

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) Prost, Sharon	2. Court or Organization Federal Circuit	3. Date of Report 05/12/2017
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 01/01/2016 to 12/31/2016
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.		
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.)*

DATE	SOURCE AND TYPE	INCOME (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.)*

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. Connor Inn of Court	01/20/16-01/21/16	New York City, NY	Annual dinner	Transportation, food, lodging
2. University of Southern California	02/08/16-02/10/16	Santa Monica, CA	Keynote speaker and panelist	Transportation, food, lodging
3. Federal Circuit Bar Association	02/11/16	Newark, NJ	Keynote speaker and panelist	Transportation, food
4. Georgia Bar IP Section	03/25/16-03/26/16	Atlanta, GA	Annual dinner	Transportation, food, lodging
5. Fordham IP Institute	03/31/16-04/01/16	New York City, NY	Speaker and panelist	Transportation, food, lodging
6. New York Intellectual Property Law Association	04/01/16-04/02/16	New York City, NY	Annual dinner	Transportation, food, lodging

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7.	Federal Circuit Bar Association	04/27/16-04/28/16	Chicago, IL	Keynote speaker and panelist	Transportation, food, lodging
8.	Federal Circuit Bar Association	05/19/16-5/20/16	Wilmington, DE	Panelist	Transportation, food, lodging
9.	University of New Hampshire	05/20/16-05/22/16	Concord, NH	Commencement Speaker	Transportation, food, lodging
10.	Federal Circuit Bar Association	06/22/16-06/25/16	Nashville, TN	Panelist	Transportation, food, lodging
11.	Federal Circuit Bar Association	10/10/16-10/15/16	Paris, France	Panelist	Transportation, food, lodging
12.	Federal Bar Association (N.D. Cal. Chapter)	10/18/16-10/19/16	Stanford, CA	Dinner	Transportation, food, lodging
13.	Eastern District of Texas Bar Association	10/19/16-10/21/16	Plano, TX	Dinner and panelist	Transportation, food, lodging
14.	Harvard University	10/26/16-10/27/16	Boston, MA	Panelist	Transportation, food, lodging

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

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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				
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18. American Century New Opportunities	A	Dividend	J	T					
19. BLACKROCK GLOBAL ALLOCATION FUND	A	Dividend			Sold	08/16/16	J		
20. Westcore Small Cap Value Fund	A	Dividend	J	T					
21. New Jersey Health Care FACS	A	Interest	K	T					
22. JEFFERSON CNTY COLO OPEN SPACE SALES TAX REV RF	A	Interest	K	T					
23. Spring Branch, TX Indpt. School Dist.	A	Interest	K	T					
24. Ohio St Major New St Infrastructure	A	Interest	J	T					
25. Tampa Fla Sales Tax Rev RF	A	Interest	K	T					
26. California Health Facs Fing Auth Rev	A	Interest	K	T					
27. Virginia St PSA Sch Fing	A	Interest	K	T					
28. NEW YORK N Y SER B RF	A	Interest	K	T					
29. CLEVELAND OHIO WTR REV SECOND LIEN SER A RF	A	Interest	K	T					
30. AUGUSTA GA WTR & SEW REV & IMPT RF	A	Interest	K	T					
31. NEW YORK ST DORM AT RVS NON ST SCH A SCH GTD AGM	A	Interest	K	T					
32. ROYAL OAK MICH HOSP FIN AUTH HOSP REV SER D RF	A	Interest	J	T					
33. Spector SPDR Industrial	A	Dividend			Sold	02/09/16	J		
34. First TR ISE Cloud Comp	A	Dividend			Sold	02/09/16	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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35. Deutsche X-Trackers MSCI Japan	A	Dividend			Sold	02/09/16	J		
36. SPDR S&P Health Care Equipment	A	Dividend			Sold	02/09/16	J		
37. IShares DowJones US Finl Svcs	A	Dividend			Sold	02/09/16	J		
38. SPDR KBW Insurance	A	Dividend			Sold	02/09/16	J		
39. SPDR S P Retail	A	Dividend			Sold	02/09/16	J		
40. First TR Financials Alphadex Fund	A	Dividend			Sold	02/09/16	J		
41. Vanguard Industrial ETF	A	Dividend			Sold	02/09/16	J		
42. Vanguard Information Tech ETF	A	Dividend			Sold	02/09/16	J		
43. Vanguard Consumer Discretionary ETF	A	Dividend			Sold	02/09/16	J		
44. Vanguard Consumer Staples ETF	A	Dividend			Sold	02/09/16	J		
45. IShares TR S&P GSSI Software	A	Dividend			Sold	02/09/16	J		
46. Salt Riv PJ AZ Agric-Pwr DT RV Ser	A	Interest			Sold	02/08/16	J		
47. Miami-Dade Cnty Fla Tran Sys	A	Interest	J	T					
48. San Angelo Tex Indpt Sch Dist	A	Interest	J	T					
49. SPDR DJ Wilshre Reit ETF	A	Dividend			Sold	02/09/16	J		
50. Vanguard Health Care ETF	A	Dividend			Sold	02/09/16	J		
51. IShares NASDAQ Biotech ETF*	A	Dividend			Sold	02/04/16	J		

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52. Vanguard Utilities ETF	A	Dividend			Buy	02/04/16	J		
53.					Sold	02/09/16	J		
54. Vanguard Growth ETF	A	Dividend	J	T	Buy	02/09/16	J		
55. New York NY City TFA Rev Future Ser	A	Dividend	J	T	Buy	02/10/16	J		
56. Powershares DWA Momentum Portfolio	A	Dividend	J	T	Buy	02/09/16	J		
57. Guggenheim S&P 500	A	Dividend	J	T	Buy	02/09/16	J		
58. SPDR Ser TR S&P Dividend	A	Dividend	J	T	Buy	02/09/16	J		
59. SPDR S&P 500 ETF Trust	A	Dividend	J	T	Buy	02/09/16	J		
60. iShares IBonds Dec 2025 Term Corp	A	Dividend	J	T	Buy	05/03/16	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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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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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

* Line 51 IShares NASDAQ Biotechnology was listed as sold in 2015, it should have been listed as partially sold.

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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