

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) Prost, Sharon	2. Court or Organization Federal Circuit	3. Date of Report 05/14/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Circuit Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2020 to 12/31/2020
7. Chambers or Office Address U.S. Court of Appeals, Fed Cir 717 Madison Pl., NW Washington, DC 20439		
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. Adjunct Professor	Georgetown University Law Center
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. 2020	Georgetown Law Center - teaching	\$5,000.00
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.	Connor Inn of Court	01/16/20-1/19/20	New York City, NY	Annual dinner	Transportation, food, lodging
2.	Brigham Young University Law School	02/06/20-02/08/20	Provo, UT	Conference	Transportation, food, lodging
3.	Utah Bar IP Section	02/20/20-02/22/20	Salt Lake City, UT	Speaker	Transportation, food, lodging
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.)

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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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. ML Fundamental Growth Mutual Fund		None	J	T					
2. CMA Tax-Exempt Fund	A	Interest	J	T					
3. Pioneer - Pioneer Value Fund CIA	A	Dividend	K	T					
4. WGL Holdings Inc.	C	Dividend	J	T					
5. American Funds - Capital World Growth Income Fund	A	Dividend	K	T					
6. American Funds New World Fund	A	Dividend	L	T					
7. Rental Property, Silver Spring, MD	D	Rent	M	W					
8. United States Senate FCU - Account	B	Interest	M	T					
9. United States Senate - ROTH IRA	A	Interest	J	T					
10. Pioneer - Pioneer Mid-Cap Growth Fund - IRA	A	Dividend	K	T					
11. M&T Bank - IRA	A	Interest	J	T					
12. PNC Bank - IRA	A	Interest	J	T					
13. U.S. Government Fund - The Reserve Fund - IRA	A	Dividend	J	T					
14. Merill Lynch Life Insurance Cash Surrender Value	A	Dividend	L	T					
15. PNC Bank - CDs	B	Interest	J	T					
16. Goldman Sachs TR Mid-Cap Value Fund	A	Dividend	J	T					
17. American Century New Opportunities	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	

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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. Westcore Small Cap Value Fund	A	Dividend	J	T					
19. New Jersey Health Care FACS	A	Interest	K	T					
20. NEW YORK N Y SER B RF	A	Interest			Redeemed	08/03/20	J		
21. CLEVELAND OHIO WTR REV SECOND LIEN SER A RF	A	Interest	K	T					
22. AUGUSTA GA WTR & SEW REV & IMPT RF	A	Interest	K	T					
23. NEW YORK ST DORM AT RVS NON ST SCH A SCH GTD AGM	A	Interest	K	T					
24. ROYAL OAK MICH HOSP FIN AUTH HOSP REV SER D RF	A	Interest	J	T					
25. Miami-Dade Cnty Fla Tran Sys	A	Interest	J	T					
26. San Angelo Tex Indpt Sch Dist	A	Interest	J	T					
27. Vanguard Growth ETF (VUG)	A	Dividend	J	T					
28.					Buy (add'l)	08/18/20	J		
29. New York NY City TFA Rev Future Ser	A	Dividend	J	T					
30. Powershares DWA Momentum Portfolio - Now Invesco DWA* Momentum (PDP) *	A	Dividend	J	T					
31. Guggenheim S&P 500 - Now Invesco S&P 500 (RSP)*	A	Dividend	J	T					
32.					Buy (add'l)	08/18/20	J		
33. SPDR Ser TR S&P Dividend (SDY)	A	Dividend	J	T					
34. SPDR S&P 500 ETF Trust (SPY)	A	Dividend	J	T					

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

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)
35.					Buy (add'l)	08/18/20	J		
36. IShares IBonds Dec 2025 Term Corp	A	Dividend	J	T					
37. IShares Edge MSCI USA Momentum (MTUM)	A	Dividend	J	T					
38.					Buy (add'l)	08/18/20	J		
39. Vanguard Financial ETF Prospectus (VFH)	A	Dividend			Sold	08/18/20	J		
40. Vanguard Consumer Discretionary ETF Prospectus (VCR)	A	Dividend			Sold	08/18/20	J		
41. SPDR S&P Health Care Equipment ETF Prospectus (XHE)	A	Dividend			Sold	08/18/20	J		
42. Vanguard Communication Services ETF Prospectus (VOX)	A	Dividend			Sold	08/18/20	J		
43. Vanguard Information Tech ETF Prospectus (VGT)	A	Dividend	J	T					
44. District Columbia GO BDS SER D Dec17	A	Interest	J	T					
45. Hawaii ST GO BDS SER FT Feb18	A	Interest	J	T					
46. IShares Russell 1000 Value Product Description (IWD)*	A	Dividend	K	T					
47.					Buy (add'l)	08/18/20	J		
48. IShares Russell 1000 Growth (IWF)*	A	Dividend	K	T					
49. IShares IBonds Dec 2023 Corporate ETF (IBDO)	A	Interest	J	T	Buy	08/18/20	J		
50. IShares TR IBonds Dec 2027 Corporate ETF (IBDS)	A	Interest	J	T	Buy	08/18/20	J		
51. IShares IBonds Dec 2024 Corporate ETF (IBDP)	A	Interest	J	T	Buy	08/18/20	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

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

Line 30 Poweshares DWA Momentum had a name and CUSIP change and is now Invesco DWA Momentum (PDP).

Line 31 Guggenheim S&P was bought by Invesco and will now appear on the report as Invesco S&P 500 (RSP).

Line 46 iShares Russell 1100 Value (IWD) was listed as sold in 2014 when it should have been listed as a partial sale.

Line 48 iShares Russell 1000 Growth (IWF) was listed as sold in 2014 when it should have been listed as a partial sale.

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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/ Sharon Prost**

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