47. - Destinations Large Cap Equity (DCFFX)	B	Dividend	L	T	Buy	01/08/19	L		
48.					Buy (add'l)	01/09/19	J		
49.					Sold (part)	08/30/19	J	A	
50.					Buy (add'l)	09/24/19	J		
51.					Buy (add'l)	11/08/19	J		

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52. - Destinations Small Mid Cap Eq (DSMFY)	B	Dividend	K	T	Buy	01/08/19	K		
53.					Buy (add'l)	01/09/19	J		
54.					Sold (part)	01/29/19	J	A	
55.					Sold (part)	08/30/19	J	A	
56. - Destinations Intl Equity Fd (DIEFX)	A	Dividend	L	T	Buy	01/08/19	K		
57.					Buy (add'l)	01/09/19	J		
58.					Buy (add'l)	01/29/19	J		
59.					Buy (add'l)	07/10/19	J		
60.					Sold (part)	08/30/19	J	A	
61.					Buy (add'l)	09/24/19	K		
62.					Buy (add'l)	11/08/19	J		
63. - Destinations Equity Income Fd (DGEFX)	A	Dividend	J	T	Buy	07/10/19	J		
64.					Buy (add'l)	09/24/19	J		
65. American Funds Roth IRA (H)									
66. - American Funds AMCAP (AMCPX)	A	Dividend	J	T					
67. - American Funds New World (NEWFX)	A	Dividend	J	T					
68. - American Funds Small Cap World (SMCWX)	A	Dividend	J	T					

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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. - American Funds Capital World Growth & Income (CWGIX)	A	Dividend	J	T					
70. - American Funds Washington Mutual (AWSHX)	A	Dividend	J	T					
71. - American Funds Income Fund of America (AMECX)	A	Dividend	J	T					
72. Wells Fargo Cash Accounts (H)	A	Interest	K	T					
73. Citibank Checking Account (H)	A	Interest	J	T					
74. American Funds College Savings Plan (529) #1 (H)									
75. - College 2021 Fund 529 (CTOFX)	C	Dividend	M	T					
76. - College 2024 Fund 529 (CTFFX)	C	Dividend	M	T					
77. - AF U.S. Government Money Market 529 (FARXX)	B	Dividend	M	T					
78. American Funds College Savings Plan (529) #2 (H)									
79. - College 2021 Fund 529 (CTOFX)	C	Dividend	M	T					
80. - College 2024 Fund 529 (CTFFX)	C	Dividend	M	T					
81. - AF U.S. Government Money Market 529 (FARXX)	B	Dividend	M	T					
82. - Preservation Portfolio 529 (CPPFX)	A	Dividend	J	T					
83. Mass Mutual Variable Life Insurance Policy (H)									
84. - Mass Mutual VUL Guard Guaranteed Account	B	Interest	L	T	Buy (add'l)	08/05/19	J		
85. - Deutsche Small Cap Index		None	K	T	Buy (add'l)	08/05/19	J		

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86. - Mass Mutual VUL Guard Small Cap Equity		None	K	T					
87. American Funds Brokerage Account (H)									
88. - American Funds Bond Fund of America (ABNFX)	A	Dividend			Sold	05/06/19	J		
89. - American Funds Fundamental Investors (FINFX)	A	Dividend			Sold	05/06/19	J		
90. - American Funds Growth Fund of America (GFFFX)		None			Sold	05/06/19	J		
91. - American Funds New Economy Fund (NEFFX)		None			Sold	05/06/19	J		
92. - American Funds Tax Exempt Bond Fund of America (TEAFX)	A	Dividend			Sold	05/06/19	J		

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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part 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/ Srikanth Srinivasan

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