

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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) Edwards, Harry T.	2. Court or Organization USCA for D.C. Circuit	3. Date of Report 03/26/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Senior Circuit Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address 5500 U.S. Courthouse 333 Constitution Ave., NW Washington, D.C. 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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Member	Member American Law Institute
2. Member	American Academy of Arts & Sciences
3. Member	American Bar Association
4. Board of Directors	Institute of Judicial Administration, NYU Law School
5. Fellow	American Bar Foundation
6. Professor of Law	NYU Law School
7. Member	Supreme Court Historical Society
8. Member	Dean's Advisory Committee, University of California at Irvine Law School

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☐ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1. 2013	NYU School of Law, Professor of Law
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. 12/31/13	NYU Law School, Professor of Law	\$194,095.00
2. 12/31/13	West Services Inc. book royalties	\$587.00
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.	NYU Law School, New York, NY	1/22 - 1/24/2013	New York City	Teaching	Room, meals, transportation.
2.	NYU Law School, New York, NY	1/29 - 1/30/2013	New York City	Teaching	Room, meals, transportation.
3.	NYU Law School, New York, NY	2/5 - 2/7/2013	New York City	Teaching	Room, meals, transportation.
4.	NYU Law School, New York, NY	2/11 - 2/15/2013	New York City	Teaching	Room, meals, transportation.
5.	NYU Law School, New York, NY	2/19 - 2/20/2013	New York City	Teaching	Room, meals, transportation.

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6.	Duke Law School, Raleigh, Durham	2/25 - 2/26/2013	Raleigh, Durham	Teaching	Room, meals, transportation.
7.	NYU Law School, New York, NY	2/27 - 2/28/2013	New York City	Teaching	Room, meals, transportation.
8.	Univ of Cal at Irvine Law School, Irvine, CA	3/1 - 3/3/2013	Irvine California	NYU Law School, New York, NY	Room, meals, transportation.
9.	NYU Law School, New York, NY	3/5 - 3/7/2013	New York City	Teaching	Room, meals, transportation.
10.	NYU Law School, New York, NY	3/12 - 3/14/2013	New York City	Teaching	Room, meals, transportation.
11.	NYU Law School, New York, NY	3/27 - 3/28/2013	New York City	Teaching	Teaching
12.	NYU Law School, New York, NY	4/9 - 4/15/2013	New York City	Teaching	Room, meals, transportation
13.	NYU Law School, New York, NY	4/24 - 4/26/2013	New York City	Teaching	Room, meals, transportation
14.	NYU Law School, New York, NY	4/29 - 5/1/2013	New York City	Teaching	Room, meals, transportation
15.	NYU Law School, New York, NY	5/21 - 5/23/2013	New York City	Teaching	Room, meals, transportation
16.	NYU Law School, New York, NY	8/27 - 8/29/2013	New York City	Teaching	Room, meals, transportation
17.	NYU Law School, New York, NY	9/3 - 9/4/2013	New York City	Teaching	Room, meals, transportation
18.	NYU Law School, New York, NY	9/10 - 9/12/2013	New York City	Teaching	Room, meals, transportation
19.	NYU Law School, New York, NY	9/17 - 9/19/2013	New York City	Teaching	Room, meals, transportation
20.	NYU Law School, New York, NY	9/24 - 9/25/2013	New York City	Teaching	Room, meals, transportation
21.	NYU Law School, New York, NY	10/2 - 10/4/2013	New York City	Teaching	Room, meals, transportation
22.	NYU Law School, New York, NY	10/8 - 10/10/2013	New York City	Teaching	Room, meals, transportation
23.	NYU Law School, New York, NY	10/14 - 10/17/2013	New York City	Teaching	Room, meals, transportation
24.	NYU Law School, New York, NY	11/5 - 11/8/2013	New York City	Teaching	Room, meals, transportation
25.	NYU Law School, New York, NY	11/12- 11/16/2013	New York City	Teaching	Room, meals, transportation
26.	NYU Law School, New York, NY	12/2 - 12/5/2013	New York City	Teaching	Room, meals, transportation

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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. Citibank Accounts		None	J	T					
2. TD Bank		None	J	T					
3. Justice Federal Credit Union		None	J	T					
4. Wells Fargo IRA money market		None	M	T					
5. Bank of America Accounts		None	J	T					
6. Vanguard Star Fund	A	Dividend			Closed	1/7/13	J	A	
7. Vanguard total stock market index	A	Dividend	J	T	Buy	01/07/13	J		
8. Vanguard total stock market index					Buy (add'l)	1/14/13	J		
9. Vanguard total stock market index					Buy (add'l)	1/16/13	J		
10. Vanguard total stock market index					Buy (add'l)	2/4/13	J		
11. Vanguard total stock market index					Buy (add'l)	2/15/13	J		
12. Vanguard total stock market index					Buy (add'l)	3/15/13	J		
13. Vanguard total stock market index					Buy (add'l)	4/16/13	J		
14. Vanguard total stock market index					Buy (add'l)	5/16/13	J		
15. Vanguard total stock market index					Buy (add'l)	6/14/13	J		
16. Vanguard total stock market index					Buy (add'l)	7/16/13	J		
17. Vanguard total stock market index					Buy (add'l)	8/16/13	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 \$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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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)

18. Vanguard total stock market index					Buy (add'l)	9/16/13	J		
19. Vanguard total stock market index					Buy (add'l)	10/16/13	J		
20. Vanguard total stock market index					Buy (add'l)	11/15/13	J		
21. Vanguard total stock market index					Buy (add'l)	12/16/13	J		
22. Vanguard Total Bond Money Market	A	Dividend	J	T	Buy	1/7/13	J		
23. Vanguard Total Bond Money Market		Distribution	J	T					
24. Vanguard Total Bond Money Market					Buy (add'l)	1/14/13	J		
25. Vanguard Total Bond Money Market					Buy (add'l)	1/16/13	J		
26. Vanguard Total Bond Money Market					Buy (add'l)	2/15/13	J		
27. Vanguard Total Bond Money Market					Buy (add'l)	3/15/13	J		
28. Vanguard Total Bond Money Market					Buy (add'l)	4/16/13	J		
29. Vanguard Total Bond Money Market					Buy (add'l)	5/16/13	J		
30. Vanguard Total Bond Money Market					Buy (add'l)	6/14/13	J		
31. Vanguard Total Bond Money Market					Buy (add'l)	7/16/13	J		
32. Vanguard Total Bond Money Market					Buy (add'l)	8/16/13	J		
33. Vanguard Total Bond Money Market					Buy (add'l)	9/16/13	J		
34. Vanguard Total Bond Money Market					Buy (add'l)	10/16/13	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	
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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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)
35. Vanguard Total Bond Money Market					Buy (add'l)	11/15/13	J		
36. Vanguard Total Bond Money Market					Buy (add'l)	12/16/13	J		
37. Vanguard Inter-Term Bond Index	A	Dividend	J	T					
38. Vanguard Inter-Term Bond Index		Distribution	J	T					
39. Vanguard Inter-Term Bond Index					Buy (add'l)	01/14/13	J		
40. Vanguard Inter-Term Bond Index					Buy (add'l)	1/16/13	J		
41. Vanguard Inter-Term Bond Index					Buy (add'l)	02/15/13	J		
42. Vanguard Inter-Term Bond Index					Buy (add'l)	03/15/13	J		
43. Vanguard Inter-Term Bond Index					Buy (add'l)	04/16/13	J		
44. Vanguard Inter-Term Bond Index					Buy (add'l)	05/16/13	J		
45. Vanguard Inter-Term Bond Index					Buy (add'l)	06/14/13	J		
46. Vanguard Inter-Term Bond Index					Buy (add'l)	07/16/13	J		
47. Vanguard Inter-Term Bond Index					Buy (add'l)	08/16/13	J		
48. Vanguard Inter-Term Bond Index					Buy (add'l)	09/16/13	J		
49. Vanguard Inter-Term Bond Index					Buy (add'l)	10/16/13	J		
50. Vanguard Inter-Term Bond Index					Buy (add'l)	11/15/13	J		
51. Vanguard Inter-Term Bond Index					Buy (add'l)	12/16/13	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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	(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)

52. Vanguard Prime Money Market	A	Dividend	K	T					
53. Vanguard Prime Money Market					Buy (add'l)	01/14/13	J		
54. Vanguard Prime Money Market					Buy (add'l)	01/16/13	J		
55. Vanguard Prime Money Market					Buy (add'l)	02/15/13	J		
56. Vanguard Prime Money Market					Buy (add'l)	03/15/13	J		
57. Vanguard Prime Money Market					Buy (add'l)	04/16/13	J		
58. Vanguard Prime Money Market					Buy (add'l)	05/16/13	J		
59. Vanguard Prime Money Market					Buy (add'l)	06/14/13	J		
60. Vanguard Prime Money Market					Buy (add'l)	07/16/13	J		
61. Vanguard Prime Money Market					Buy (add'l)	08/16/13	J		
62. Vanguard Prime Money Market					Buy (add'l)	09/16/13	J		
63. Vanguard Prime Money Market					Buy (add'l)	10/7/13	J		
64. Vanguard Prime Money Market					Buy (add'l)	10/16/13	J		
65. Vanguard Prime Money Market					Buy (add'l)	11/7/13	M		
66. Vanguard Prime Money Market					Buy (add'l)	11/15/13	J		
67. Vanguard Prime Money Market					Buy (add'l)	12/16/13	J		
68. Vanguard Wellesley Fund	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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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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)
69. Vanguard Wellesley Fund		Distribution	J	T					
70. Vanguard Wellesley Fund					Buy (add'l)	01/14/13	J		
71. Vanguard Wellesley Fund					Buy (add'l)	01/16/13	J		
72. Vanguard Wellesley Fund					Buy (add'l)	02/15/13	J		
73. Vanguard Wellesley Fund					Buy (add'l)	03/15/13	J		
74. Vanguard Wellesley Fund					Buy (add'l)	04/16/13	J		
75. Vanguard Wellesley Fund					Buy (add'l)	05/16/13	J		
76. Vanguard Wellesley Fund					Buy (add'l)	06/14/13	J		
77. Vanguard Wellesley Fund					Buy (add'l)	07/16/13	J		
78. Vanguard Wellesley Fund					Buy (add'l)	08/16/13	J		
79. Vanguard Wellesley Fund					Buy (add'l)	09/16/13	J		
80. Vanguard Wellesley Fund					Buy (add'l)	10/7/13	K		
81. Vanguard Wellesley Fund					Buy (add'l)	10/16/13	J		
82. Vanguard Wellesley Fund					Buy (add'l)	11/15/13	J		
83. Vanguard Wellesley Fund					Buy (add'l)	12/16/13	J		
84. Vanguard Prime Money Market					Sold (part)	1/7/13	J		
85. Vanguard Total Bond Money Market					Sold (part)	10/7/13	J	A	

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
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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				
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86. Vanguard Inter-Term Bond Index					Sold (part)	10/7/13	K	A	
87. Vanguard Wellesley Fund					Sold (part)	11/07/13	M	A	
88. Vanguard Prime Money Market					Sold (part)	12/20/13	K		
89.									
90.									

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

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Name of Person Reporting

Edwards, Harry T.

Date of Report

03/26/2014

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/ **Harry T. Edwards**

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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