

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) Lauber, Albert G.	2. Court or Organization United States Tax Court	3. Date of Report 08/11/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Judge, United States Tax Court	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 400 Second Street, N.W. Room 306 Washington, D.C. 20217		
IMPORTANT NOTES: <i>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>		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions)

☐ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

- | | |
|------------------------------|--|
| 1. Member, Board of Trustees | The Studio Theatre, [REDACTED] (non-profit theatre) (uncompensated position) |
| 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.		
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. 2020	Salary, Georgetown University Law Center
2. 2020	Sole proprietorship income, consulting
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.				
2.				
3.				
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.)*

<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. Merrill Lynch/Bank of America	Margin loan on stock account	M
2. Merrill Lynch/Bank of America	Mortgage on Rental Prop. #1, Washington, D.C. (Pt. VII, line 1)	M
3. Merrill Lynch/Bank of America	Mortgage on Rental Prop. #2, Washington, D.C. (Pt. VII, line 2)	M
4. Merrill Lynch/Bank of America	Mortgage on Rental Prop. #3, Washington, D.C. (Pt. VII, line 3)	N
5. Merrill Lynch/Bank of America	Mortgage on Rental Prop. #4, Washington, D.C. (Pt. VII, line 4)	N
6. Merrill Lynch/Bank of America	Mortgage on Rental Prop. #5, Washington, D.C. (Pt. VII, line 5)	N
7. Merrill Lynch/Bank of America	Mortgage on Rental Prop. #6, Washington, D.C. (Pt. VII, line 6)	O

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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. Rental Prop. #1, Washington, District of Columbia	G	Rent	P1	W					
2. Rental Prop. #2, Washington, District of	G	Rent	P1	W					
3. Rental Prop. #3, Washington, District of	E	Rent	O	W					
4. Rental Prop. #4, Washington, District of	E	Rent	N	W					
5. Rental Prop. #5, Washington, District of	E	Rent	O	W					
6. Rental Prop. #6, Washington, District of	E	Rent	O	W	Buy	06/01/20	O		
7. Vanguard Emerging Markets Index Fund	A	Dividend	K	T					
8. Vanguard Health Care Fund	A	Dividend	K	T					
9. Vanguard Dividend Growth Fund	B	Dividend	L	T					
10. T Rowe Price High Yield Bond Fund	E	Dividend	N	T					
11. Invesco Small Cap Growth Fund	A	Dividend	K	T					
12. Merrill Lynch Deposit Program	A	Interest	J	T					
13. BNY Mellon Muni Bond Fund	A	Interest	J	T	Buy	07/10/20	J		
14. Invesco Core Plus Bond Fund	A	Interest	J	T	Buy	07/10/20	J		
15. iShares Russell Midcap Fund	A	Dividend	K	T					
16. iShares S&P Small Cap Fund	A	Dividend	J	T					
17. Mainstay Income Builder Fund	A	Dividend	J	T	Buy	07/10/20	J		

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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18. Newberger Berman Long Fund	A	Dividend	J	T	Buy	07/10/20	J		
19. SPDR S&P 500 Fund	A	Dividend	K	T	Sold (part)	05/04/20	J	D	
20. Vanguard Consumer Fund	A	Dividend	K	T	Sold (part)	05/04/20	J	C	
21. Vanguard Health Care ETF	A	Dividend	J	T					
22. Vanguard Dividend ETF	A	Dividend	K	T	Sold (part)	05/04/20	J	D	
23. Merrill Lynch Rollover IRA () (this is a header)									
24. - Vanguard High Yield Corporate Fund	F	Interest	P1	T					
25. - Vanguard Windsor Fund	F	Dividend	P1	T					
26. - Vanguard Wellington Fund	D	Dividend	M	T					
27. - Banco Santander ADR	B	Dividend	K	T					
28. - Telefonica Brasil ADR	D	Dividend	K	T					
29. Georgetown University 403(b) Plan () (this is a header)									
30. - Vanguard High Yield Corporate Fund	B	Interest	K	T					
31. - Vanguard Windsor Fund	E	Dividend	O	T					
32. - Vanguard International Growth Fund	D	Dividend	M	T					
33. - Vanguard International Value Fund	D	Dividend	M	T					
34. IRA Account () (this is a header)									

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	
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35. - T Rowe Price High Yield Bond Fund	E	Interest	N	T					
36. - T Rowe Price New Asia Fund	B	Dividend	M	T					
37. Chase Managed IRA Account () (this is a header)									
38. - Fidelity 500 Index Fund	C	Dividend	M	T	Buy	01/15/20	M		
39. - Fidelity Int'l Index Fund	A	Dividend	J	T	Buy	03/20/20	J		
40. - iShares Emerging MSCI Markets	A	Dividend	J	T	Buy	01/15/20	J		
41. - JPMorgan CDA ETF	A	Dividend	J	T	Buy	10/21/20	J		
42. - JPMorgan Developed Asia ex Japan ETF	A	Dividend	J	T	Buy	01/15/20	J		
43. - JPMorgan Europe ETF	A	Dividend	J	T	Buy	06/08/20	J		
44. - JPMorgan Japan ETF	A	Dividend	K	T	Buy	01/15/20	K		
45. - Six Circles Tr Int'l Equity Fund	A	Dividend	L	T	Buy	01/15/20	L		
46. - Six Circles Tr U.S. Equity Fund	A	Dividend	L	T	Buy	01/15/20	L		
47. - Blackrock High Yield Portfolio K	A	Distribution	J	T	Buy	03/20/20	J		
48. - iShares 20-Yr Treas Bond Fund	A	Distribution	K	T	Buy	01/15/20	K		
49. - iShares MBS ETF	A	Distribution	J	T	Buy	11/09/20	J		
50. - Lord Abbett Inv Tr High Yield Fund	A	Distribution	K	T	Buy	05/13/20	K		
51. - Lord Abbett Short Duration Income Fund	A	Interest	J	T	Buy	01/15/20	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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52. - Pimco Income Fund	A	Distribution	J	T	Buy	01/15/20	J		
53. - Six Circles Tr Global Bond Fund	A	Distribution	L	T	Buy	08/17/20	L		
54. - Six Circles Tr Ultra-Short Duration Fund	A	Interest	J	T	Buy	01/15/20	J		
55. - Six Circles Tr Credit Opps Fund	A	Distribution	J	T	Buy	11/16/20	J		
56. - Vanguard Bond Index Fund	A	Distribution	J	T	Buy	01/15/20	J		
57. - Vanguard Fixed Income Intermediate Grade Fund Fund	A	Distribution	J	T	Buy	01/15/20	J		
58. - Vanguard Int'l Bond Fund	A	Distribution	L	T	Buy	01/15/20	L		
59. - Blackrock Event Driven Equity Fund	A	Distribution	J	T	Buy	01/15/20	J		
60. - Blackstone Alternative Inv Multi-Strategy Fund	A	Distribution	J	T	Buy	01/15/20	J		
61. - Neuberger Berman Alternative Fund	A	Distribution	J	T	Buy	02/07/20	J		
62. - Pimco Mortgage Opportunities and Bond Fund	A	Distribution	J	T	Buy	06/01/20	J		
63. Merrill Lynch Brokerage Accounts (common stocks) (this is a header)									
64. - Exelon Corp.	C	Dividend	M	T	Buy (add'l)	03/20/20	K		
65.					Sold (part)	11/03/20	K	C	
66. - Cisco Corp	B	Dividend	L	T	Buy (add'l)	03/13/20	K		
67. - Cemex Corp	A	Dividend	K	T	Buy (add'l)	03/11/20	K		
68.		Dividend			Sold (part)	09/28/20	K		

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69. - Verizon Corp.	A	Dividend	J	T					
70. - Banco Santander ADR	B	Dividend	L	T	Buy (add'l)	06/30/20	K		
71.					Sold (part)	12/03/20	K		
72. - AT&T	C	Dividend	L	T	Buy (add'l)	11/19/20	L		
73. - GE Corp.	A	Dividend	K	T	Sold (part)	05/04/20	K		
74. - Apple Corp.	A	Dividend	L	T					
75. - Citigroup Inc.	A	Dividend	K	T	Buy (add'l)	09/25/20	K		
76. - Pfizer Corp.	A	Dividend	J	T					
77. - Caterpillar Corp.	B	Dividend	L	T					
78. - American Electric Power Co.	A	Dividend	J	T					
79. - Telefonica Espana ADR	D	Dividend	L	T	Sold (part)	03/13/20	L		
80.					Buy (add'l)	12/11/20	L		
81. - Microsoft	A	Dividend	J	T					
82. - Barclays Bank ADR	A	Dividend	K	T	Sold (part)	03/13/20	K		
83.					Buy (add'l)	04/15/20	K		
84. - American Express Co.	A	Dividend	K	T					
85. - Ford Motor Co	A	Dividend	J	T					

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86. - Eli Lilly Co.	A	Dividend	J	T					
87. - Oracle Corp	B	Dividend	L	T					
88. - Orange Corp. ADR	D	Dividend	M	T	Sold (part)	11/11/20	J		
89.					Buy (add'l)	08/06/20	M		
90. - Telefonica Brasil ADR	D	Dividend	L	T	Sold (part)	04/29/20	K		
91.					Buy (add'l)	03/26/20	K		
92. - Grupo Franciero Santander Mexico ADR	A	Dividend	K	T	Sold (part)	03/13/20	K		
93.					Buy (add'l)	04/15/20	K		
94. - Itau Unibanco Brasil ADR	B	Dividend	L	T	Sold (part)	06/05/20	K		
95.					Buy (add'l)	04/05/20	K		
96. - Kinder Morgan	C	Dividend	K	T	Sold (part)	02/06/20	J	A	
97.					Buy (add'l)	09/21/20	K		
98. - Morgan Stanley	A	Dividend	J	T	Sold (part)	01/06/20	J	A	
99. - Banco Bradesco ADR	A	Dividend	K	T	Buy	04/05/20	J		
100. - Banco Santander Brasil ADR	A	Dividend	K	T	Buy	04/15/20	K		
101. - FedEx Corp	A	Dividend	J	T	Buy	10/14/20	J		
102. - Guangdoing Inv Ltd ADR	A	Dividend	J	T	Buy	12/01/20	J		

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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103. - Johnson & Johnson	A	Dividend	J	T	Buy	12/01/20	J		
104. - LVMH Moet Hennessy	A	Dividend	J	T	Buy	05/14/20	J		
105. - SPDR Index Shares	A	Dividend	J	T	Buy	12/01/20	J		
106. - SPDR Series Trust	A	Dividend	J	T	Buy	12/02/20	J		
107. - Vanguard FTSE Developed Mkts ETF	A	Dividend	J	T	Buy	11/30/20	J		
108.									

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

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Name of Person Reporting

Lauber, Albert G.

Date of Report

08/11/2021

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

Part VII, lines 37-38: During 2020 my spouse converted one his his IRAs to a Chase Managed Retirement Account. This account is actively managed by the investment advisor, who rotates funds among numerous mutual funds and ETFs, with no input from either my spouse or me. It is not practical to list the transactions or year-end holdings, which could change several days later.

FINANCIAL DISCLOSURE REPORT

Page 12 of 12

Name of Person Reporting

Lauber, Albert G.

Date of Report

08/11/2021

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/ Albert G. Lauber**

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