

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) Millett, Patricia A.	2. Court or Organization U.S. Court of Appeals for the DC Circuit	3. Date of Report 01/17/2019
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 01/01/2016 to 12/31/2016
	5b. ☒ Amended Report	
7. Chambers or Office Address 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. Trustee	The [REDACTED] Trust dated February 25, 1998 as amended.
2. Trustee	The [REDACTED] Living Trust dated February 25, 1998, as amended
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.	

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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. 10/13/2016	New York University Teaching stipend for IJA New Appellate Judges Seminar (7/17-22/2016)	\$1,800.00
2. 05/2016	Georgetown Law School teaching compensation (1/21-4/28/2016)	\$8,625.00
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. 2016	Florida Sugar Cane League, Inc. -- spouse's salary
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.	University of Pennsylvania	1/28/2016	Philadelphia, PA	UPenn Keedy Cup Moot Competition judge	Transportation & meals
2.	Stanford University Law School	1/29-31/2016	Stanford, CA	Stanford Supreme Court at Midterm Conference	Transportation
3.	University of California/ Irvine	2/1/2016	Irvine, CA	Moot Court Competition judge	Transportation & meals
4.	Michigan State University	3/6/2016	Detroit, MI	NALSA Moot Court Competition judger	Transportation & meals

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5.	Harvard Law School	3/29-30/2016	Cambridge, MA	Law Review Oral Argument Advocacy Panel & WBA Law Panel Discussion	Lodging, transportation & meals
6.	Yale Law School	4/18-19/2016	New Haven, CT	Guest Speaker for Anderson Lecture	Transportation & meals
7.	New York University	7/17-22/2016	New York, NY	IJA New Appellate Judges Seminar	Lodging, transportation & meals
8.	Pennsylvania Bar Institute	8/7-8/2016	Mechanicsburg, PA	PBI Federal Appellate Advocacy CLE program presenter	Lodging, transportation & meals
9.	William & Mary School of Law	9/23-24/2016	Williamsburg, VA	Supreme Court Preview: Panel Member	Transportation & meals
10.	American Law Institute	10/19-21/2016	New York, NY	ALI Council meetings	Transportation & meals

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V. GIFTS. (Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)

☒ NONE (No reportable gifts.)

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
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.)

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
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. US Treasury Bonds	A	Interest	K	T					
2. Wells Fargo Bank - Various accounts	A	Interest	M	T					
3. Florida Sugar Cane League, Inc. 401(k) Plan (H)									
4. -First Eagle SoGen Overseas A Fund	A	Dividend	K	T	Buy (add'l)	03/31/16	J		
5.					Buy (add'l)	06/30/16	J		
6.					Buy (add'l)	09/30/16	J		
7.					Buy (add'l)	12/31/16	J		
8. -FMI Large Cap Fund	A	Dividend	J	T	Buy (add'l)	03/31/16	J		
9.					Buy (add'l)	06/30/16	J		
10.					Buy (add'l)	09/30/16	J		
11.					Buy (add'l)	12/31/16	J		
12. -TIAA-CREF Growth & Income Retirement	B	Int./Div.	K	T	Buy (add'l)	03/31/16	J		
13.					Buy (add'l)	06/30/16	J		
14.					Buy (add'l)	09/30/16	J		
15.					Buy (add'l)	12/31/16	J		
16. -Keeley Small Cap Value Fund	A	Dividend	J	T	Buy (add'l)	03/31/16	J		
17.					Buy (add'l)	06/30/16	J		

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		

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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.					Buy (add'l)	09/30/16	J		
19.					Buy (add'l)	12/31/16	J		
20. -Mainstay ICAP Select Equity Fund	A	Dividend	K	T	Buy (add'l)	03/31/16	J		
21.					Buy (add'l)	06/30/16	J		
22.					Buy (add'l)	09/30/16	J		
23.					Buy (add'l)	12/31/16	J		
24. -Principal Inv. FD High Yield Fund - A	A	Dividend	J	T	Buy (add'l)	03/31/16	J		
25.					Buy (add'l)	06/30/16	J		
26.					Buy (add'l)	09/30/16	J		
27.					Buy (add'l)	12/31/16	J		
28. -Hartford Schrodgers US Small Cap Opportunities Fund	A	Dividend	J	T	Buy (add'l)	03/31/16	J		
29.					Buy (add'l)	06/30/16	J		
30.					Buy (add'l)	09/30/16	J		
31.					Buy (add'l)	12/31/16	J		
32. -Columbia Acorn Select Fund Z	A	Dividend	J	T	Buy (add'l)	03/31/16	J		
33.					Buy (add'l)	06/30/16	J		
34.					Buy (add'l)	09/30/16	J		

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(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		
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35.					Buy (add'l)	12/31/16	J		
36. -Schwab 1000 Index Fund	A	Dividend	K	T	Buy (add'l)	03/31/16	J		
37.					Buy (add'l)	06/30/16	J		
38.					Buy (add'l)	09/30/16	J		
39.					Buy (add'l)	12/31/16	J		
40. -Janus Perkins Mid Cap Value - T	A	Dividend	J	T	Buy (add'l)	03/31/16	J		
41.					Buy (add'l)	06/30/16	J		
42.					Buy (add'l)	09/30/16	J		
43.					Buy (add'l)	06/30/16	J		
44. -TCW Total Return Mortgage Backed Fund	A	Dividend	K	T	Buy (add'l)	03/31/16	J		
45.					Buy (add'l)	06/30/16	J		
46.					Buy (add'l)	09/30/16	J		
47.					Buy (add'l)	12/31/16	J		
48. -Wells Fargo Stable Value Fund	A	Dividend	J	T	Buy (add'l)	03/31/16	J		
49.					Buy (add'l)	06/30/16	J		
50.					Buy (add'l)	09/30/16	J		
51.					Buy (add'l)	12/31/16	J		

1. Income Gain Codes: (See Columns B1 and D4)	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	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	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	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
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52. American Funds Growth Fund of America 529 Plan (H)									
53. -Growth Fund of America 529A	D	Dividend	L	T	Buy (add'l)	01/11/16	J		
54.					Sold (part)	07/27/16	K		
55.					Buy (add'l)	12/12/16	J		
56.					Sold (part)	12/16/16	K		
57.					Buy (add'l)	12/27/16	J		
58. -Growth Fund of America 529B	A	Dividend			Sold (part)	01/11/16	J		
59.					Sold	12/12/16	J		
60. American Funds Income Fund of America 529 Plan (H)									
61. -Income Fund of America 529A	B	Dividend	L	T	Buy (add'l)	01/11/16	J		
62.					Sold (part)	07/27/16	K		
63.					Buy (add'l)	12/12/16	J		
64.					Sold (part)	12/16/16	K		
65.					Buy (add'l)	12/27/16	J		
66. -Income Fund of America 529B	A	Dividend			Sold (part)	01/11/16	J		
67.					Sold	12/12/16	J		
68. Brokerage Account #1 (H)									

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

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69. -Exxon Mobile Corp - Common	C	Dividend			Sold	12/16/16	M		
70. -Lockheed Martin Corp - Common	D	Dividend	N	T					
71. Brokerage Account #2 (H)									
72. -Raymond James Bank	A	Interest	K	T					
73. -First Eagle Global Fund	D	Dividend	M	T					
74. -Franklin Income Fund	D	Dividend	M	T					
75. -Lord Abbett Short Duration Income Fund (Y)									
76. -T. Rowe Price Capital Appreciation Fund	D	Dividend	M	T					
77. Brokerage Account #3 UTMA (H)									
78. -T. Rowe Price Capital Appreciation Fund	A	Dividend	J	T					
79. Brokerage Account #4 UTMA (H)									
80. -T. Rowe Price Capital Appreciation Fund	A	Dividend	J	T					
81. Trust #1 (H)									
82. -Real Estate, Chesterfield, Missouri (2000 \$198,000)		None	L	R					
83. ██████ Prudential (H)									
84. -AST Academic Strategies Asset Alloc Port	A	Interest	J	T					
85. ██████ Revocable Trust Liv Trust Jackson Na (H)									

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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86. -JNL/Lazard Emerging		None	J	T					
87. -JNL/Mellon S&P 400		None	J	T					
88. -JNL/Mellon Cap Small Cap		None	J	T					
89. -JNL/Mellon Tech		None	J	T					
90. -JNL/Mellon Healthcare		None	J	T					
91. -JNL/Invesco China-India		None	J	T					
92. -JNL/Mellon Cap Europe		None	J	T					
93. -JNL Tactical ETF Growth		None	K	T					
94. -JNL/Lazard IntlStratEq		None	J	T					
95. -JNL/MMRS Conservative		None	K	T					
96. [REDACTED] Brokerage- - non-retirement (H)									
97. -Alcatel Lucent		None			Redeemed	06/02/16	J	A	
98. -Healthcare Trust Am	A	Dividend	J	T	Sold (part)	11/29/16	J	A	
99. -Exxon Mobile Corp	C	Dividend	L	T	Sold (part)	03/24/16	L	A	
100. -Oppenheimer Steelpath MLP	A	Dividend	J	T					
101. -Oppenheimer Global		None	J	T					
102. [REDACTED] Brokerage -- retirement (H)									

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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)
103. -Highland Global Alloc	A	Dividend	J	T					
104. -Highland Long Short Healthcare		None			Merged (with line 103)	08/16/16	J		
105. -Putman Absolute Return 700		None	J	T					
106. -Principal Global Diversivied Income	A	Dividend	K	T					
107. -Putnam Multi Cap Core	A	Dividend	J	T					

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

- (1) Part I, Positions, Line 2: The only reportable asset is real estate as indicated in Part VII, Line 82 (Real Estate, Chesterfield, MO).
- (2) Part VII, Line 75: Lord Abbett Short Duration Income Fund had a reportable dividend of \$9.16 at 1/4/2016. The Fund was sold in its entirety in 2015.
- (4) Part VII, Lines 85-95: These assets are in [REDACTED] Revocable Living Trust; I am Trustee and a named beneficiary. I have no current financial interest or income from these assets or from the Living Trust.

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01/17/2019

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/ **Patricia A. Millett**

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