

**FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2020**

*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) Schall, Alvin A.	2. Court or Organization United States Court of Appeals for the Federal Circuit	3. Date of Report 04/23/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States Circuit Judge (Senior Status)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2020 to 12/31/2020
	5b. ☐ Amended Report	
7. Chambers or Office Address 717 Madison Place, N.W. Washington, D.C. 20439		
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.	Trustee (one of two)	Trust #2
2.	Trustee (one of two)	Trust #4
3.		
4.		
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

Schall, Alvin A.

Date of Report

04/23/2021

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.

FINANCIAL DISCLOSURE REPORT

Page 3 of 11

Name of Person Reporting

Schall, Alvin A.

Date of Report

04/23/2021

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. Abbott Laboratories, Inc.	B	Dividend	M	T					
2. Abbvie, Inc.	C	Dividend	M	T					
3. Altria Group, Inc.	C	Dividend	K	T					
4. Boeing Co.	B	Dividend	M	T					
5. BP PLC	D	Dividend	L	T					
6. Exxon Mobil Corp.	D	Dividend	M	T					
7. General Electric Co.	A	Dividend	K	T					
8. General Mills, Inc.	C	Dividend	L	T					
9. Home Depot, Inc.	D	Dividend	O	T					
10. Intel Corp.	D	Dividend	M	T					
11. Johnson & Johnson	C	Dividend	M	T					
12. J.P. Morgan Chase & Co.	D	Dividend	N	T					
13. Kraft Heinz Co.	A	Dividend	J	T					
14. Minnesota Mining & Mfg. Co.	D	Dividend	M	T					
15. Mondelez Int'l., Inc.	A	Dividend	K	T					
16. Motorola Solutions, Inc.	B	Dividend	L	T					
17. Pepsico, Inc.	D	Dividend	N	T					

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

FINANCIAL DISCLOSURE REPORT

Page 5 of 11

Name of Person Reporting

Schall, Alvin A.

Date of Report

04/23/2021

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)
18. Philip Morris Int'l., Inc.	D	Dividend	L	T					
19. Vanguard High Dividend Yield ETF	D	Dividend	N	T	Buy	11/17/20	L		
20. Vanguard High Dividend Yield ETF	D	Dividend	N	T					
21. Walt Disney Co.	B	Dividend	N	T					
22. Yum Brands, Inc.	B	Dividend	L	T					
23. Yum China Holdings, Inc.	A	Dividend	K	T					
24. DWS GNMA Fund -	C	Interest	L	T	Sold (part)	12/01/20	J	A	
25. DWS GNMA Fund -	B	Interest	K	T	Sold (part)	12/01/20	J	A	
26. Edgartown Water Co.		None	J	W					
27. Mainbocher, Inc.		None	J	W					
28. EvergreenMoneyFund(Now StdBankDeposit for WellsFargoAdvisorsAccount)	A	Interest	J	T					
29. Fidelity Contra Fund	D	Dividend	M	T	Sold (part)	12/01/20	J	A	
30. Vanguard Int.-Term Tax-Exempt Fund Adm. Shares Bond Fund	D	Dividend	N	T	Sold (part)	02/29/20	J	A	
31. Vanguard Int.-Term Tax-Exempt Fund Adm. Shares Bond Fund					Sold (part)	06/01/20	J	A	
32. Vanguard Int.-Term Tax-Exempt Fund Adm. Shares Bond Fund					Sold (part)	09/01/20	J	A	
33. Vanguard Int.-TermTax Exempt Fund Adm. Shares Bond Fund					Sold (part)	12/01/20	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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 11

Name of Person Reporting

Schall, Alvin A.

Date of Report

04/23/2021

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)
34. Vanguard Ltd.-Term Tax-Exempt Fund Adm. Shares Bond Fund	C	Dividend	M	T	Sold (part)	02/28/20	J	A	
35. Vanguard Ltd.-Term Tax-Exempt Fund Adm. Shares Bond Fund					Sold (part)	06/01/20	J	A	
36. Vanguard Ltd.-Term Tax-Exempt Fund Adm. Shares Bond Fund					Sold (part)	09/01/20	J	A	
37. Vanguard Ltd.-Term Tax-Exempt Fund Adm. Shares Bond Fund					Sold (part)	12/01/20	J	A	
38. Vanguard Dividend Growth Fund	D	Dividend	O	T	Sold (part)	02/28/20	J	A	
39. Vanguard Dividend Growth Fund					Sold (part)	06/01/20	J	A	
40. Vanguard Dividend Growth Fund					Sold (part)	09/01/20	J	A	
41. Vanguard Dividend Growth Fund					Sold (part)	12/01/20	J	A	
42. Williams 79 Associates		None	J	W					
43. TRUST #1:									
44. Deutsche Bank Trust Co. Tax-Free Income Fund	B	Dividend	K	T					
45. Deutsche Bank Trust Co. International Fund	A	Dividend	J	T					
46. Deutsche Bank Trust Co. U.S. Large Capitalization Value Fund	C	Dividend	M	T	Sold (part)	07/31/20	J		Loss
47. Deutsche Bank Trust Co. Money Market Deposit Account	A	Interest	J	T					
48. TRUST #2:									
49. American Express Co.	A	Dividend	K	T					
50. BP PLC	B	Dividend	K	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 7 of 11

Name of Person Reporting

Schall, Alvin A.

Date of Report

04/23/2021

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)
51. Kimberly Clark Corp.	C	Dividend	M	T					
52. Pfizer, Inc.	B	Dividend	K	T					
53. Viatris, Inc.	A	Dividend			Spinoff (from line 52)	11/17/20	J		
54. Viatris, Inc.					Sold (part)	11/17/20	J	A	
55. Raytheon Co.	C	Dividend	M	T	Sold (part)	04/03/20	J	A	
56. Fidelity Contra Fund	B	Dividend	L	T	Sold (part)	07/14/20	K	C	
57. Fidelity Contra Fund					Sold (part)	09/01/20	J	B	
58. Fidelity Contra Fund					Sold (part)	11/12/20	J	B	
59. Deutsche Bank Trust Co. U.S. Large Capitalization Growth Fund	D	Dividend	O	T					
60. Deutsche Bank Trust Co. Tax-Free Income Fund	C	Dividend	M	T					
61. Deutsche Bank Trust Co. Money Market Deposit Account	A	Interest	J	T					
62. TRUST #3:									
63. Deutsche Bank Trust Co. Tax-Free Income Fund	B	Dividend	L	T					
64. Deutsche Bank Trust Co. International Fund	A	Dividend	J	T					
65. Deutsche Bank Trust Co. U.S. Large Capitalization Value Fund	D	Dividend	N	T					
66. Deutsche Bank Trust Co. High Income Fund Class A	A	Dividend	J	T					
67. I Shares MSCI Emerging Markets Index Fund	A	Dividend	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 8 of 11

Name of Person Reporting

Schall, Alvin A.

Date of Report

04/23/2021

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)
68. I Shares Cohen & Steers REIT ETF	A	Dividend	J	T					
69. MFS Emerging Markets Debt Fund CL1	A	Dividend	J	T					
70. Deutsche Bank Trust Co. Money Market Deposit Account	A	Dividend	J	T					
71. TRUST #4:									
72. American Express Co.	B	Dividend	M	T					
73. BP PLC	B	Dividend	K	T					
74. Merck & Co., Inc.	C	Dividend	L	T					
75. Procter & Gamble Co.	B	Dividend	L	T					
76. Deutsche Bank Trust Co. International Fund	B	Dividend	L	T					
77. Deutsche Bank Trust Co. Taxable Income Fund	D	Dividend	N	T					
78. Deutsche Bank Trust Co. High Income Fund	B	Dividend	K	T					
79. I Shares U.S. Treasury Inflation Protected Bond Fund ETF	A	Dividend	K	T					
80. Para-metrics Emerging Markets Fund	A	Dividend	K	T	Sold (part)	09/11/20	J	C	
81. Deutsche Bank Trust Co. U.S. Large Capitalization Value Fund	C	Dividend	M	T					
82. Deutsche Bank Trust Co. Money Market Deposit Account	A	Interest	J	T					
83.									
84.									

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)
85.									
86.									

FINANCIAL DISCLOSURE REPORT

Page 10 of 11

Name of Person Reporting

Schall, Alvin A.

Date of Report

04/23/2021

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

ADDITIONAL INFORMATION WITH RESPECT TO PART VII OF THIS REPORT:

1. Items 1-23, 26, 27, 49-55, 68, 72-75, and 79 are common stock holdings.
2. Items 24, 25, 29-41, 56-58, 67, 69, and 80 are mutual funds.
3. Items 28, 47, 61, 70, and 82 are in the nature of money market accounts.
4. Items 45, 46, 59, 64-66, 76-78, and 81 are mutual funds managed by Deutsche Bank Trust Co.
5. Items 44, 60, and 63 are tax-free securities funds managed by Deutsche Bank Trust Co.
6. Item 42 is a real estate partnership.

FINANCIAL DISCLOSURE REPORT

Page 11 of 11

Name of Person Reporting

Schall, Alvin A.

Date of Report

04/23/2021

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/ Alvin A. Schall

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