

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) Lauck, M H.	2. Court or Organization United States District for the Eastern District of Virginia	3. Date of Report 05/15/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U. S. District Judge	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 U.S. District Court, EDVA 701 East Broad Street, Suite 6112 Richmond, VA 23219-3528		
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.	Custodian	Wells Fargo Custodial Accounts
2.	Board Member	Federal Bar Association
3.	Council Member	State-Federal Judicial Council of Virginia
4.		
5.		

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.		
2.		
3.		

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***A. Filer's Non-Investment Income**NONE *(No reportable non-investment income.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1.		
2.		
3.		
4.		

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*NONE *(No reportable non-investment income.)*

DATE	SOURCE AND TYPE
1. 2016	
2.	
3.	
4.	

IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*NONE *(No reportable reimbursements.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. Virginia Women Attorneys Association	10/7/2016-10/8/2016	Charlottesville VA	Speaker / presenter conference and CLE	hotel room
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.	Dana DiCarlo	Weekend trip for family: lodging and entertainment	\$3,000.00
2.	Dana DiCarlo and Scott Plank	Roundtrip transportation for family for week stay at friends' residence	\$5,800.00
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.	American Express	Credit card	J
2.	Bank of America	Credit card	K
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. Wells Fargo bank accounts	A	Interest	J	T					
2. Wells Fargo Custodial bank accounts	A	Interest	J	T					
3. Brokerage account #1 (H)									
4. - Exxon	A	Dividend							
5. - International Business Machines	A	Dividend							
6. - Pfizer	A	Dividend							
7. - Under Armor, Inc.		None							
8. - Verizon	A	Dividend							
9. Brokerage account #2 (H)									
10. - AT&T	A	Dividend			Sold	08/26/16	J	C	
11. - Baxalta	A	Dividend			Sold	06/02/16	J	B	
12. - Baxter Int'l Inc	A	Dividend			Sold	06/02/16	J	A	
13. - Celgene Corp		None	J	T					
14. - ConocoPhillips	A	Dividend	J	T					
15. - Dun & Bradstreet Corp Del New	A	Dividend	J	T					
16. - Dunkin Brands Group Inc	A	Dividend	J	T					
17. - Eaton Corp	A	Distribution	J	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 H ~\$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	P1 ~\$1,000,001 - \$5,000,000 P4 ~More than \$5,000,000	L ~\$50,001 - \$100,000 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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18. - Exxon Mobil Corp	A	Dividend	K	T					
19. - General Electric Company	A	Dividend	J	T					
20. - International Business Machines	A	Dividend	K	T					
21. - Lowes Companies	A	Dividend	J	T					
22. - Nuance Communications Inc		None	J	T					
23. - Omnicor	A	Dividend	J	T					
24. - Paypal Holdings		None	J	T					
25. - Pfizer	A	Dividend	J	T					
26. - Target Corp	A	Dividend			Sold	08/26/16	J	B	
27. - Travelers Cos Inc Com	A	Dividend			Sold	05/20/16	J	C	
28. - Under Armor, Inc. CL A-split into 2 classes		None	J	T					
29. - Under Armor, Inc. CL C-split into 2 classes		None	J	T					
30. - US Bankcorp Del Com New	A	Dividend	J	T					
31. - Verizon	A	Dividend			Sold	08/26/16	J	D	
32. - Wells Fargo & Co New	A	Dividend			Sold	09/19/16	J	C	
33. - Berkshire Bank, Pittsfield MA CD		None	K	T	Buy	09/14/16	K		
34. - Home Depot Inc Bond	A	Interest			Redeemed	03/01/16	J		

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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. - Int'l Paper Co Bond	A	Interest			Redeemed	04/01/16	K		
36. - Kohl's Corp Bond	A	Interest	K	T					
37. - Fidelity Tax Free Money Market	A	Interest	K	T					
38. - Fidelity Government Cash Reserves	A	Interest	K	T					
39. GE SSP program (retirement) (H)									
40. - GE Stock Fund	A	Dividend	J	T					
41. - GE US Eqty fund	A	Dividend	K	T					
42. - GE Income Fund	A	Dividend	J	T					
43. TIAA CREF (retirement) (H)									
44. - TIAA Traditional		None	L	T					
45. - CREF Stock R2		None	M	T					
46. - CREF Growth R2		None	K	T					
47. - CREF Equity Index R2		None	K	T					
48. - CREF Social Choice R2		None	L	T					
49. AT&T (Custodian)	A	Dividend	J	T					
50. Pepco Holdings (Custodian)	A	Dividend			Sold	03/23/16	J	B	
51. BNY Mellon (Custodian)	A	Dividend	J	T					

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52. Dominion Resources	A	Dividend			Sold	05/24/16	J	A	
53. VA529 College Savings Plan, prepaid, age-based, no control		None	L	T					

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

Part VII:

All securities in Brokerage account #1 were transferred in kind to Brokerage account #2. Items 4 - 8 in Brokerage #1 now appear as items 18, 20, 25, 28 and 29 (security was split into two classes), and 31.

Item 33 is a certificate of deposit that paid no interest in the reporting period, but will pay interest on maturity in 2017.

Brokerage #2 Items 37 and 38: the cash fund for the account was changed from 37 Fidelity Tax Free Money Market to 38 Fidelity Government Cash Reserves through an exchange of fund shares.

TIAA CREF retirement funds items 45-48 now include "R2" in fund title. The CREF funds were reclassified into three distinct funds based on the fee structure. The fund compositions have not changed.

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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/ M H. Lauck**

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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