

FINANCIAL DISCLOSURE REPORT  
FOR CALENDAR YEAR 2015Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)

|                                                                                                                                                                                     |                                                                                                                                                                                                                                                                                          |                                                              |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------|
| <b>1. Person Reporting (last name, first, middle initial)</b><br>Srinivasan, Srikanth                                                                                               | <b>2. Court or Organization</b><br>U.S. Court of Appeals, District of Columbia Circuit                                                                                                                                                                                                   | <b>3. Date of Report</b><br>5/13/2016                        |
| <b>4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)</b><br>U.S. Court of Appeals Judge - Active                        | <b>5a. Report Type (check appropriate type)</b><br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final<br><b>5b.</b> <input type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br>01/01/2015<br>to<br>12/31/2015 |
| <b>7. Chambers or Office Address</b><br>E. Barrett Prettyman U.S. Courthouse and William B. Bryant Annex<br>333 Constitution Avenue, NW<br>Washington, DC 20001                     |                                                                                                                                                                                                                                                                                          |                                                              |
| <b>IMPORTANT NOTES:</b> 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.)POSITIONNAME OF ORGANIZATION/ENTITY

|                             |                                    |
|-----------------------------|------------------------------------|
| 1. Adjunct Professor of Law | Georgetown University Law Center   |
| 2. President-elect          | Edward Coke Appellate Inn of Court |
| 3. Trustee/Grantor          | Trust #1                           |
| 4. Adviser                  | American Law Institute             |
| 5.                          |                                    |

**II. AGREEMENTS.** (Reporting individual only; see pp. 14-16 of filing instructions.)☐ NONE (No reportable agreements.)DATEPARTIES AND TERMS

|         |                                                     |
|---------|-----------------------------------------------------|
| 1. 2015 | Georgetown University Law Center - Teaching in 2016 |
| 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><br>(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. Stanford Law School                                | February 3-5, 2015  | Stanford, CA    | Moot court judging/Q&A panel                                | Transportation, food, hotel   |
| 2. Yale Law School American Constitution Society      | April 7-8, 2015     | New Haven, CT   | Q&A panel with students                                     | Transportation, food, hotel   |
| 3. Iowa Law School                                    | April 16-18, 2015   | Iowa City, IA   | Keynote interview at Iowa Law Review Centennial Celebration | Transportation, food, hotel   |
| 4. South Asian Bar Association of North America       | June 13-14, 2015    | Orlando, FL     | Interview event for SABA national convention                | Transportation, food, hotel   |
| 5. South Asian Bar Association of Northern California | September 3-6, 2015 | Menlo Park, CA  | Interview event with SABA members                           | Transportation, food          |

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|    |                                          |                      |                  |                                                  |                             |
|----|------------------------------------------|----------------------|------------------|--------------------------------------------------|-----------------------------|
| 6. | South Asian Bar Association of San Diego | October 10-11, 2015  | San Diego, CA    | Keynote interview for annual dinner              | Transportation, food, hotel |
| 7. | American Law Institute                   | October 21-22, 2015  | Philadelphia, PA | Advisers meeting for project on Conflict of Laws | Transportation, food, hotel |
| 8. | Yale Law School                          | November 19-20, 2015 | New Haven, CT    | Moot court judging                               | Transportation, food, hotel |

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**V. GIFTS.** *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code I<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                                         |   |          |   |   |                |          |   |   |  |
|---------------------------------------------------------|---|----------|---|---|----------------|----------|---|---|--|
| 1. Brinker Destinations IRA                             |   |          |   |   |                |          |   |   |  |
| 2. - Fidelity Spartan 500 Index (FUSVX)                 | B | Dividend | K | T | Sold<br>(part) | 03/13/15 | J | B |  |
| 3. - Aston/River Road Independent Value<br>(ARIVX)      |   | None     | J | T |                |          |   |   |  |
| 4. - Avenue Credit Strategies Investor<br>(ACSAX)       | B | Dividend | K | T |                |          |   |   |  |
| 5. - Legg Mason Clearbridge Small Cap<br>Growth (SASMX) |   | None     |   |   | Sold<br>(part) | 07/23/15 | J | B |  |
| 6.                                                      |   |          |   |   | Sold           | 11/19/15 | J | B |  |
| 7. - Columbia Dividend Opportunity (INUTX)              | B | Dividend | K | T | Sold<br>(part) | 03/13/15 | J | A |  |
| 8.                                                      |   |          |   |   | Sold<br>(part) | 07/23/15 | J | A |  |
| 9.                                                      |   |          |   |   | Sold<br>(part) | 11/19/15 | J | A |  |
| 10. - Columbia Select Large Cap Growth<br>(ELGAX)       | D | Dividend | L | T | Sold<br>(part) | 03/13/15 | J | B |  |
| 11.                                                     |   |          |   |   | Buy<br>(add'l) | 07/23/15 | J |   |  |
| 12. - Delaware Value (DDVAX)                            | B | Dividend | L | T | Sold<br>(part) | 03/13/15 | J | B |  |
| 13.                                                     |   |          |   |   | Buy<br>(add'l) | 07/23/15 | J |   |  |
| 14. - Doubleline Total Return Bond (DLTNX)              | B | Dividend | K | T |                |          |   |   |  |
| 15. - Dreyfus Bond Market Index (DBMIX)                 | A | Dividend | K | T | Buy<br>(add'l) | 03/13/15 | J |   |  |
| 16.                                                     |   |          |   |   | Buy<br>(add'l) | 07/23/15 | J |   |  |
| 17. - Driehaus Active Income (LCMAX)                    | A | Dividend | K | T | Buy<br>(add'l) | 03/13/15 | J |   |  |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|-------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                   | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$50,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                                  |   |          |   |   |                |          |   |   |  |
|--------------------------------------------------|---|----------|---|---|----------------|----------|---|---|--|
| 18.                                              |   |          |   |   | Buy<br>(add'l) | 11/18/15 | J |   |  |
| 19. - Listed Private Equity (LPEFX)              | B | Dividend | J | T |                |          |   |   |  |
| 20. - Forward EM Corporate Debt (FFXR)           | A | Dividend | J | T | Sold<br>(part) | 03/13/15 | J |   |  |
| 21.                                              |   |          |   |   | Sold<br>(part) | 07/23/15 | J |   |  |
| 22. - MFS International Value (MGIAX)            | B | Dividend | K | T | Buy<br>(add'l) | 11/19/15 | J |   |  |
| 23. - T. Rowe Price Growth Stock (TRSAX)         | C | Dividend | L | T | Sold<br>(part) | 03/13/15 | J | B |  |
| 24. - RS Global Natural Resources (RSNRX)        |   | None     | J | T | Buy<br>(add'l) | 03/13/15 | J |   |  |
| 25. - Ridgeworth Mid Cap Value (SMVTX)           | B | Dividend | K | T | Sold<br>(part) | 03/13/15 | J | A |  |
| 26. - Rivernorth Core Opportunity (RNCOX)        | B | Dividend | K | T | Sold<br>(part) | 03/13/15 | J |   |  |
| 27.                                              |   |          |   |   | Buy<br>(add'l) | 11/18/15 | J |   |  |
| 28. - Riverpark Strategic Income (RSIVX)         | B | Dividend | K | T | Buy<br>(add'l) | 03/13/15 | J |   |  |
| 29.                                              |   |          |   |   | Sold<br>(part) | 11/19/15 | J |   |  |
| 30. - T. Rowe Price Intl Stock (PAITX)           | A | Dividend | K | T | Buy<br>(add'l) | 03/13/15 | J |   |  |
| 31. - TCW Relative Value Dividend Apprec (TGIGX) | A | Dividend | L | T | Sold<br>(part) | 03/13/15 | J | B |  |
| 32.                                              |   |          |   |   | Buy<br>(add'l) | 07/23/15 | J |   |  |
| 33. - Touchstone Focused (TFOAX)                 | A | Dividend | K | T | Sold<br>(part) | 03/13/15 | J | A |  |
| 34.                                              |   |          |   |   | Buy<br>(add'l) | 07/23/15 | J |   |  |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                  | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$5,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 35. - Wasatch International Opportunities (WAIIX)                                                                           | B                                       | Dividend                                      | K                                               | T                                         | Buy (add'l)                                     | 03/13/15                | J                               |                                |                                                                   |
| 36.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy (add'l)                                     | 07/23/15                | J                               |                                |                                                                   |
| 37. - Wasatch Frontier Emerging Small Cos (WAFMX)                                                                           | A                                       | Dividend                                      | K                                               | T                                         | Sold (part)                                     | 07/23/15                | J                               | A                              |                                                                   |
| 38. - Fidelity Cash Reserves (FDRXX)                                                                                        | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 39. - Baron Emerging Markets (BEXFX)                                                                                        | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 40. - Driehaus Event Driven (DEVDX)                                                                                         | A                                       | Dividend                                      | J                                               | T                                         | Buy (add'l)                                     | 03/13/15                | J                               |                                |                                                                   |
| 41. - Legg Mason BW Absolute Return Opportunities (LROAX)                                                                   | A                                       | Dividend                                      | J                                               | T                                         | Buy (add'l)                                     | 03/13/15                | J                               |                                |                                                                   |
| 42.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold (part)                                     | 11/19/15                | J                               |                                |                                                                   |
| 43. - Undiscovered Manager Behavioral Value (UBVAX)                                                                         | A                                       | Dividend                                      | J                                               | T                                         | Buy (add'l)                                     | 03/13/15                | J                               |                                |                                                                   |
| 44.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy (add'l)                                     | 07/23/15                | J                               |                                |                                                                   |
| 45. - Driehaus Micro Cap Growth Fund (DMCRX)                                                                                | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 11/19/15                | K                               |                                |                                                                   |
| 46. Trust #1 - Brinker Destinations Brokerage Account                                                                       |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 47. - Fidelity Spartan 500 Index (FUSVX)                                                                                    | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 48. - Fidelity Intermediate Muni Income (FLTMX)                                                                             | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 49. - Aston/River Road Independent Value (ARIVX)                                                                            |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 50. - Avenue Credit Strategies (ACSAX)                                                                                      | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 51. - Legg Mason Clearbridge Small Cap Growth (SASM)                                                                        |                                         | None                                          |                                                 |                                           | Sold                                            | 11/16/15                | J                               | A                              |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
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| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                  | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$5,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                          | T = Cash Market                                              |                         |

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| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 52. - Columbia Dividend Opportunity (INUTX)                                                                                 | A                                       | Dividend                                      | J                                               | T                                         | Sold<br>(part)                                  | 11/16/15                | J                               | A                              |                                                                   |
| 53. - Columbia Select Large Cap Growth<br>(ELGAX)                                                                           | B                                       | Dividend                                      | K                                               | T                                         | Buy<br>(add'l)                                  | 11/16/15                | J                               |                                |                                                                   |
| 54. - Delaware Value (DDVAX)                                                                                                | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 55. - Doubleline Total Return Bond (DLTNX)                                                                                  | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 56. - Driehaus Active Income (LCMAX)                                                                                        | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 57. - Listed Private Equity (LPEFX)                                                                                         | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 58. - Forward EM Corporate Debt (FFXRX)                                                                                     |                                         | None                                          |                                                 |                                           | Sold                                            | 11/16/15                | J                               |                                |                                                                   |
| 59. - MFS International Value (MGIAX)                                                                                       | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 60. - Northern Interm Tax Exempt (NOITX)                                                                                    | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 61. - T. Rowe Price Growth Stock Advisor<br>(TRSAX)                                                                         | B                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 62. - RS Global Natural Resources (RSNRX)                                                                                   |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 63. - Ridgeworth Mid Cap Value Equity<br>(SMVTX)                                                                            | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 64. - Rivernorth Core Opportunity (RNCOX)                                                                                   | A                                       | Dividend                                      | J                                               | T                                         | Buy<br>(add'l)                                  | 11/16/15                | J                               |                                |                                                                   |
| 65. - T. Rowe Price Intl Stock Advisor (PAITX)                                                                              | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 66. - TCW Relative Value Dividend Apprec<br>(TGIGX)                                                                         | A                                       | Dividend                                      | K                                               | T                                         | Buy<br>(add'l)                                  | 11/16/15                | J                               |                                |                                                                   |
| 67. - Touchstone Focused (TFOAX)                                                                                            | A                                       | Dividend                                      | J                                               | T                                         | Buy<br>(add'l)                                  | 11/16/15                | J                               |                                |                                                                   |
| 68. - Wasatch International Opportunities<br>(WAIOX)                                                                        | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                  | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$5,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                          | T = Cash Market                                              |                         |

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Srinivasan, Srikanth

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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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                                              |   |          |   |   |     |          |   |  |  |
|--------------------------------------------------------------|---|----------|---|---|-----|----------|---|--|--|
| 69. - Wasatch Frontier Emerging Small Cos (WAFMX)            | A | Dividend | J | T |     |          |   |  |  |
| 70. - Fidelity Cash Reserves (FDRXX)                         | A | Dividend | J | T |     |          |   |  |  |
| 71. - Riverpark Strategic Income (RSIVX)                     | A | Dividend | J | T |     |          |   |  |  |
| 72. - Baron Emerging Markets (BEXFX)                         | A | Dividend | J | T |     |          |   |  |  |
| 73. - Driehaus Event Driven (DEVDX)                          |   | None     | J | T |     |          |   |  |  |
| 74. - Legg Mason BW Absolute Return Opportunities (LROAX)    | A | Dividend | J | T |     |          |   |  |  |
| 75. - Undiscovered Manager Behavioral Value (UBVAX)          | A | Dividend | J | T |     |          |   |  |  |
| 76. - Driehaus Micro Cap Growth (DMCRX)                      | A | Dividend | J | T | Buy | 11/16/15 | J |  |  |
| 77. American Funds Roth IRA                                  |   |          |   |   |     |          |   |  |  |
| 78. - American Funds AMCAP A (AMCPX)                         | A | Dividend | J | T |     |          |   |  |  |
| 79. - American Funds New World A (NEWFX)                     | A | Dividend | J | T |     |          |   |  |  |
| 80. - American Funds Small Cap World A (SMCWX)               | A | Dividend | J | T |     |          |   |  |  |
| 81. - American Funds Capital World Growth & Income A (CWGIX) | A | Dividend | J | T |     |          |   |  |  |
| 82. - American Funds Washington Mutual A (AWSHX)             | A | Dividend | J | T |     |          |   |  |  |
| 83. - American Funds Income Fund of America A (AMECX)        | A | Dividend | J | T |     |          |   |  |  |
| 84. Wells Fargo Checking Account                             | A | Interest | J | T |     |          |   |  |  |
| 85. American Funds College Savings Plan (529) #1             |   |          |   |   |     |          |   |  |  |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|-------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                   | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$50,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 86. - College 2021 Fund 529A                                                                                                | D                                       | Dividend                                      | N                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 87. - College 2024 Fund 529A                                                                                                | C                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 88. American Funds College Savings Plan (529)<br>#2                                                                         |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 89. - College 2021 Fund 529A                                                                                                | D                                       | Dividend                                      | N                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 90. - College 2024 Fund 529A                                                                                                | C                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 91. Mass Mutual Variable Life Insurance Policy                                                                              |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 92. - Mass Mutual VUL Guard Guaranteed<br>Account                                                                           | B                                       | Interest                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 93. - Deutsche Small Cap Index (formerly DWS<br>Small Cap Index)                                                            |                                         | None                                          | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 94. - Mass Mutual VUL Guard Small Cap<br>Equity                                                                             |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

|                                                  |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|--------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A ~\$1,000 or less<br>F ~\$50,001 - \$100,000                                      | B ~\$1,001 - \$2,500<br>G ~\$100,001 - \$1,000,000   | C ~\$2,501 - \$5,000<br>H1 ~\$1,000,001 - \$5,000,000                                  | D ~\$5,001 - \$15,000<br>H2 ~More than \$5,000,000         | E ~\$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J ~\$15,000 or less<br>N ~\$250,001 - \$500,000<br>P3 ~\$25,000,001 - \$50,000,000 | K ~\$15,001 - \$50,000<br>O ~\$500,001 - \$1,000,000 | L ~\$50,001 - \$100,000<br>P1 ~\$1,000,001 - \$5,000,000<br>P4 ~More than \$50,000,000 | M ~\$100,001 - \$250,000<br>P2 ~\$5,000,001 - \$25,000,000 |                        |
| 3. Value Method Codes<br>(See Column C2)         | Q ~Appraisal<br>U ~Book Value                                                      | R ~Cost (Real Estate Only)<br>V ~Other               | S ~Assessment<br>W ~Estimated                                                          | T ~Cash Market                                             |                        |

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

Part I (Positions)/Part VII (Investments and Trusts): In 2015, I created a trust that now contains my Brinker Destinations Brokerage Account and its assets.

Part VII: In last year's report, the ticker symbol for Baron Emerging Markets Fund was inadvertently listed as BEXIX instead of BEXFX.

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Name of Person Reporting

Srinivasan, Srikanth

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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/ Srikanth Srinivasan**

**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