

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) Bacharach, Robert E.	2. Court or Organization Court of Appeals for the 10th Circuit	3. Date of Report 06/07/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Circuit Judge - full-time	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 200 NW 4th Street Room 2421 Oklahoma City, OK 73102		
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. At Large Director	Federal Bar Association, Oklahoma City Chapter
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.)*

<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.	
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. Vanderbilt University	February 4-6, 2016	Nashville, TN	Judge Moot Court	Airfare, Hotel, Meals & Transportation
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. VANGUARD VARIABLE ANNUITY									
2. - Vanguard Equity Index Portfolio	A	Int./Div.	L	T					
3. - Vanguard Diversified Value Portfolio	A	Int./Div.	L	T					
4. - Vanguard Growth Portfolio	A	Int./Div.	L	T					
5. - Vanguard International Portfolio	A	Int./Div.	M	T					
6. - Vanguard Mid-Cap Index Portfolio	A	Int./Div.	L	T					
7. - Vanguard REIT Index Portfolio	A	Int./Div.	K	T					
8. CHARLES SCHWAB & CO INC Acct #1									
9. - American Funds Europacific Growth Fund	A	Int./Div.	J	T					
10. - DFA Emerging Markets Value I	A	Int./Div.	K	T					
11. - DFA Internationall Small Cap Portfolio	A	Int./Div.	J	T					
12. - DFA Large Cap Value I	A	Int./Div.	K	T	Buy	05/17/16	K		
13. - Longleaf Partners Fund	A	Int./Div.			Sold	05/17/16	J	A	
14. - Schwab Fundamental International Large	A	Int./Div.	J	T	Buy	07/08/16	J		
15. - Schwab Money Market Fund	A	Int./Div.	J	T					
16. - Weitz Value Institutional Fund		None			Sold	05/17/16	K	C	
17. CHARLES SCHWAB & CO INC Acct #2									

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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = \$100,001 - \$250,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$250,001 - \$500,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	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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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. - Schwab Money Market Fund	A	Int./Div.	J	T					
19. - Schwab Fundamental Emerging Markets Large Company Index Fund	A	Int./Div.	J	T					
20. CHARLES SCHWAB & CO INC Acct #3									
21. - DFA Emerging Markets Value I	B	Int./Div.	L	T					
22. - DFA International Small Cap Value I	B	Int./Div.	L	T	Buy (add'l)	05/17/16	J		
23. - DFA International Value I	B	Int./Div.	L	T	Buy (add'l)	05/17/16	K		
24. - DFA US Large Cap Value I	A	Int./Div.	K	T	Buy	05/17/16	K		
25. - DFA US Large Company I	A	Int./Div.	K	T					
26. - DFA US Small Cap Value I	A	Int./Div.	M	T	Sold (part)	05/17/16	K	A	
27. - Legg Mason Capital Management Value I	A	Int./Div.			Sold	05/17/16	J		
28. - Schwab Fundamental International Small	A	Int./Div.	J	T	Buy	07/08/16	J		
29. - Schwab Money Market Fund	A	Int./Div.	J	T					
30. - Vanguard Growth Index Signal	A	Int./Div.	K	T					
31. - Weitz Value Fund		None			Sold	05/17/16	K	A	
32. CHARLES SCHWAB & CO INC Acct #4									
33. - Advisory Research MLP & Energy	C	Int./Div.	L	T	Buy	01/14/16	K		
34. - DFA Emerging Markets Value I	B	Int./Div.	L	T	Buy (add'l)	01/14/16	K		

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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 \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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35.					Sold (part)	12/22/16	J		
36. - DFA International Real Estate Securities I	B	Int./Div.	K	T	Sold (part)	01/14/16	J		
37. - DFA International Small Cap Value I	B	Int./Div.	K	T					
38. - DFA International Value I	B	Int./Div.	L	T					
39. - DFA Real Estate Securities I	A	Int./Div.	J	T	Sold (part)	01/14/16	J	C	
40. - Dodge & Cox International Fund	A	Int./Div.	K	T					
41. - Invesco Equally Weighted S&P 500 Fund	A	Int./Div.	L	T					
42. - Legg Mason Capital Mangement Value Trust		None			Sold	01/14/16	J	C	
43. - Longleaf Partners Fund		None			Sold	01/14/16	K		
44. - Schwab Money Market Fund	A	Int./Div.	J	T					
45. -Vanguard Growth Index Adm	B	Int./Div.	M	T					
46. CHARLES SCHWAB & CO INC Acct #5									
47. - Schwab Money Market Fund	A	Int./Div.	J	T					
48. - DFA International Value I	A	Int./Div.	K	T					
49. CHARLES SCHWAB & CO INC Acct #6									
50. - DFA Emerging Markets Value I	A	Int./Div.	K	T					
51. - DFA International Small Cap Value I	A	Int./Div.	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 = \$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	
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52. - DFA International Value I	A	Int./Div.	J	T	Sold (part)	05/17/16	J	A	
53. - DFA Tax Managed International Value		None			Sold	01/14/16	J		
54. - DFA Tax Managed US Marketwide Value	B	Int./Div.	L	T					
55. - DFA US Large Company I	A	Int./Div.	K	T					
56. - DFA US Small Cap Value I	A	Int./Div.	L	T					
57. - Schwab Fundamental International Large	A	Int./Div.	J	T	Buy	01/14/16	J		
58.					Buy (add'l)	01/28/16	J		
59. - Schwab Fundamental International Small Company Index	A	Int./Div.			Sold	05/17/16	J		
60. - Schwab Money Market Fund	A	Int./Div.	J	T					
61. - Vanguard Mid-Cap Value EFT	A	Int./Div.	K	T					
62. - Vanguard Growth Index Adm	A	Int./Div.	K	T					
63.									

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

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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 E. Bacharach**

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