AO 10
Rev. 1/2021

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)	2. Court or Organization	3. Date of Report
Arnold, Morris S.	8th U S Circuit Ct of Appeals	06/14/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)	**5a. Report Type (check appropriate type)**	**6. Reporting Period**
Judge--Senior	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2020 **to** 12/31/2020
7. Chambers or Office Address		
Richard Sheppard Arnold United States Courthouse 500 West Capitol Ave., Suite C-150 Little Rock, AR 72201		

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.		
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.		

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.	2020	University of Arkansas, author's royalties	$483.00
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.)*

	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.					

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.			

Name of Person Reporting	Date of Report
Arnold, Morris S.	06/14/2021

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	B		C		D				
	Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
	Place "(X)" after each asset exempt from prior disclosure	(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.	Simmons Bank - Account 1	A	Interest	J	T					
2.	Simmons Bank - Account 2	A	Interest	J	T					
3.										
4.	Mineral Interests - Various Lands in Texas (H)									
5.	Southland Champion Mineral, Morgan Keegan, Lufkin, TX	B	Royalty	K	W					
6.	Grayburg Mineral Account, Morgan Keegan, Lufkin, TX	A	Royalty	J	W					
7.										
8.	Wells Fargo Clearing Services, LLC - Account 1 (H)									
9.	Bank Deposit Sweep	A	Interest	J	T					
10.	Norfolk Southern Corp NSC	C	Dividend	M	T					
11.	Simmons 1st Natl Corp CL A $5 Par SFNC	C	Dividend	M	T					
12.	First Trust Val LN TGT SAFE 30 2Q 19 MO RE	A	Dividend			Sold	06/30/20	J		
13.	Amazon.com Inc AMZN	A	Dividend	K	T	Buy	06/30/20	K		
14.	Apple Inc AAPL	A	Dividend	K	T	Buy	06/30/20	K		
15.	First Trust Val LN TGT SAFETY30 3Q20 MO RE	A	Dividend	J	T	Buy	06/30/20	J		
16.										
17.	Wells Fargo Clearing Services, LLC - Account 2 (H)									

1 Income Gain Codes: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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 (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
	U =Book Value	V =Other	W =Estimated		

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Arnold, Morris S.	06/14/2021

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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Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
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18. Dillards Inc CL A DDS	A	Dividend	K	T					
19. MFS Core Equity Fund CL A MRGAX	A	Dividend	K	T	Buy (add'l)	06/30/20	J		
20. First Trust Val LN TGT SAFE 30 2Q 19 MO RE	A	Dividend			Sold	06/30/20	J		
21. First Trust Val LN TGT SAFETY30 3Q20 MO RE	A	Dividend	J	T	Buy	06/30/20	J		
22.									
23. TIAA-CREF - Account 1 (H)									
24. TIAA Traditional	D	Dividend	M	T	Sold (part)	12/15/20	J	A	
25. TIAA Real Estate	A	Dividend	K	T	Sold (part)	12/15/20	J	A	
26. CREF Bond Market R3	D	Dividend	L	T	Sold (part)	12/15/20	J	A	
27. CREF Stock R3	D	Dividend	L	T	Sold (part)	12/15/20	J	A	
28. CREF Inf-Linked Bond R3	A	Dividend	J	T	Sold (part)	12/15/20	J	A	
29. CREF Global Equities R3	E	Dividend	L	T	Sold (part)	12/15/20	J	A	
30. T-C Intl Eq-Inst	C	Dividend	K	T	Sold (part)	12/15/20	J	A	
31. T-C Sm-Cap Eq-Inst	C	Dividend	K	T	Sold (part)	12/15/20	J	A	
32. Vang Mid-Cap Idx Ins	C	Dividend	K	T	Sold (part)	12/15/20	J	A	
33. Vang Value Index Inst	B	Dividend	K	T	Sold (part)	12/15/20	J	A	
34.									

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2 Value Codes (See Columns C1 and D3) — J =$15,000 or less; K =$15,001 - $50,000; L =$50,001 - $100,000; M =$100,001 - $250,000; 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. TIAA-CREF - Account 2 (H)									
36. TIAA Traditional	C	Dividend	M	T	Sold (part)	12/15/20	J		
37. TIAA Real Estate	A	Dividend	K	T	Sold (part)	12/15/20	J		
38. CREF Bond Market R3	B	Dividend	K	T	Sold (part)	12/15/20	J		
39. CREF Stock R3	C	Dividend	K	T	Sold (part)	12/15/20	J		
40. CREF Global Equities R3	C	Dividend	K	T	Sold (part)	12/15/20	J		
41. AM FDS Wash Mutual R5	A	Dividend			Sold	12/15/20	L	A	
42. T-C Bond-Inst	A	Dividend			Sold	12/15/20	K	A	
43. T-C Infl-Lnkd Bond-Inst	A	Dividend			Sold	12/15/20	J	A	
44. AF EuroPacific Growth R5	A	Dividend			Sold	12/15/20	K	A	
45. T-C Bond Index-Inst	A	Dividend			Sold	12/15/20	J	A	
46. T-C Mid-Cap Val-Inst	A	Dividend			Sold	12/15/20	K	A	
47. T-C Sm-Cap Eq-Inst	A	Dividend			Sold	12/15/20	K	A	
48. T-C Intl Eq Idx-Inst	A	Dividend			Sold	12/15/20	K	A	
49. T-C S&P 500 Idx-Inst	A	Dividend			Sold	12/15/20	K	A	
50. T-C Gr & Inc-Inst	A	Dividend			Sold	12/15/20	K	A	
51.									

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2 Value Codes (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
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52. TIAA-CREF - Account 3 (H)									
53. CREF Global Equities R3	D	Dividend	L	T	Sold (part)	12/15/20	J	A	
54.									
55. TIAA-CREF - Account 4 (H)									
56. TIAA-CREF Managed Allocation Fund - RTL	E	Dividend	O	T	Buy (add'l)	12/18/20	L		
57.									
58. TIAA-CREF - Account 5 (H)									
59. TIAA Bank Savings	A	Interest	N	T	Open	05/11/20	N		
60.									
61. Simmons Bank - IRA	A	Int./Div.			Matured	09/11/20	J		
62.									
63. Stephens Inc. - Account 1 (H)									
64. Federated Govt Oblig SS	A	Interest	K	T					
65. American Funds Washington Mutual Fund Class F3	A	Dividend			Buy (add'l)	03/19/20	J		
66.					Sold	05/07/20	J		
67. Vanguard Mid-Cap Vipers Exchange - Traded Fund	A	Dividend			Sold	04/15/20	J		
68. Vanguard Small Cap - ETF	A	Dividend			Sold	04/03/20	J		

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69. Vanguard Totl Stock Mkt Vipers	B	Dividend	L	T	Sold (part)	03/24/20	J		
70. Vanguard Total Bond Market - ETF	B	Dividend	K	T	Buy (add'l)	06/30/20	J		
71. Vanguard Whitehall FD High Dividend Yield ETF SHS	A	Dividend			Sold	05/07/20	J		
72. Vanguard Index FDS Vanguard Growth ETF	A	Dividend	J	T	Buy (add'l)	06/30/20	J		
73. Vanguard Index FDS Vanguard Value ETF	A	Dividend			Sold	04/16/20	J		
74. Vanguard Index FDS Vanguard Small-Cap Growth ETF	A	Dividend	J	T	Buy	11/27/20	J		
75. IShares TR S&P 100 ETF	A	Dividend	J	T	Buy	06/30/20	J		
76. IShares TR Morningstar Mid Cap Growth ETF	A	Dividend	K	T	Buy	06/30/20	J		
77. Citibank NA Death Put FDIC Cert 7213	A	Dividend			Redeemed	12/07/20	J	A	
78. Discover Bank Death Put FDIC Cert 5649	A	Dividend	J	T					
79. Discover Bank Death Put FDIC Cert 5649	A	Dividend	J	T					
80. Goldman Sachs Bank USA Death Put FDIC Cert 33124	A	Dividend	J	T					
81. Nebraskaland Natl BK North Platte NEB CTF DEP	A	Dividend	J	T					
82. Apple Inc com AAPL	A	Dividend	J	T	Buy	03/25/20	J		
83. Microsoft Corp com MSFT	A	Dividend	J	T	Buy	05/07/20	J		
84. Verizon Communications Inc com	A	Dividend	J	T	Buy	03/27/20	J		
85.									

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86. Stephens Inc. - Account 2 (H)									
87. Federated Govt Oblig SS	A	Interest	J	T					
88. American Funds Washington Mutual Fund Class F3	A	Dividend			Buy (add'l)	03/19/20	J		
89.					Sold	05/07/20	K		
90. American Funds Growth Fund of America Class F1	A	Dividend			Sold	05/07/20	J		
91. Vanguard Growth Vipers	A	Dividend	K	T	Buy (add'l)	06/30/20	J		
92. Vanguard High Div Yield	A	Dividend			Sold	05/07/20	J		
93. Vanguard Mid-Cap Vipers Exchange - Traded Fund	A	Dividend			Sold	04/15/20	J		
94. Vanguard Small Cap ETF	A	Dividend			Sold	04/03/20	J		
95. Vanguard Totl Stock Mkt Vipers	B	Dividend	M	T	Buy (add'l)	06/30/20	L		
96.					Sold (part)	03/24/20	J	A	
97. Vanguard Value ETF	A	Dividend			Sold	04/16/20	J		
98. Vanguard Total Bond Market - ETF	A	Dividend	K	T					
99. Vanguard Index FDS Vanguard Small-Cap Growth ETF	A	Dividend	J	T	Buy	11/16/20	J		
100. Invesco Exchange-Traded Self -Indexed FD TR Bulletshares 2024 ETF	A	Dividend	J	T	Buy	12/02/20	J		
101. IShares TR S&P 100 ETF	A	Dividend	J	T	Buy	06/30/20	J		
102. IShares TR NASDAQ Biotechnology ETF	A	Dividend	J	T	Buy	05/22/20	J		

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103. IShares TR Morningstar Mid Cap Growth ETF	A	Dividend	J	T	Buy	04/15/20	J		
104. Discover Bank Death Put FDIC Cert 5649	A	Dividend	J	T					
105. Discover Bank Death Put FDIC Cert 5649	A	Dividend			Redeemed	11/09/20	J	A	
106. Goldman Sachs Bank USA Death Put FDIC Cert 33124	A	Dividend	J	T					
107. Goldman Sach Bank USA Death Put FDIC Cert 33124	A	Dividend	J	T					
108. Goldman Sachs BK USA New York CTF DEP 2.050%	A	Dividend			Redeemed	05/13/20	J	A	
109. Apple Inc com AAPL	A	Dividend	J	T	Buy	03/25/20	J		
110. Microsoft Corp com MSFT	A	Dividend	J	T	Buy	05/07/20	J		
111. Verizon Communications Inc com	A	Dividend	J	T	Buy	03/27/20	J		
112.									
113. Stephens Inc. - Account 3 (H)									
114. Federated Govt Oblig SS	A	Interest	J	T					
115. Invesco Oppenheimer Discovery Fund Class R6	A	Dividend	J	T	Sold (part)	06/22/20	J	A	
116. Invesco Oppenheimer Developing Markets Fund Class R6	A	Dividend	J	T					
117. Baird Core Plus Bond Fund Inst Class	A	Dividend	J	T	Buy (add'l)	06/30/20	J		
118.					Sold (part)	03/23/20	J		
119. Blackrock Low Duratation Bond Portfolio Fund Institutional Class	A	Dividend	J	T	Buy (add'l)	06/30/20	J		

1 Income Gain Codes: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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 (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
	U =Book Value	V =Other	W =Estimated		

Name of Person Reporting	Date of Report
Arnold, Morris S.	06/14/2021

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	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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)
120.					Sold (part)	03/23/20	J		
121. Fidelity Advisor New Insights Fund Class I	A	Dividend			Sold	07/15/20	J	A	
122. JPMorgan Mid Cap Value Fund Class L	A	Dividend	J	T	Buy (add'l)	06/30/20	J		
123.					Sold (part)	06/22/20	J		
124. Ivy International Core Equity Fund Class I	A	Dividend	J	T	Buy (add'l)	06/30/20	J		
125. Janus Henderson Enterprise Fund Class I	A	Dividend	J	T	Buy (add'l)	06/30/20	J		
126.					Sold (part)	06/22/20	J		
127. JPMorgan Large-Cap Growth Fund Class I	A	Dividend	J	T	Buy	07/16/20	J		
128.					Sold (part)	12/28/20	J	A	
129. Loomis Sayles Global Bond Fund Inst Class	A	Dividend	J	T					
130. Lord Abbet Floating Rate Fund Class F	A	Dividend	J	T	Buy (add'l)	06/30/20	J		
131. Mainstay Mackay Convertible Fund Class I	A	Dividend	J	T	Sold (part)	12/28/20	J	A	
132. T Rowe Price Small Cap Value Fund Class I	A	Dividend	J	T	Buy (add'l)	06/30/20	J		
133.					Sold (part)	12/28/20	J	A	
134. T Rowe Price Value Fund Class I	A	Dividend	J	T	Buy (add'l)	06/30/20	J		
135.					Sold (part)	12/28/20	J	A	
136. Wasatch International Growth Fund Instl Class	A	Dividend	J	T	Buy	03/23/20	J		

1 Income Gain Codes: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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 (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
	U =Book Value	V =Other	W =Estimated		

Name of Person Reporting	Date of Report
Arnold, Morris S.	06/14/2021

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	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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)
137.					Sold (part)	06/22/20	J	A	
138. Vanguard Index FDS Real Estate Index FD ETF	A	Dividend	J	T	Buy (add'l)	06/30/20	J		
139.									
140. Stephens Inc. - Account 4 (H)									
141. Federated Govt Oblig SS	A	Interest	J	T					
142. Microsoft Corp	A	Dividend	L	T	Buy (add'l)	06/30/20	J		
143. Alibab Group Holding LTD Sponsored ADR	A	Dividend	K	T					
144. Amazon.com Inc.	A	Dividend	M	T					
145. Apple Inc.	A	Dividend	L	T					
146. Lowes Companies Incorporated	A	Dividend	K	T					
147. Bristol Myers Squibb CO Com	A	Dividend	J	T					

1 Income Gain Codes: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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 (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
	U =Book Value	V =Other	W =Estimated		

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

Name of Person Reporting	Date of Report
Arnold, Morris S.	06/14/2021

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/ Morris S. Arnold

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