

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) O'Malley, Kathleen M.	2. Court or Organization U.S. Court of Appeals for the Federal Circuit	3. Date of Report 08/12/2021
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 U.S. Court of Appeals for the Federal Circuit 717 Madison Place 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. Board Member	Juvenile Diabetes Research Foundation
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 11

Name of Person Reporting

O'Malley, Kathleen M.

Date of Report

08/12/2021

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.)*

<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	Self-employed (attorney)
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.				
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 11

Name of Person Reporting

O'Malley, Kathleen M.

Date of Report

08/12/2021

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 11

Name of Person Reporting

O'Malley, Kathleen M.

Date of Report

08/12/2021

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. Individual Assets (H)									
2. Citibank (cash)	A	Interest	N	T					
3. Castle Harlan Affiliates IV-A, LLP	A	Distribution	J	U					
4. Castle Harlan Partners V, LLP		None	J	U					
5. CHP V Affiliates AIV, LP	D	Distribution	J	U					
6. Mid-Atlantic Fund of Funds II, LP		None	K	V					
7. AEI Alien Series B Inv II, LLC		None	K	V					
8. Sun Basket, Inc		None	M	V					
9. Covington & Burling Partnership LLP	A	Int./Div.	P1	V					
10. Advanced Battery Concepts, LLC		None	K	V					
11. Cloud9 Charts, Inc		None	K	V					
12. Lois Kitchen LLC		None	K	V					
13. Lois Wine Bar (note)	B	Interest	L	T					
14. Rembrandt Partners IV, L.P	C	Dividend	O	V					
15. Empire Residential Communities Fund IV, LLC	C	Distribution	L	V					
16. Lyft, Inc.		None	M	V					
17. Uber Tech		None	M	V					

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 11

Name of Person Reporting

O'Malley, Kathleen M.

Date of Report

08/12/2021

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) 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. OPAC Famous LLC		None	L	V					
19. AirBNB (X)		None	N	V					
20. Impossible Foods (X)		None	M	V					
21. Account #1 (H)									
22. Schwab Bank (cash)	A	Interest	K	T					
23. Ishares Trust S&P 500 Index (IVV)	A	Dividend	K	T					
24. Vanguard Small Cap Fund (VB)	A	Dividend	J	T					
25. Baird Aggregate Bond Inst Fund (BAGIX)	B	Dividend	L	T					
26. Dodge & Cox Income Fund (DODIX)	B	Dividend	L	T					
27. Hotchkis & Wiley Hi Yield (HWHIX)	B	Dividend	K	T					
28. Pimco Emerging Local Bond Fund (PELBX)	A	Dividend	K	T					
29. Pimco Intl Bond US Dollar Hedged (PFORX)	A	Dividend	K	T					
30. Vangaurd Inflation Protected Securities (VIPSX)	A	Dividend	K	T					
31. Wells Fargo Advtg Int'l Fund (ESICX)		None	K	T					
32. American FD Europacific GWTH FD CL F3 (FEUPX)	A	Dividend	J	T					
33. Cohen & Steers Realty Shares (CSRSX)	B	Dividend	K	T					
34. DFA Emerging Mkt Value Portfolio (DFEVX)	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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 11

Name of Person Reporting

O'Malley, Kathleen M.

Date of Report

08/12/2021

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) 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)
35. Dodge & Cox Int'l Stock Fund (DODFX)	A	Dividend	J	T					
36. Invesco Oppenheimer Steelpath MLP Select 40 (OSPSX)	B	Dividend	K	T					
37. Pimco Comm Real Estate Return (PCRIX)	A	Dividend	J	T					
38. Account #2 (H)									
39. Dodge & Cox Stock (DODGX)		None	P1	T					
40. JP Morgan Large Cap R6 (JLGMX)		None	P1	T					
41. American Beacon Small Cap Val Inst (AVFIX)		None	N	T					
42. Janus Enterprises N (JDMNX)		None	N	T					
43. JPMorgan Emerging Markets Equity R6 (JEMWX) (X)		None	O	T					
44. Lazard Emerging Market Equity Inst (LZEMX) (Y)									
45. Oakmark International I (OAKIX) (Y)									
46. MFS Intl Diversification R4 (MDITX) (X)		None	P1	T					
47. Metropolitan West Total Return Bond (MWTRX)		None	P1	T					
48. Schwab Covington Burlington Pooled Stable Value Fund		None	P1	T					
49. Account #3 (H)									
50. Schwab Bank Sweep Account (cash) (X)	A	Interest	J	T					
51. Ishares Trust S&P 500 (IVV)	B	Dividend	L	T	Sold (part)	10/19/20	J	C	

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 7 of 11

Name of Person Reporting

O'Malley, Kathleen M.

Date of Report

08/12/2021

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)
52. Ishares MSCI Emerging Market Index (EEM)	A	Dividend	L	T					
53. Vang Small Cap (VB)	A	Dividend	K	T	Sold (part)	10/19/20	J	A	
54. Baird Inter Muni (BMBIX)	C	Dividend	M	T					
55. Goldman Sachs Emerging Markets Debt Fund (GSDIX)	A	Dividend	K	T					
56. Hotchkis & Wiley Hi Yield (HWHIX)	C	Dividend	L	T					
57. Vang Inflation Protected (VIPSX)	A	Dividend	K	T					
58. Vang St Exempt Fund (VWSTX)	A	Dividend	L	T	Buy (add'l)	02/10/20	L		
59.					Sold (part)	02/21/20	K		
60. American FD Europacific GWTH FD CL F3 (FEUPX)	A	Dividend	L	T					
61. Cohen & Steers Realty (CSRSX)	B	Dividend	K	T					
62. Dodge & Cox Int'l Stock Fund (DODFX)	A	Dividend	K	T					
63. Maingate MLP Fund (IMLPX)	C	Dividend	K	T	Sold (part)	10/19/20	J		
64. Account #4 (H)									
65. Schwab Bank Sweep (cash) (Y)									
66. Apple Inc (AAPL)	A	Dividend	J	T	Buy	08/31/20	J		
67. Tesla Inc (TSLA)		None	J	T	Buy	08/31/20	J		
68. Ishares Trust S&P 500 (IVV)	A	Dividend	L	T					

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 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
2 Value Codes (See Columns C1 and D3)					
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value				

FINANCIAL DISCLOSURE REPORT

Page 8 of 11

Name of Person Reporting

O'Malley, Kathleen M.

Date of Report

08/12/2021

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)
69. Ishares MSCI Emerging Markets Index (EEM)	B	Dividend	L	T					
70. Vang Small Cap (VB)	A	Dividend	K	T					
71. Baird Inter Muni (BMBIX)	C	Dividend	M	T					
72. Goldman Sachs Emerging Markets Debt (GSDIX)	B	Dividend	K	T					
73. Hotchkis & Wiley Hi Yield (HWHIX)	C	Dividend	L	T					
74. Pimco Intl Bond US Dollar Hedged (PFORX)	B	Dividend	L	T					
75. Vang Inflation Protected (VIPSX)	A	Dividend	K	T					
76. Vang St Exempt Fund (VWSTX)	B	Interest	M	T					
77. Wells Fargo Adv Int'l (ESCIX)		None	L	T					
78. American Fund Europacific CI F3 (FEUPX)	A	Dividend	K	T					
79. Cohen & Steers Realty (CSRSX)	C	Dividend	L	T					
80. Credit Suisse Comm Return Strategy (CRSOX)	A	Dividend	K	T	Sold (part)	08/31/20	J		
81. Dodge & Cox Int'l Stock Fund (DODFX)	A	Dividend	K	T					
82. Maingate MLP Fund (IMLPX)	C	Dividend	K	T					
83. Account #5 (H)									
84. Schwab Bank Sweep Account (cash)	A	Interest	L	T	Open	08/31/20	L		
85. Apple Inc (AAPL)	A	Dividend	L	T	Buy	07/23/20	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
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	

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)
86.					Buy (add'l)	08/31/20	L		
87. Berkshire Hathaway (BRKB)		None	K	T					
88. Editas Medicine Inc (EDIT)		None			Buy	04/21/20	J		
89.					Sold	10/02/20	J	B	
90. Eldorado Gold Corp (EGO)		None			Buy	06/17/20	J		
91.					Sold	09/24/20	J	B	
92. Glaukos Corp (GKOS)		None	J	T					
93. Hon Hai Precsn Ind OrdF (HNHAF)	C	Dividend	L	T					
94. Neogenomic Inc (NEO)		None	K	T					
95. Tesla Inc (TSLA)		None	L	T	Buy	06/17/20	J		
96.					Buy (add'l)	08/31/20	K		
97.					Sold (part)	10/30/20	J	B	
98. ZTO Express Cayman Inc (ZTO)	A	Dividend			Sold	09/23/20	K	E	

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 10 of 11

Name of Person Reporting

O'Malley, Kathleen M.

Date of Report

08/12/2021

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

Under individual assets, value method code "V" indicates cumulative value of funds invested.

Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value, per page 42 of the filing instructions.

FINANCIAL DISCLOSURE REPORT

Page 11 of 11

Name of Person Reporting

O'Malley, Kathleen M.

Date of Report

08/12/2021

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/ **Kathleen M. O'Malley**

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