

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) Tatel, David S.	2. Court or Organization U.S. Court of Appeals, DC Cir.	3. Date of Report 05/13/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Circuit Judge (Active)	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 Prettyman U.S. Courthouse 333 Constitution Ave., NW Washington, DC 20001		
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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. _____	_____
2. Co-Chair, Committee on Science, Technology, and Law	National Academy of Sciences
3. Board Member	Associated Universities, Inc.
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 9

Name of Person Reporting

Tatel, David S.

Date of Report

05/13/2021

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.				

Name of Person Reporting	Date of Report
Tatel, David S.	05/13/2021

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.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 9

Name of Person Reporting

Tatel, David S.

Date of Report

05/13/2021

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)
1. Capital One Bank	A	Interest	K	T					
2. Starbucks Corp.	D	Dividend	N	T					
3. Standard & Poors Midcap 400	C	Dividend	M	T					
4. Federal Realty Investment Trust	B	Dividend	K	T					
5. Avalonbay Communities	B	Dividend	K	T	Donated (part)				
6. Charles Schwab Bank	A	Interest	J	T					
7. DFA International Small Cap Value Portfolio		None			Sold	04/28/20	J	A	
8. DFA T.A. U.S. Core Equity 2 Portfolio	A	Dividend	K	T					
9. DFA US Core Equity 2 Portfolio	A	Dividend	L	T	Sold (part)	06/26/20	K	B	
10. United Therapeutics Corp.		None	J	T					
11. Solaredge Tech		None	K	T					
12. DFA International Core Equity Portfolio	A	Dividend	K	T					
13. DFA Muni Real Return Portfolio Inst	A	Dividend			Sold (part)	01/21/20	L	B	
14. -see Line 13					Sold	05/11/20	K	A	
15. First Solar Inc.		None	K	T					
16. Avantis International Small Cap Value ETF	A	Dividend	J	T	Buy	04/28/20	J		
17. DFA Short Duration Real Return Fund		None			Buy	05/11/20	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 =\$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 5 of 9

Name of Person Reporting

Tatel, David S.

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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)
18. --see Line 17					Sold	06/26/20	L	A	
19. Array Technologies, Inc.		None	J	T	Buy	11/30/20	J		
20. Simplified Employee Pension Plan (SEP-IRA) (H)									
21. --Charles Schwab Bank	A	Interest	J	T					
22. --DFA Selectively Hedged Global Fixed Income Portfolio	A	Dividend	K	T					
23. --DFA International Core Equity Portfolio	A	Dividend			Sold	08/25/20	L	D	
24. --DFA International Sustainability Core 1 Portfolio	A	Dividend	M	T	Buy	08/26/20	L		
25. Individual Retirement Account (H)									
26. --U.S. Treasury TIPS 2% due 1/15/26	C	Interest	M	T					
27. --Vanguard S/T Investment Grade Fd	D	Dividend	M	T	Sold (part)	05/14/20	L	A	
28. --Vanguard Inter Term Investment Grade Fd	C	Dividend	L	T	Buy (add'l)	08/17/20	J		
29. --DFA Five Year Global Fixed Income Portfolio	A	Dividend	N	T	Buy (add'l)	11/06/20	K		
30. --DFA Selectively Hedged Global Fixed Income Portfolio		None			Sold	05/11/20	N	A	
31. --PIMCO Emerging Local Bond Fund	A	Dividend			Sold	05/11/20	K	A	
32. --DFA Emerging Markets Core Equity Portfolio	A	Dividend			Sold	09/08/20	L	A	
33. --DFA Emerging Markets Small Cap Portfolio	B	Dividend	L	T					
34. --DFA International Core Equity Portfolio	A	Dividend			Sold	09/02/20	L	D	

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 9

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35. --DFA International Small Cap Value Portfolio	B	Dividend	M	T					
36. --DFA U.S. Core Equity 2 Portfolio	A	Dividend			Sold (part)	01/21/20	K	E	
37. ---See Line 36					Sold	08/31/20	K	E	
38. --DFA U.S. Small Cap Value Portfolio	B	Dividend	L	T	Sold (part)	01/21/20	K	D	
39. ---See Line 38					Sold (part)	11/06/20	K	B	
40. --DFA U.S. Micro Cap Portfolio	B	Dividend	M	T					
41. --DFA Emerging Markets Value Portfolio	B	Dividend	L	T					
42. --Charles Schwab Bank	A	Interest	K	T					
43. --Vanguard Total International Bond ETF	A	Dividend	L	T					
44. --Vanguard Short-Term Inflation-Protected Securities ETF	A	Dividend	L	T					
45. --Vanguard Emerging Markets Government Bond ETF	A	Dividend			Sold	05/11/20	K	A	
46. --United Therapeutics		None	J	T					
47. --DFA Targeted Credit Portfolio	C	Dividend	M	T	Sold (part)	05/11/20	M	A	
48. --DFA Short-Term Government Portfolio`	A	Dividend	L	T	Buy	05/13/20	L		
49. --DFA Two Year Global	C	Distribution	O	T	Buy	05/11/20	N		
50. ---See Line 49					Buy (add'l)	05/13/20	M		
51. --DFA Emerging Mkts Sustainability Core 1	A	Dividend	M	T	Buy	09/09/20	L		

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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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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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)
52. --DFA International Real Estate Sec 1		None	J	T	Buy	10/15/20	J		
53. --DFA International Sustainability Core 1	A	Dividend	L	T	Buy	09/02/20	L		
54. --DFA U.S. Sustainabilty Core 1	A	Dividend	K	T	Buy	09/01/20	K		
55. MassMutual Life- whole life insurance policy	D	Int./Div.	N	T					
56. Rental property, Rappahannock County, VA (8/2/96 \$86,600)	D	Rent	L	R					
57. Nevada College Savings Plan Vanguard Commencement Port (no control)		None	J	T					
58. Nevada College Savings Plan Vanguard Target 28/29 Port (no control)		None	K	T	Buy	12/14/20	J		
59. Nevada College Savings Plan Vanguard Target 24/25 Port (no control)		None	M	T	Buy (add'l)	12/14/20	J		
60. Nevada College Savings Plan Vanguard Target 20/21 Port (no control)		None	L	T	Buy (add'l)	12/14/20	J		
61. Nevada College Savings Plan Vanguard Target 30/31/ Port (no control)		None	K	T	Buy (add'l)	12/14/20	J		

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 8 of 9

Name of Person Reporting	Date of Report
Tatel, David S.	05/13/2021

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

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FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

Tatel, David S.

Date of Report

05/13/2021

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/ **David S. Tatel**

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