

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) Falvey, Joseph L.	2. Court or Organization U.S. Court of Appeals for Veterans Claims	3. Date of Report 5/1/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Judge	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 U.S. Court of Appeals for Veterans Claims 625 Indiana Avenue, Suite 900 Washington, DC 20004		
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Trustee	Family Trust #1
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.	

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Name of Person Reporting

Falvey, Joseph L.

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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.)*

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.)



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.)



NONE *(No reportable reimbursements.)*

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

1.				
2.				
3.				
4.				
5.				

Name of Person Reporting	Date of Report
Falvey, Joseph L.	5/1/2020

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.		

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Name of Person Reporting

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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. IRA #1 (H)									
2. DFA Emerging Markets Core Equity (DFCEX)	B	Int./Div.	L	T					
3. DFA Enhanced US Large Company (DFELX)	D	Int./Div.	M	T					
4. DFA Five Year Global Fixed (DFGBX)	B	Int./Div.	L	T					
5. DFA International Core Equity (DFIEX)	C	Int./Div.	M	T					
6. DFA US Large Cap Value (DFLVX)	C	Int./Div.	L	T					
7. DFA US Small Cap Value (DFSTX)	B	Int./Div.	K	T					
8. Fuller & Thale Behavioral Sm-Cp Eq Inst (FTHSX)	A	Int./Div.	K	T					
9. Matthews Asia Dividend (MIPIX)	A	Int./Div.	K	T					
10. Osterweis Strategic Income Fund (OSTIX)	C	Int./Div.	L	T	Sold (part)	03/27/19	J	A	
11.					Sold (part)	09/30/19	J	A	
12. Prudential Absolute (PADZX)	C	Int./Div.	L	T	Sold (part)	01/09/19	J	A	
13. Prudential Total Returns (PDBZX)	C	Int./Div.	L	T	Sold (part)	06/28/19	J	A	
14. Touchstone Sands Capital Emerging Markets Growth (TSEMX)	A	Int./Div.	K	T					
15. Vanguard Short-Term Investment-Grade Admiral Shares	A	Int./Div.	K	T					
16. IRA #2 (H)									
17. DFA Emerging Markets Core Equity (DFCEX)	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	

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Name of Person Reporting

Falvey, Joseph L.

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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) 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. DFA Enhanced US Large Company (DFELX)	B	Int./Div.	K	T					
19. DFA Five Year Global Fixed (DFGBX)	A	Int./Div.	J	T					
20. DFA International Core Equity (DFIEX)	A	Int./Div.	K	T	Buy (add'l)	03/15/19	J		
21. DFA US Large Cap Value (DFLVX)	A	Int./Div.	J	T	Buy (add'l)	03/15/19	J		
22. DFA US Small Cap Value (DFSTX)	A	Int./Div.	J	T	Buy (add'l)	03/15/19	J		
23. Fuller & Thale Behavioral Sm-Cp Eq Inst (FTHSX)	A	Int./Div.	J	T					
24. Matthews Asia Dividend (MIPIX)	A	Int./Div.	J	T					
25. Osterweis Strategic Income Fund (OSTIX)	A	Int./Div.	K	T	Sold (part)	01/09/19	J	A	
26. Prudential Absolute (PADZX)	A	Int./Div.	J	T					
27. Prudential Total Returns (PDBZX)	A	Int./Div.	J	T	Sold (part)	06/28/19	J	A	
28. Touchstone Sands Capital Emerging Markets Growth (TSEMX)	A	Int./Div.	J	T					
29. Vanguard Short-Term Investment-Grade Admiral Shares	A	Int./Div.	J	T					
30. Universal Life Insurance (H)									
31. USAA Flexible Premium Adjustable Life Insurance Policy #1	B	Interest	K	T					
32. USAA Flexible Premium Adjustable Life Insurance Policy #2	B	Interest	K	T					
33. 529 #2 (H)									
34. Michigan Education Savings Program Investment Age-Based Option		None	L	T	Sold (part)	01/07/19	J	B	

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

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	(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.					Sold (part)	04/15/19	J	B	
36.					Sold (part)	08/19/19	J	D	
37.					Sold (part)	08/23/19	J	A	
38. 529 #3 (H)									
39. Michigan Education Savings Program Investment Age-Based Option		None	M	T	Sold (part)	01/07/19	J	B	
40.					Sold (part)	04/15/19	J	B	
41. 529 #4 (H)									
42. Michigan Education Savings Program Investment Age-Based Option		None	L	T					
43. 529 #5 (H)									
44. Michigan Education Savings Program Investment Age-Based Option		None	K	T					
45. Bank Accounts (H)									
46. USAA FSB Cash Accounts	A	Interest	M	T					
47. Citizens Bank Cash Account	A	Interest	J	T					
48. Family Trust #1 (H)									
49. Morgan Stanley Bank Cash Account	A	Interest			Closed	12/31/19	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
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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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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Part I.

As noted, I am the Trustee for Family Trust #1. My spouse is one of several beneficiaries of this trust. She, and the other beneficiaries, received distributions in equal amounts from this trust in 2019. These distributions depleted the trust account.

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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/ **Joseph L. Falvey**

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