

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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 5/15/2016
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 01/01/2015 to 12/31/2015
7. Chambers or Office Address 1100 Wayne Avenue Suite 1107 Silver Spring, Maryland 20910		
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.		
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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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.		
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. 2015	Google Inc. - salary, bonus, 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. Yale Law School	4/19/2015-4/21/2015	New Haven, CT	Non-FJC educational program	Transportation, food, lodging
2. Yale Law School	11/11/2015-11/12/2015	New Haven, CT	Non-FJC educational program	Transportation, food, 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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

1.

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. SunTrust cash account	A	Interest	J	T					
2. M&T Bank cash account	A	Interest	J	T					
3. Bank of America cash accounts	A	Interest	N	T					
4. Northern Trust cash accounts	A	Interest	M	T					
5. Northwestern Mutual - whole life insurance policies	C	Dividend	M	T					
6. Aberdeen Small Cap Fund	A	Int./Div.	N	T	Buy (add'l)	07/28/15	K		
7. Agilent Technologies Common	A	Dividend	L	T					
8. Alcatel Lucent SA (ADR) Common		None	J	T					
9. Alphabet Inc. Common (X)		None	M	T	Sold (part)	04/27/15	O		
10. American Century Equity Growth Fund	A	Int./Div.	J	T					
11. American Funds EuroPacific Growth Fund	A	Int./Div.	J	T					
12. American Funds Growth Fund of America	C	Int./Div.	N	T	Buy (add'l)	07/28/15	K		
13. American International Group Inc. Common	A	Dividend	J	T					
14. American International Group Inc. Warrants (X)		None	J	T					
15. Automatic Data Processing Common	C	Dividend	M	T					
16. Blackrock High Yield Bond Portfolio Fund	D	Int./Div.	N	T	Buy	10/07/15	N		
17. BlackRock Large Cap Value Fund	A	Int./Div.	M	T	Buy (add'l)	07/28/15	K		

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 = \$250,001 - \$500,000	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 \$5,000,000	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. Broadridge Financial Solutions, Inc. Common	A	Dividend	K	T					
19. CDK Global Inc. Common	A	Dividend	K	T					
20. Cisco Systems Inc. Common	A	Dividend	K	T					
21. Clearbridge Dividend Strategy Fund (X)	B	Int./Div.	M	T	Buy (add'l)	07/28/15	K		
22. Coca Cola Common	D	Dividend	M	T					
23. Davis New York Venture Fund	C	Int./Div.	N	T					
24. DFA Emerging Markets Core Equity Portfolio Fund	D	Int./Div.			Sold	09/17/15	N		
25. DFA U.S. Core Equity I Portfolio Fund	E	Int./Div.	P1	T	Buy (add'l)	06/02/15	M		
26.					Sold (part)	07/30/15	J		
27. Discover Financial Services Common	A	Dividend	K	T					
28. Eaton Vance Large-Cap Value Fund	A	Dividend	K	T	Buy (add'l)	07/28/15	J		
29. EMC Corp. Common	A	Dividend	K	T					
30. Express Scripts Holdings Common		None	M	T					
31. Exxon Mobil Corp. Common	E	Dividend	N	T					
32. Fidelity Advisor Mid Cap II Fund	B	Int./Div.	M	T	Buy (add'l)	08/24/15	J		
33. Fidelity Advisor New Insights Fund	B	Int./Div.	M	T	Buy (add'l)	07/28/15	K		
34. Fidelity Freedom 2020 Fund	A	Int./Div.			Sold	08/26/15	J		

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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. Fidelity Managed Income Portfolio II Fund	A	Int./Div.			Sold	08/26/15	L		
36. First Eagle Global Fund	B	Int./Div.	L	T	Buy (add'l)	08/24/15	J		
37. Flexshares Morningstar Global Upstream Natural Resources Index Fund	C	Int./Div.	M	T	Buy	01/26/15	M		
38.				T	Sold (part)	09/21/15	L		
39. Flexshares STOXX Global Broad Infrastructure Index Fund	C	Int./Div.	M	T	Buy	07/20/15	M		
40. Flexshares Trust Quality Dividend Index Fund	B	Int./Div.	M	T	Buy	06/04/15	M		
41. Franklin Federal Tax-Free Income Fund	C	Int./Div.	L	T					
42. Hartford Capital Appreciation Fund	A	Int./Div.	L	T					
43. Howard County, MD Municipal Bond	C	Interest	L	T					
44. IBM Corp. Common	D	Dividend	M	T					
45. Intel Corp. Common	B	Dividend	L	T					
46. Ivy Asset Strategy Fund	A	Int./Div.	M	T	Buy (add'l)	07/28/15	K		
47. Janus Enterprise Fund	A	Int./Div.	K	T	Buy	08/18/15	K		
48. Johnson & Johnson Common	D	Dividend	M	T					
49. Keysight Technologies Inc. Common		None	K	T					
50. Lord Abbett High Yield Municipal Bond Fund	C	Int./Div.	L	T					
51. McDonald's Corp. Common	E	Dividend	O	T					

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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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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52. Medtronic PLC Common (X)	D	Dividend	N	T					
53. Merk & Co. Common	D	Dividend	N	T					
54. Morgan Stanley Common	A	Dividend	K	T					
55. Morgan Stanley Institutional Mid Cap Growth Fund	A	Int./Div.			Sold	08/18/15	K		
56. NetApp Inc. Common	A	Dividend	J	T					
57. Northern Global Real Estate Index Fund	C	Int./Div.	M	T	Buy (add'l)	07/30/15	K		
58. Northern High Yield Fixed Income Fund	D	Int./Div.			Sold	10/07/15	N		
59. Northern International Equity Index Fund	E	Int./Div.	O	T	Buy (add'l)	07/30/15	L		
60. Northern Mid Cap Index Fund	C	Int./Div.	M	T	Buy (add'l)	07/30/15	L		
61. Northern Tax-Advantaged Ultra-Short Fixed Income Fund	A	Int./Div.			Sold	01/22/15	M		
62. Nuveen All-American Municipal Bond Fund	B	Int./Div.	L	T					
63. Nuveen High Yield Municipal Bond Fund	B	Int./Div.	K	T					
64. Pfizer Inc. Common	D	Dividend	N	T					
65. Prince George's County, MD Municipal Bonds	C	Interest	M	T					
66. RS Global Natural Resources Fund	A	Int./Div.			Buy	09/17/15	M		
67.					Sold	11/10/15	M		
68. Sandisk Corp. Common	B	Dividend	M	T					

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69. Schlumberger Ltd. Common	C	Dividend	M	T					
70. SPDR S&P 500 ETF Trust	D	Int./Div.	M	T	Buy (add'l)	09/28/15	K		
71. Texas Instruments Common	D	Dividend	N	T					
72. Thornburg International Value Fund	A	Int./Div.	M	T	Buy (add'l)	07/28/15	J		
73. Vanguard Emerging Markets Select Stock Fund	A	Int./Div.	K	T	Buy (add'l)	02/11/15	J		
74. Vanguard Emerging Markets Select Stock Index Fund	B	Dividend	L	T					
75. Vanguard Explorer Fund	C	Int./Div.	K	T					
76. Vanguard Extended Market Index Fund	B	Int./Div.	K	T	Buy (add'l)	01/01/15	J		
77. Vanguard Int'l Equity Index Funds Emerging Markets Stock Index Fund	D	Int./Div.	N	T	Buy (add'l)	09/17/15	N		
78. Vanguard International Growth Fund	A	Int./Div.	K	T					
79. Vanguard Institutional Index Fund	A	Dividend	K	T	Buy (add'l)	01/01/15	J		
80. Vanguard Mid-Cap Growth Fund	A	Int./Div.	K	T	Buy (add'l)	02/11/15	J		
81. Vanguard Mid-Cap Index Fund	A	Int./Div.	M	T	Buy (add'l)	02/11/15	J		
82. Vanguard Prime Cap Core Fund	A	Int./Div.	N	T	Buy (add'l)	02/11/15	J		
83. Vanguard REIT Index Fund	C	Int./Div.	L	T	Buy (add'l)	01/01/15	J		
84. Vanguard Small-Cap Index Fund	A	Int./Div.	K	T					
85. Vanguard Small-Cap Growth Index Fund	A	Int./Div.	K	T					

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86. Vanguard Total Bond Market Index Fund	A	Int./Div.	J	T	Buy (add'l)	01/01/15	J		
87. Vanguard Total International Stock Index Fund	A	Int./Div.	L	T	Buy (add'l)	01/01/15	J		
88. Vanguard Total Stock Market Index Fund	A	Dividend	K	T					
89. Vanguard U.S. Growth Fund	A	Dividend	L	T					
90. Vanguard Wellington Fund	C	Int./Div.	K	T					
91. Vanguard Windsor II Fund	B	Dividend	L	T					
92. Victory Munder Mid-Cap Core Growth Fund	A	Int./Div.	M	T	Buy (add'l)	07/28/15	J		
93. Zoetis Inc. Common	A	Dividend	K	T					
94.									
95.									
96.									

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

PART VII:

On October 2, 2015, Google Inc. restructured to become Alphabet Inc. (Part VII, line 9). Sales of Google/Alphabet stock occurred on 4/27, 5/26, 5/29, 7/22, 8/11, 10/26, and 11/30.

American International Group Warrants (Part VII, line 14) inadvertently omitted from prior year's report.

On May 1, 2015, the Clearbridge Equity Income Fund was renamed the Clearbridge Dividend Strategy Fund (Part VII, line 21).

On January 28, 2015, Medtronic, Inc. became Medtronic PLC (Part VII, line 52).

Vanguard funds with purchase date of 1/1/15 (Part VII, lines 76, 79, 83, 86, 87) had purchases throughout 2015 from salary withholding.

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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