

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) Harris, Pamela A.	2. Court or Organization U.S. Court of Appeals, Fourth Circuit	3. Date of Report 05/22/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Circuit Judge - Active Status	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 7201 Wisconsin Avenue Suite 420 Bethesda, MD 20814		
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 12

Name of Person Reporting

Harris, Pamela A.

Date of Report

05/22/2017

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. 2016	Google Inc. - salary, bonus, equity
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. University of Chicago Law School	4/3/2016-4/4/2016	Chicago, IL	Non-FJC educational program	Transportation, food, lodging
2. Harvard Law School	11/2/2016-11/3/2016	Cambridge, MA	Non-FJC educational program	Transportation, food, lodging
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 12

Name of Person Reporting

Harris, Pamela A.

Date of Report

05/22/2017

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.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 12

Name of Person Reporting

Harris, Pamela A.

Date of Report

05/22/2017

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. SunTrust cash account	A	Interest	J	T					
2. M&T Bank cash account	A	Interest	J	T					
3. Bank of America cash accounts	A	Interest	O	T					
4. Northern Trust cash accounts	A	Interest	N	T					
5. Northwestern Mutual - whole life insurance policies	C	Dividend	M	T					
6. Aberdeen Small Cap Fund	A	Int./Div.	N	T	Buy (add'l)	01/05/16	J		
7. Agilent Technologies Common	A	Dividend	L	T					
8. Alcatel Lucent SA (ADR) Common		None			Sold	06/02/16	J		
9. Alphabet Inc. Common		None	N	T	Sold (part)	02/29/16	O		
10. American Century Equity Growth Fund	A	Dividend	J	T					
11. American Funds EuroPacific Growth Fund	A	Dividend	J	T					
12. American Funds Growth Fund of America	C	Dividend	N	T	Buy (add'l)	01/05/16	J		
13. American International Group Inc. Common	A	Dividend	J	T					
14. American International Group Inc. Warrants		None	J	T					
15. Automatic Data Processing Common	C	Dividend	M	T					
16. Blackrock High Yield Bond Portfolio Fund	E	Int./Div.	N	T	Buy (add'l)	06/14/16	J		
17.					Buy (add'l)	12/23/16	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
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	
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FINANCIAL DISCLOSURE REPORT

Page 5 of 12

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18. BlackRock Large Cap Value Fund	A	Dividend	M	T	Buy (add'l)	01/05/16	J		
19. Broadridge Financial Solutions, Inc. Common	A	Dividend	K	T					
20. CDK Global Inc. Common	A	Dividend	K	T					
21. Cisco Systems Inc. Common	B	Dividend	K	T					
22. Clearbridge Dividend Strategy Fund	A	Dividend	M	T	Buy (add'l)	01/05/16	J		
23. Coca Cola Common	D	Dividend	M	T					
24. Davis New York Venture Fund	C	Dividend	N	T					
25. Dell Technologies Inc. Common		None	J	T	Buy	09/07/16	J		
26. DFA U.S. Core Equity I Portfolio Fund	E	Dividend	P1	T	Buy (add'l)	02/08/16	L		
27.					Buy (add'l)	12/15/16	J		
28. Discover Financial Services Common	A	Dividend	K	T					
29. Eaton Vance Large-Cap Value Fund	A	Dividend	L	T	Buy (add'l)	01/05/16	J		
30. EMC Corp. Common	A	Dividend			Merged (with line 25)	09/07/16	J		
31. Express Scripts Holdings Common		None	L	T					
32. Exxon Mobil Corp. Common	E	Dividend	O	T					
33. Fidelity Advisor Mid Cap II Fund	B	Dividend	M	T					
34. Fidelity Advisor New Insights Fund	A	Dividend	M	T	Buy (add'l)	01/05/16	J		

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FINANCIAL DISCLOSURE REPORT

Page 6 of 12

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35. First Eagle Global Fund	B	Dividend	M	T	Buy (add'l)	01/05/16	J		
36.					Buy (add'l)	11/01/16	L		
37. Flexshares Morningstar Global Upstream Natural Resources Index Fund	D	Dividend	N	T	Buy (add'l)	03/11/16	J		
38.					Sold (part)	03/22/16	J		
39.					Buy (add'l)	05/25/16	J		
40.					Buy (add'l)	06/09/16	K		
41.					Buy (add'l)	06/16/16	K		
42.					Buy (add'l)	07/22/16	L		
43.					Buy (add'l)	07/28/16	J		
44.					Buy (add'l)	10/03/16	K		
45. Flexshares STOXX Global Broad Infrastructure Index Fund	C	Dividend	M	T	Buy (add'l)	03/11/16	J		
46.					Sold (part)	11/22/16	J		
47. Flexshares Trust Quality Dividend Index Fund	B	Dividend			Sold	06/13/16	M		
48. Franklin Federal Tax-Free Income Fund	C	Int./Div.	L	T					
49. Hartford Capital Appreciation Fund	A	Int./Div.	L	T					
50. Howard County, MD Municipal Bond	C	Interest	L	T					
51. IBM Corp. Common	D	Dividend	M	T					

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FINANCIAL DISCLOSURE REPORT

Page 7 of 12

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52. Intel Corp. Common	C	Dividend	L	T					
53. Ivy Asset Strategy Fund	A	Int./Div.			Buy (add'l)	01/05/16	J		
54.					Sold (part)	11/01/16	L		
55.					Sold	11/04/16	K		
56. Janus Enterprise Fund	A	Dividend	K	T					
57. Johnson & Johnson Common	D	Dividend	M	T					
58. Keysight Technologies Inc. Common		None	K	T					
59. Lord Abbett High Yield Municipal Bond Fund	C	Int./Div.	L	T					
60. McDonald's Corp. Common	E	Dividend	O	T					
61. Medtronic PLC Common	D	Dividend	N	T					
62. Merk & Co. Common	D	Dividend	N	T					
63. Morgan Stanley Common	B	Dividend	L	T					
64. NetApp Inc. Common	A	Dividend			Sold	05/24/16	J		
65. Northern Emerging Markets Equity Index Fund	A	Dividend	J	T	Buy	03/09/16	J		
66.					Buy (add'l)	04/22/16	J		
67. Northern Global Real Estate Index Fund	D	Dividend	M	T	Buy (add'l)	03/09/16	J		
68. Northern High Yield Fixed Income Fund	A	Dividend	K	T	Buy	03/09/16	J		

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FINANCIAL DISCLOSURE REPORT

Page 8 of 12

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69.					Buy (add'l)	03/22/16	J		
70. Northern International Equity Index Fund	E	Dividend	O	T	Buy (add'l)	02/08/16	K		
71.					Buy (add'l)	03/09/16	K		
72.					Sold (part)	06/07/16	K		
73.					Sold (part)	07/20/16	L		
74. Northern Mid Cap Index Fund	C	Dividend	N	T	Buy (add'l)	02/08/16	K		
75.					Buy (add'l)	03/09/16	J		
76.					Sold (part)	04/22/16	J		
77.					Sold (part)	05/20/16	J		
78.					Buy (add'l)	12/16/16	K		
79. Northern Small Cap Index Fund	A	Dividend	J	T	Buy	03/09/16	J		
80. Northern Stock Index Fund	A	Dividend	K	T	Buy	03/09/16	K		
81.					Buy (add'l)	03/22/16	J		
82.					Sold (part)	04/22/16	J		
83. Nuveen All-American Municipal Bond Fund	B	Int./Div.	L	T					
84. Nuveen High Yield Municipal Bond Fund	B	Int./Div.	K	T					
85. Pfizer Inc. Common	D	Dividend	N	T					

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FINANCIAL DISCLOSURE REPORT

Page 9 of 12

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86. Prince George's County, MD Municipal Bonds	C	Interest	M	T					
87. Sandisk Corp. Common	A	Dividend			Merged (with line 114)	05/16/16	K		
88. Schlumberger Ltd. Common	C	Dividend	M	T					
89. SPDR S&P 500 ETF Trust	C	Int./Div.	N	T					
90. Texas Instruments Common	D	Dividend	N	T					
91. Thornburg International Value Fund	B	Dividend	M	T	Buy (add'l)	01/05/16	J		
92. Vanguard Emerging Markets Select Stock Fund	B	Dividend	L	T	Buy (add'l)	02/11/16	J		
93. Vanguard Emerging Markets Stock Index Fund	A	Dividend	K	T					
94. Vanguard Explorer Fund	A	Dividend	L	T					
95. Vanguard Extended Market Index Fund	A	Dividend	L	T	Buy (add'l)	01/01/16	J		
96. Vanguard Int'l Equity Index Funds Emerging Markets Stock Index Fund	D	Dividend	N	T	Buy (add'l)	02/08/16	K		
97.					Buy (add'l)	06/14/16	L		
98. Vanguard International Growth Fund	A	Dividend	L	T					
99. Vanguard Institutional Index Fund	A	Dividend	L	T	Buy (add'l)	01/01/16	J		
100. Vanguard Mid-Cap Growth Fund	A	Dividend	L	T	Buy (add'l)	02/11/16	J		
101. Vanguard Mid-Cap Index Fund	B	Dividend	M	T	Buy (add'l)	02/11/16	J		
102. Vanguard PrimeCap Core Fund	D	Dividend	N	T	Buy (add'l)	02/11/16	J		

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Page 10 of 12

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103. Vanguard Prime Money Market Fund	A	Interest	J	T	Buy	05/09/16	J		
104. Vanguard REIT Index Fund	A	Dividend	L	T	Buy (add'l)	01/01/16	J		
105. Vanguard Small-Cap Index Fund	A	Dividend	K	T					
106. Vanguard Small-Cap Growth Index Fund	A	Dividend	K	T					
107. Vanguard Total Bond Market Index Fund	A	Dividend	K	T	Buy (add'l)	01/01/16	J		
108. Vanguard Total International Stock Index Fund	A	Dividend	L	T	Buy (add'l)	01/01/16	J		
109. Vanguard Total Stock Market Index Fund	B	Dividend	L	T					
110. Vanguard U.S. Growth Fund	A	Dividend	L	T					
111. Vanguard Wellington Fund	A	Dividend	K	T					
112. Vanguard Windsor II Fund	B	Dividend	M	T					
113. Victory Munder Mid-Cap Core Growth Fund	A	Dividend	M	T	Buy (add'l)	01/05/16	J		
114. Western Digital Corp. Common	A	Dividend	K	T	Buy	05/16/16	K		
115. Zoetis Inc. Common	A	Dividend	K	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 11 of 12

Name of Person Reporting

Harris, Pamela A.

Date of Report

05/22/2017

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

PART VII:

Alphabet Inc. shares (Part VII, line 9) vested monthly throughout the year. Sales occurred on 2/29, 4/26, 5/16, 5/31, 8/1, 8/30, 11/4, and 11/30.

Values stated for Vanguard Emerging Markets Select Stock Fund (Part VII, line 92) and Vanguard Emerging Markets Stock Index Fund (Part VII, line 93) were inadvertently reversed in 2015 report.

On September 7, 2016, EMC Corp. (Part VII, line 30) was merged into Dell Technologies Inc. (Part VII, line 25).

On May 16, 2016, Sandisk Corp. (Part VII, line 87) was merged into Western Digital Corp. (Part VII, line 114).

Vanguard funds with purchase date of 1/1/16 (Part VII, lines 95, 99, 104, 107, 108) had purchases throughout 2016 from salary withholding.

FINANCIAL DISCLOSURE REPORT

Page 12 of 12

Name of Person Reporting

Harris, Pamela A.

Date of Report

05/22/2017

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/ Pamela A. Harris**

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