

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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) Friedman, Paul L.	2. Court or Organization U.S. District Court	3. Date of Report 07/23/2015
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Senior Status	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2014 to 12/31/2014
7. Chambers or Office Address U.S. Courthouse, Room [REDACTED] 333 Constitution Avenue, N.W. Washington, DC 20001		
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. Member | Secretary of the American Law Institute & member of its Council (the governing body of the Institute) & the Executive Committee since 1998 |
| 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. 2014	██████████ Retirement Income Pension Plan Administered by State Street Retiree Service - Pension Plan	\$22,509.00
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. 2014	██ - Retirement Plan Distribution
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. American Law Institute	01/15-01/17/2014	Philadelphia, PA	Meeting of ALI Council	Transportation, hotel, and meals.
2. National Academy of Arbitrators	05/22-05/24/2014	Chicago, IL	National Academy of Arbitrators Annual Meeting	Transportation, hotel, and meals.
3. American Law Institute	09/10-09/12/2014	Chicago, IL	Executive Committee Retreat	Transportation, hotel, and meals.
4. American Law Institute	10/14-10/17/2014	New York, NY	Meeting of ALI Council	Transportation, hotel, and meals.
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.	██████████	Guests for Dinner	\$400.00
2.	██████████	Women's Musuem Dinner	\$400.00
3.	*same as above; line 2	Washington Nationals game	\$160.00
4.	██████████	Guests for Dinner	\$300.00
5.	*same as above, line 4	Washington Ballet Annual Ball	\$500.00
6.	*same as above, line 4	The ARC Annual Benefit	\$400.00
7.	██████████	██████ edition of his treatise on Federal ██████████	\$830.00
8.	██████████	2014 Vincent Scully Prize Gala	\$500.00

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.	Charles Schwab & Co., Inc.	Margin Loan on assets held in Brokerage Account	M
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. Brokerage Account (H)									
2. -Gabelli Small Cap Fund	B	Dividend	L	T					
3. -Gabelli Asset Fund	C	Dividend	L	T					
4. -Harbor International	C	Dividend	M	T					
5. -Fidelity Spartan Tax Free Bond Fund	C	Dividend			Sold	12/17/14	M	E	
6. -iShares Cohen & Steers Realty Majors Index Fund	B	Dividend	L	T					
7. -iShares Russell 1000 Growth Index Fund	B	Dividend	M	T					
8. -iShares Russell 2000 Growth Index Fund	A	Dividend	L	T					
9. -iShares Russell 2000 Value Index Fund	A	Dividend	L	T					
10. -Vanguard Short Term Tax Exempt Fund	A	Dividend			Buy (add'l)	04/04/14	K		
11.					Sold	12/16/14	L	A	
12. -Brown Capital Mgmt Small Company Fund	B	Dividend	K	T	Sold (part)	05/09/14	J	A	
13. -Royce Special Equity Fund	A	Dividend			Sold	12/14/14	J	C	
14. -SPDR S&P Dividend Fund	C	Dividend	L	T					
15. -Vanguard Dividend Appreciation Fund	A	Dividend			Sold	12/19/14	K	C	
16. -Vanguard Limited Term Tax Exempt Fund	A	Dividend			Sold	05/08/14	L	A	
17. IRA Account #1 (H)	G	Dividend	P1	T					

1. Income Gain Codes:	A ~\$1,000 or less (See Columns B1 and D4)	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	F ~\$50,001 - \$100,000 J ~\$15,000 or less (See Columns C1 and D3)	K ~\$15,001 - \$50,000 O ~\$500,001 - \$1,000,000	L ~\$50,001 - \$100,000 P1 ~\$1,000,001 - \$5,000,000	M ~\$100,001 - \$250,000 P2 ~\$5,000,001 - \$25,000,000	
3. Value Method Codes	N ~\$250,001 - \$500,000 P3 ~\$25,000,001 - \$50,000,000	Q ~Appraisal U ~Book Value	R ~Cost (Real Estate Only) V ~Other	P4 ~More than \$50,000,000 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.)

☐ 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 I (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. -T.Rowe Price Equity Income Fund									
19. -Longleaf Partners Small Cap Fund									
20. -PIMCo Real Return Fund									
21. -Schwab Money Market Fund									
22. -Morgan Stanley US RE									
23. -American Funds EuroPacific Growth Fund									
24. -T.Rowe Price Mid Cap Growth Fund					Sold (part)	11/18/14	K	B	
25. -Dodge & Cox Stock Fund									
26. -First Eagle Global Fund									
27. -Loomis Sayles Investment Grade Bond Fund					Buy (add'l)	11/18/14	K		
28. -Ohio Valley Bank CD					Matured	07/15/14	L	A	
29. -Royce Special Equity Fund									
30. -T.Rowe Price Capital Appreciation Fund									
31. -Vanguard PRIMECAP Core Fund									
32. -Vanguard Small Cap Growth Index Fund									
33. -Lazard Emerging Markets Fund									
34. -PRIMECAP Odyssey Stock Fund									

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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	(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. -Discover Bank CD					Matured	05/13/14	J	A	
36. -T.Rowe Price Growth Stock Fund					Sold (part)	11/18/14	L	E	
37. -SPDR S&P Dividend Fund									
38. -Dodge & Cox Income Fund					Buy (add'l)	11/18/14	K		
39. -Loomis Sayles Bond Fund					Buy (add'l)	11/18/14	K		
40. -Goldman Sachs Bank CD									
41. -Discover Bank CD									
42. -GE Capital Bank CD									
43. -Templeton Global Bond Fund					Sold (part)	11/18/14	L	A	
44. -Goldman Sachs Bank CD									
45. -Gabelli Small Cap Growth Fund									
46. -Vanguard Corporate Bond Fund									
47. -Vanguard Dividend Appreciation Fund									
48. -American Express CD					Buy	11/28/14	L		
49. IRA Account #2 (H)	E	Dividend	O	T					
50. -Schwab Money Market Fund									
51. -T.Rowe Price Mid Cap Growth Fund									

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 \$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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52. -Loomis Sayles Investment Grade Bond Fund					Buy (add'l)	11/18/14	K		
53. -T.Rowe Price Growth Stock Fund									
54. -American Funds EuroPacific Growth Fund									
55. -Ohio Valley Bank CD					Matured	07/15/14	K	A	
56. -Brown Capital Mgmt Small Company Fund									
57. -Royce Special Equity Fund									
58. -American Funds New World Fund									
59. -First Eagle Global Fund									
60. -Discover Bank CD					Matured	05/13/14	J	A	
61. -SPDR S&P Dividend Fund									
62. -Dodge & Cox Income Fund					Buy (add'l)	11/18/14	K		
63. -Loomis Sayles Bond Fund									
64. -Templeton Global Bond Fund					Sold (part)	11/18/14	K	A	
65. -Goldman Sachs Bank CD									
66. -Vanguard Small Cap Fund									
67. -Vanguard Corporate Bond Fund					Buy (add'l)	05/19/14	J		
68. -Discover Bank CD									

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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 \$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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69. -Goldman Sachs Bank CD									
70. -Vanguard Dividend Appreciation Fund									
71. -Synchrony Bank CD					Buy	07/18/14	K		
72. Money Market Accounts (H)									
73. T.Rowe Price Tax Exempt Fund	A	Interest	M	T					
74. Schwab US Treasury Money Fund	A	Interest	J	T					
75. Brokerage Account : Tax Exempt (H)									
76. Anne Arundel Cnty	A	Interest			Redeemed	04/01/14	K	A	
77. Mass Water Pollution	B	Interest			Sold	12/18/14	K	B	
78. District of Columbia	B	Interest			Sold	12/18/14	K	A	
79. New Hampshire Health	A	Interest			Sold	05/13/14	K	A	
80. Distirct of Columbia	A	Interest			Sold	12/18/14	K	A	
81. Stock Warrants (H)									
82. -Scios Nova Inc		None	J	T					
83. Life Insurance (H)									
84. Security Mutual Life Ins. Co. of NY Universal Life Policy	C	Dividend	M	T					
85. Mass Mutual Life Ins Co	A	Dividend	K	T					

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2. Value Codes (See Columns C1 and D3)	J ~\$15,000 or less N ~\$250,001 - \$500,000 P3 ~\$250,000,001 - \$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 \$5,000,000	M ~\$100,001 - \$250,000 P2 ~\$5,000,001 - \$25,000,000	
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Part VII, Line 82: Scios Nova Inc stock warrants. Four Contingent Payment Rights issued to former limited partners of Nova Technology Limited Partnership in 1993.

Part VII, Line 84: Security Mutual Life Ins. Co. of NY, Universal Lify Policy. No underlying investment options.

Part VII, Line 85: Mass Mutual Life Ins Co. Group Flexible Premium Adjustable Life Insurance Policy. No underlying investment options.

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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/ **Paul L. Friedman**

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