

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) Yock, Robert J.	2. Court or Organization United States Court of Federal Claims	3. Date of Report 09/19/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Senior Judge	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 National Courts Building 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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE AND TYPE

1. 2016

VA Schoold District Retirement Annuity

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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

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.			
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. Dominion Resources C/S	D	Dividend	M	T					
2. Target C/S	C	Dividend	M	T					
3. Altria GR	A	Dividend	J	T					
4. Proctor & Gamble	A	Dividend	K	T					
5. Columbia Seligman Comm. & Info Fund	A	Dividend	K	T					
6. Corning, Inc.	A	Dividend	J	T					
7. Sinclair Broadcast GR	A	Dividend	K	T					
8. Bank of America, Ann. VA	A	Interest	J	T					
9. Navy Fed. Cr. Union	A	Interest	K	T					
10. United Bank	A	Interest	K	T					
11. Kraft/Heinz Co.	A	Dividend	J	T					
12. Online Vacation Ctr. Inc.	A	Dividend	J	T					
13. Cole Credit Property Trust IV	A	Dividend	L	T					
14. Vanguard Mid-Cap Growth Index	A	Dividend	K	T					
15. Vanguard SM Cap Growth	A	Dividend	K	T					
16. Apple Inc. C/S	A	Dividend	K	T					
17. Oppenheimer Intl Bd	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 –\$250,001 - \$500,000,000	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 \$5,000,000	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. Openheimer Div Mkts FD	A	Dividend	K	T					
19. Abbot Labs C/S	A	Dividend	J	T					
20. Google C/S	A	Dividend	J	T					
21. Mastercard C/S	A	Dividend	J	T					
22. Oracle C/S	A	Dividend	J	T					
23. Starbucks C/S	A	Dividend	J	T					
24. Nike C/S	A	Dividend	J	T					
25. Chevron C/S	A	Dividend	K	T					
26. Tochtstone Sands	A	Dividend	K	T					
27. Clearbridge Energy LP	B	Dividend	K	T					
28. Dingo Plc Spon ADR New (DEO)	A	Dividend	J	T					
29. Grupo Televisa S.A. Global Dep	A	Dividend	J	T					
30. Brandes Int'l SA BISMEX	A	Int./Div.	K	T					
31. ADP C/S	A	Dividend	J	T					
32. Facebook Res. Sys. Inc. (FDS)	A	Dividend	J	T					
33. Fastenal (FAST)	A	Dividend	J	T	Distributed	07/25/16	J	A	
34. Gartner Inc. (IT)	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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35. TJX Cos. Inc. (TJX)	A	Dividend	J	T					
36. Visa Inc.	A	Dividend	J	T					
37. Flaterly & Croumble Claymore P (FFC)	A	Dividend	K	T	Buy	05/24/16	K		
38. Wisdom Trust Japan Hedge EQ (DXJ)	A	Dividend	J	T	Buy	11/27/15	J		
39. Unit FT Sabrient Baker's Doz 2016	A	Dividend	K	T	Buy	01/27/16	K		
40. Unit AAM Tactical Inc. CE 16-2	A	Dividend	K	T	Buy	05/24/16	K		
41. Morgan/Stanley Bank	A	Interest	J	T					
42. Unit AAM Bahl & Gaynor Inc. GR	A	Dividend	K	T	Buy	06/27/16	K		
43. Accenture (ACN)	A	Dividend	J	T	Buy	08/12/14	J		
44. Adobe Sys (ADBE)	A	Dividend	J	T	Buy	03/05/15	J		
45. Align Tech (ALGN)	A	Dividend	J	T	Buy	02/19/16	K		
46. Celgene (CELG)	A	Dividend	K	T	Buy	12/08/14	K		
47. Dollar Gen (DG)	A	Dividend	J	T	Buy	07/27/16	J		
48. Nestle (NSRGY)	A	Dividend	J	T	Buy	08/20/15	K		
49. O'Reilly Auto (ORLY)	A	Dividend	J	T	Buy	08/12/14	K		
50. Priceline (PCLN)	A	Dividend	J	T	Buy	06/16/14	J		
51. Regeneron (REGN)	A	Dividend	J	T	Buy	02/13/14	J		

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52. Invesco Prem (IPPXX)	A	Dividend	J	T	Buy	02/16/16	J		
53. Griffin Cap AM Healthcare Reit III	A	Dividend	K	T	Buy	10/30/14	K		
54. Valic TSA - Vanguard Windsor II	A	Dividend	K	T					
55. Valic TSA - Mid Cap Strategic Gwth	B	Dividend	K	T					
56. Valic TSA - Mid Cap Value Fund	B	Dividend	K	T					
57. Valic TSA - Small Cap Value Fund	A	Dividend	K	T					
58. Valic TSA - Foreign Value	A	Dividend	J	T					
59. Valic TSA - Intl Opportunities	B	Dividend	K	T					
60. Valic TSA - Fixed Account Plus	A	Interest	K	T					
61. Valic TSA - Strateic Bond Fund	A	Interest	K	T					
62. Prud-Ann-AS Extra C Six Ast-T.Row Price Asset	D	Dividend	M	T					
63. Prud-Ann-As Xtra C Six Ast. Prud Growth ALLOC	D	Dividend	M	T					
64. Prud-Ann-As Xtra C Six Ast. Interest Gr. Bond	D	Dividend	J	T					

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

1. It should be noted that the last financial disclosure report that filed prior to this current report (calendar year 2016), was filed for calendar year 2013, after I retired from active service. In early 2016 the Chief Judge of my court, the United States Court of Federal Claims, issued a mandatory recall order to active duty status for those senior judges that could respond, including myself. I served three months from 01 April 2016 to 01 July 2016, thereby making myself eligible to file a financial disclosure report for calendar year 2016. See generally 28 U.S.C. sec. 178(d) (2016).

Some of the provisions of the 2016 report reflect the fact that I did not have to file a financial disclosure report for 2014 and 2015.

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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/ **Robert J. Yock**

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