

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)

|                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                          |                                                                  |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting (last name, first, middle initial)</b><br><br>Falvey, Joseph L.                                                                                                                    | <b>2. Court or Organization</b><br><br>U.S. Court of Appeals for Veterans Claims                                                                                                                                                                                                         | <b>3. Date of Report</b><br><br>4/7/2021                         |
| <b>4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)</b><br><br>Judge                                                                         | <b>5a. Report Type (check appropriate type)</b><br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final<br><b>5b.</b> <input type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br><br>01/01/2020<br>to<br>12/31/2020 |
| <b>7. Chambers or Office Address</b><br><br>U.S. Court of Appeals for Veterans Claims<br>625 Indiana Avenue, Suite 900<br>Washington, DC 20004                                                            |                                                                                                                                                                                                                                                                                          |                                                                  |
| <p align="center"><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</p> |                                                                                                                                                                                                                                                                                          |                                                                  |

## 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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Name of Person Reporting

Falvey, Joseph L.

Date of Report

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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><br>(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.          |                        |
| 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. George Mason University<br>School of Law, Law &<br>Economics Center | 9/26/2020 - 10/2/2020 | Pray, Montana   | Judicial Education<br>Conference | Lodging, Meals, Travel        |
| 2.                                                                     |                       |                 |                                  |                               |
| 3.                                                                     |                       |                 |                                  |                               |
| 4.                                                                     |                       |                 |                                  |                               |
| 5.                                                                     |                       |                 |                                  |                               |

|                          |                |
|--------------------------|----------------|
| Name of Person Reporting | Date of Report |
| Falvey, Joseph L.        | 4/7/2021       |

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.       |             |            |

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Name of Person Reporting

Falvey, Joseph L.

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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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                               | C<br>Gross value at end<br>of reporting period |                                           | D<br>Transactions during reporting period       |                         |                                 |                                |                                                                   |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------|------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e g ,<br>div , rent,<br>or int ) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e g ,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
|                                                                                                                            |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 1. IRA #1 (H)                                                                                                              |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 2. DFA Emerging Markets Core Equity (DFCEX)                                                                                | A                                      | Int./Div.                                     | K                                              | T                                         | Sold (part)                                     | 07/21/20                | J                               | A                              |                                                                   |
| 3. DFA Enhanced US Large Company (DFELX)                                                                                   | D                                      | Int./Div.                                     | L                                              | T                                         | Sold (part)                                     | 01/06/20                | J                               | A                              |                                                                   |
| 4.                                                                                                                         |                                        |                                               |                                                |                                           | Sold (part)                                     | 07/21/20                | K                               | A                              |                                                                   |
| 5. DFA Five Year Global Fixed (DFGBX)                                                                                      | C                                      | Int./Div.                                     | M                                              | T                                         | Buy (add'l)                                     | 10/21/20                | L                               |                                |                                                                   |
| 6. DFA International Core Equity (DFIEX)                                                                                   | C                                      | Int./Div.                                     | M                                              | T                                         | Sold (part)                                     | 07/21/20                | K                               | A                              |                                                                   |
| 7. DFA US Large Cap Value (DFLVX)                                                                                          | B                                      | Int./Div.                                     | L                                              | T                                         | Sold (part)                                     | 07/21/20                | J                               | A                              |                                                                   |
| 8. DFA US Small Cap Value (DFSTX)                                                                                          | A                                      | Int./Div.                                     | K                                              | T                                         | Sold (part)                                     | 07/21/20                | J                               | A                              |                                                                   |
| 9. Fuller & Thale Behavioral Sm-Cp Eq Inst (FTHSX)                                                                         | A                                      | Int./Div.                                     | K                                              | T                                         | Sold (part)                                     | 07/21/20                | J                               | A                              |                                                                   |
| 10. Matthews Asia Dividend (MIPIX)                                                                                         | A                                      | Int./Div.                                     | K                                              | T                                         | Sold (part)                                     | 07/21/20                | J                               | A                              |                                                                   |
| 11. Osterweis Strategic Income Fund (OSTIX)                                                                                | C                                      | Int./Div.                                     | L                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 12. Prudential Absolute (PADZX)                                                                                            | B                                      | Int./Div.                                     |                                                |                                           | Sold                                            | 10/21/20                | L                               | A                              |                                                                   |
| 13. Prudential Total Returns (PDBZX)                                                                                       | B                                      | Int./Div.                                     | L                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 14. Touchstone Sands Capital Emerging Markets Growth (TSEMEX)                                                              |                                        | None                                          | K                                              | T                                         | Sold (part)                                     | 07/21/20                | J                               | C                              |                                                                   |
| 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                                         | Sold (part)                                     | 07/21/20                | J                               | A                              |                                                                   |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|-------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
| 1 Income Gain Codes:<br>(See Columns B1 and D4) | A =\$1,000 or less<br>F =\$50,001 - \$100,000                                      | B =\$1,001 - \$2,500<br>G =\$100,001 - \$1,000,000   | C =\$2,501 - \$5,000<br>H1 =\$1,000,001 - \$5,000,000                                  | D =\$5,001 - \$15,000<br>H2 =More than \$5,000,000         | E =\$15,001 - \$50,000 |
| 2 Value Codes<br>(See Columns C1 and D3)        | J =\$15,000 or less<br>N =\$250,001 - \$500,000<br>P3 =\$25,000,001 - \$50,000,000 | K =\$15,001 - \$50,000<br>O =\$500,001 - \$1,000,000 | L =\$50,001 - \$100,000<br>P1 =\$1,000,001 - \$5,000,000<br>P4 =More than \$50,000,000 | M =\$100,001 - \$250,000<br>P2 =\$5,000,001 - \$25,000,000 |                        |
| 3 Value Method Codes<br>(See Column C2)         | Q =Appraisal<br>U =Book Value                                                      | R =Cost (Real Estate Only)<br>V =Other               | S =Assessment<br>W =Estimated                                                          | T =Cash Market                                             |                        |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Falvey, Joseph L.

Date of Report

4/7/2021

## 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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 18. DFA Enhanced US Large Company (DFELX)                                                                                  | B                                      | Int./Div.                              | K                                              | T                                  | Sold (part)                               | 01/08/20         | J                        | A                       |                                                            |
| 19.                                                                                                                        |                                        |                                        |                                                |                                    | Sold (part)                               | 07/21/20         | J                        | A                       |                                                            |
| 20. DFA Five Year Global Fixed (DFGBX)                                                                                     | A                                      | Int./Div.                              | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 21. DFA International Core Equity (DFIEX)                                                                                  | A                                      | Int./Div.                              | K                                              | T                                  | Sold (part)                               | 07/21/20         | J                        | A                       |                                                            |
| 22. DFA US Large Cap Value (DFLVX)                                                                                         | A                                      | Int./Div.                              | J                                              | T                                  | Sold (part)                               | 07/21/20         | J                        | A                       |                                                            |
| 23. DFA US Small Cap Value (DFSTX)                                                                                         | A                                      | Int./Div.                              | J                                              | T                                  | Sold (part)                               | 07/21/20         | J                        | A                       |                                                            |
| 24. Fuller & Thale Behavioral Sm-Cp Eq Inst (FTHSX)                                                                        | A                                      | Int./Div.                              | J                                              | T                                  | Sold (part)                               | 07/21/20         | J                        | A                       |                                                            |
| 25. Matthews Asia Dividend (MIPIX)                                                                                         | A                                      | Int./Div.                              | J                                              | T                                  | Sold (part)                               | 07/21/20         | J                        | A                       |                                                            |
| 26. Osterweis Strategic Income Fund (OSTIX)                                                                                | A                                      | Int./Div.                              | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 27. Prudential Absolute (PADZX)                                                                                            | A                                      | Int./Div.                              | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 28. Prudential Total Returns (PDBZX)                                                                                       | A                                      | Int./Div.                              | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 29. Touchstone Sands Capital Emerging Markets Growth (TSEMXX)                                                              |                                        | None                                   | J                                              | T                                  | Sold (part)                               | 07/21/20         | J                        | A                       |                                                            |
| 30. Vanguard Short-Term Investment-Grade Admiral Shares                                                                    | A                                      | Int./Div.                              | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 31. Universal Life Insurance (H)                                                                                           |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 32. USAA Flexible Premium Adjustable Life Insurance Policy #1                                                              | B                                      | Interest                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 33. USAA Flexible Premium Adjustable Life Insurance Policy #2                                                              | B                                      | Interest                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 34. 529 #2 (H)                                                                                                             |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|-------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
| 1 Income Gain Codes:<br>(See Columns B1 and D4) | A =\$1,000 or less<br>F =\$50,001 - \$100,000                                      | B =\$1,001 - \$2,500<br>G =\$100,001 - \$1,000,000   | C =\$2,501 - \$5,000<br>H1 =\$1,000,001 - \$5,000,000                                  | D =\$5,001 - \$15,000<br>H2 =More than \$5,000,000         | E =\$15,001 - \$50,000 |
| 2 Value Codes<br>(See Columns C1 and D3)        | J =\$15,000 or less<br>N =\$250,001 - \$500,000<br>P3 =\$25,000,001 - \$50,000,000 | K =\$15,001 - \$50,000<br>O =\$500,001 - \$1,000,000 | L =\$50,001 - \$100,000<br>P1 =\$1,000,001 - \$5,000,000<br>P4 =More than \$50,000,000 | M =\$100,001 - \$250,000<br>P2 =\$5,000,001 - \$25,000,000 |                        |
| 3 Value Method Codes<br>(See Column C2)         | Q =Appraisal<br>U =Book Value                                                      | R =Cost (Real Estate Only)<br>V =Other               | S =Assessment<br>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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 35. Michigan Education Savings Program Investment Age-Based Option                                                         |                                        | None                                   | L                                              | T                                  | Sold (part)                               | 07/02/20         | J                        | A                       |                                                            |
| 36. 529 #3 (H)                                                                                                             |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 37. Michigan Education Savings Program Investment Age-Based Option                                                         |                                        | None                                   | M                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 38. 529 #4 (H)                                                                                                             |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 39. Michigan Education Savings Program Investment Age-Based Option                                                         |                                        | None                                   | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 40. 529 #5 (H)                                                                                                             |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 41. Michigan Education Savings Program Investment Age-Based Option                                                         |                                        | None                                   | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 42. Bank Accounts (H)                                                                                                      |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 43. USAA FSB Cash Accounts                                                                                                 | A                                      | Interest                               | M                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 44. Citizens Bank Cash Account                                                                                             | A                                      | Interest                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|-------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
| 1 Income Gain Codes:<br>(See Columns B1 and D4) | A =\$1,000 or less<br>F =\$50,001 - \$100,000                                      | B =\$1,001 - \$2,500<br>G =\$100,001 - \$1,000,000   | C =\$2,501 - \$5,000<br>H1 =\$1,000,001 - \$5,000,000                                  | D =\$5,001 - \$15,000<br>H2 =More than \$5,000,000         | E =\$15,001 - \$50,000 |
| 2 Value Codes<br>(See Columns C1 and D3)        | J =\$15,000 or less<br>N =\$250,001 - \$500,000<br>P3 =\$25,000,001 - \$50,000,000 | K =\$15,001 - \$50,000<br>O =\$500,001 - \$1,000,000 | L =\$50,001 - \$100,000<br>P1 =\$1,000,001 - \$5,000,000<br>P4 =More than \$50,000,000 | M =\$100,001 - \$250,000<br>P2 =\$5,000,001 - \$25,000,000 |                        |
| 3 Value Method Codes<br>(See Column C2)         | Q =Appraisal<br>U =Book Value                                                      | R =Cost (Real Estate Only)<br>V =Other               | S =Assessment<br>W =Estimated                                                          | T =Cash Market                                             |                        |

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| Name of Person Reporting | Date of Report |
|--------------------------|----------------|
| Falvey, Joseph L.        | 4/7/2021       |

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

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Name of Person Reporting

Falvey, Joseph L.

Date of Report

4/7/2021

## 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/ **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  
Suite 2-301  
One Columbus Circle, N.E.  
Washington, D.C. 20544