



United States Court of Appeals
for the Federal Circuit

717 MADISON PLACE, N.W.
WASHINGTON, D.C. 20439

SELF INITIATED
AMENDMENT

CHAMBERS OF
JUDGE ARTHUR J. GAJARSA

(202) 633-6570

June 19, 2007

RECEIVED
2007 JUN 25 A 11:18
FINANCIAL
DISCLOSURE OFFICE

Mr. George D. Reynolds
Staff Counsel
Committee on Financial Disclosure
Administrative Office of the United States Courts
One Columbus Circle, N.E., Suite 2-301
Washington, D.C. 20544

Re: Amendment to 2006 Financial Disclosure

Dear Mr. Reynolds:

In the process of recently certifying my travel for the Calendar Year 2006, I noted that I had inadvertently omitted on my Financial Disclosure for 2006 a trip to Houston, Texas funded by the University of Houston Law School. The trip took place on March 28-29 of 2006. I traveled to the Law School to lecture on specific developments in intellectual property. The reimbursement for air travel, hotel, meals and miscellaneous expenses was \$1,694.00.

Please consider this letter as an amendment to my Financial Disclosure Statement which was filed on May 14, 2007.

Very truly yours,



United States Court of Appeals
for the Federal Circuit

717 MADISON PLACE, N.W.
WASHINGTON, D.C. 20439

CHAMBERS OF
JUDGE ARTHUR J. GAJARSA

July 25, 2007

Honorable Ortrie D. Smith
Chairman
Committee on Financial Disclosure
Administrative Office of the United States Courts
One Columbus Circle, N.E, Suite 2-301
Washington, D.C. 20544

RECEIVED
2007 JUL 26 A 11: 01
FINANCIAL
DISCLOSURE OFFICE

Re: Financial Disclosure Report 2006

Dear Judge Smith:

By letter dated June 26, 2007, you requested certain clarifications on three entries in my financial disclosure statement as filed on May 15, 2007.

With respect to Part VII, page 6, line 33, you asked for an explanation for "Citigroup, Smith-Barney, Government Mmkt." This is a sweep account which varies according to the time of the year and as of December 31, 2006, the amount was noted as on line 33. It was established in February 2006 to account for the transfer from Legg Mason to Smith Barney.

You also asked for clarification of the two entries – number 63, Realogy Corporation and, number 64, Wyndham Worldwide Corporation. Both of these were spin-offs from Cendant Corporation as noted. There was no income to be noted in Column B so the entry should be "none" for both lines.

Very truly yours,

Arthur J. Gajarsa
Circuit Judge

Enclosure (3 copies)

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2006

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) Gajarsa, Arthur J	2. Court or Organization U.S. Court of Appeals for the FEDERAL CIRCUIT	3. Date of Report 05/01/2007
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Appeals Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination, ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2006 to 12/31/2006
7. Chambers or Office Address 717 Madison Place, N.W. Washington, D.C. 20439	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	

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. Sign on last page.

I. POSITIONS. (Reporting individual only; see pp. 9-13 of instructions.)

☐ **NONE** (No reportable positions.)

COPY

POSITION

NAME OF ORGANIZATION/ENTITY

1. Board of Trustees	Rensselaer Institute
2. Board of Directors	Georgetown University
3.	
4.	
5.	

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2007 MAY 14 P 12:21
FINANCIAL
DISCLOSURE OFFICE

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

☒ **NONE** (No reportable agreements.)

DATE

PARTIES AND TERMS

1.	
2.	
3.	

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Gajarsa, Arthur J

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of 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.		
5.		

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.	
5.	

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

<u>SOURCE</u>	<u>DESCRIPTION</u>
1. NEW YORK INTELLECTUAL PROPERTY LAW ASSOCIATION	MARCH 24, 2006, NEW YORK, NY, HONORING FEDERAL JUDICIARY, (TRAIN, OUT OF POCKET COSTS)
2. IPR JUDICIAL WORKSHOP	MAY 22-24, 2006, MONTECATINI, ITALY, SPEAKER, (AIRFARE, OUT OF POCKET COSTS) <i>VIENNA, AUSTRIA</i>
3. THE MENTOR GROUP	SEPTEMBER 13-16, 2006, PANELIST, (AIRFARE, OUT OF POCKET COSTS)
4. UNIVERSITY OF DAYTON SCHOOL OF LAW	OCTOBER 29-30, 2006, KEYNOTE SPEAKER, (AIRFARE, HOTEL)

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5.

6.

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Gajarsa, Arthur J

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V. GIFTS. *(Includes those to spouse and dependent children. See pp. 28-31 of 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 instructions.)*☐ NONE *(No reportable liabilities.)*

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1. CITIGROUP - SMITH BARNEY	MARGIN LOAN	M
2.		
3.		
4.		
5.		

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Name of Person Reporting

Gajarsa, Arthur J

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of the 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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. UNIVERSAL HEALTH REALTY INCOME TRUST	E	Dividend	N	T					
2. COIN COLLECTION		None	L	W					
3. BANK OF AMERICA	A	Interest	K	T					
4. ROCKYWOLD DEEPHAVEN CAMPS	A	Dividend	K	T					
5. SPECIAL SITUATIONS PRIVATE EQUITY FUND, LP		None			SELL	2006	P1	G	
6. SCIENTIFIC ATLANTA INC		None			SELL	02/24	N	G	
7. ORTEK THERAPEUTICS INC		None	K	T					
8. ICOS CORP		None			SELL	12/15	M	E	
9. WALT DISNEY COMPANY	A	Dividend			SELL	01/01	K		
10. AVIS BUDGET GROUP - FORMALLY CALLED - CENDANT CORP	A	Dividend			SELL	VAR	K	B	
11. CORNING INC		None	L	T					
12. MICROSOFT CORP	A	Dividend	L	T					
13. MOTOROLA INC	D	Dividend	O	T					
14. LEGG MASON CASH RESERVES - MMKT	A	Dividend			SELL	VAR			
15. CITI GROUP - SMITH BARNEY BANK DEPOSIT PROGRAM	D	Interest	K	T	BUY	VAR	K		
16. VALEANT PHARMACEUTICALS INC		None			SELL	01/01	K		
17. RITE AID CORP		None	M	T	PARTIAL SALE	06/23	M	E	

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000 R = Cost (Real Estate Only) V = Other	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000 S = Assessment W = Estimated	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000 T = Cash Market	E = \$15,001 - \$50,000
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FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

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VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of the 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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
18. FIRST TRUST #415 - S GENOMETRICS & PROTEOMICS PORT	A	Dividend			SELL	07/31	J		
19. BANK OF AMERICA CORP	A	Dividend	J	T					
20. WACHOVIA CORP 2ND NEW	D	Dividend	M	T					
21. SPECIAL SITUATIONS TECH FUND, LP		None			SELL	2006	N	F	
22. MASS MUTUAL PARTICIPATION INVS	E	Dividend	M	T					
23. AIM SELECT REAL ESTATE INCOME FUND	D	Dividend	L	T					
24. NUVEEN INVESTMENT QUALITY MUNICIPAL FUND INC	B	Dividend	K	T					
25. NUVEEN SELECT QUALITY MUNICIPAL FUND INC	A	Dividend	K	T					
26. NUVEEN INSURED MUNICIPAL OPPORTUNITY FUND INC	C	Dividend	L	T					
27. RUMSON-FAIR HAVEN BK & TRUST CO		None	M	T	PARTIAL SALE	06/20	J	A	
28. MARYLAND ST HEALTH & HIGHER EDUCATION	C	Interest	L	T					
29. EVERGREEN INCOME ADVANTAGE FUND	D	Dividend	L	T					
30. JOHN HANCOCK PREFERRED INCOME FUND	D	Dividend	L	T					
31. HEALTH CARE REIT INC	C	Dividend	L	T					
32. LEGG MASON GOVERNMENT MMKT	A	Dividend			SELL	VAR			
33. CITIGROUP SMITH BARNEY GOVT MMKT	C	Dividend							

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

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Name of Person Reporting

Gajarsa, Arthur J

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05/01/2007

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of the spouse and dependent children. See pp. 34-60 of filing instructions.)

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34. CONSOLIDATED EDISON	C	Dividend	L	T					
35. MASSMUTUAL CORPORATE INVESTORS	D	Dividend	M	T					
36. NSTAR	D	Dividend	M	T					
37. FEDERAL REALTY INVESTMENT TRUST	A	Dividend	K	T					
38. UNITED DOMINION REALTY TRUST	B	Dividend	K	T					
39. FREESCALE SEMICONDUCTOR INC		None			SELL	VAR	L		
40. NATIONAL INSTRUMENTS CORP	A	Dividend			SELL	11/03	L		
41. FRIEDMAN BILLINGS RAMSEY GROUP	A	Dividend			SELL	VAR	J		
42. MARINER TOWER LP		None	M	U					
43. TGC INDUSTRIES INC		None	N	T	PARTIAL SALE	05/03	M	G	
44. FIDELITY & TRUST FINANCIAL CORP		None	L	T					
45. EASTMAN KODAK CALLS LT OPTION EXP 1/19/08		None	K	T					
46. CONEXANT SYSTEMS INC		None			SELL	10/13	J		
47. SOHU.COM INC		None	K	T					
48. TIME WARNER INC NEW	A	Dividend	K	T					
49. INTERMEC INC - FORMALLY CALLED UNOVA, INC.		None	L	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	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	P3 = \$25,000,001 - \$50,000,000 Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	P4 = More than \$50,000,000 S = Assessment W = Estimated	T = Cash Market	

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Name of Person Reporting

Gajarsa, Arthur J

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VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of the spouse and dependent children. See pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

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50. BURPEE MATERIALS TECHNOLOGY, LLC	C	Interest			SELL	11/06	M	F	
51. SPECIAL SITUATIONS LIFE SCIENCES FUND LP	D	Dividend	N	U					
52. NATIONS HEALTH INC		None	K	T	BUY	VAR	J		
53. WYETH		None	L	T	BUY	VAR	L		
54. ENERGY CONVERSION DEVICES INC		None	M	T	BUY	VAR	M		
55. VONAGE HOLDING CORP		None			BUY	VAR	J		
56. VONAGE HOLDING CORP		None			SELL	VAR	J		
57. DEXCOM INC		None			BUY	03/27	M		
58. DEXCOM INC		None			SELL	VAR	L		
59. EATON VANCE GREATER INDIA FUND	B	Dividend	M	T	BUY	VAR	M		
60. POWERSAHRES EXCHANGE - TRADED FD		None	K	T	BUY	03/13	K		
61. DOW JONES & CO INC		None	L	T	BUY	VAR	L		
62. CPI NORTH AMERICA SER A			M	T	BUY	VAR	M		
63. REALOGY CORP					SPINOFF/SALE	VAR	L	D	
64. WYNDHAM WORLDWIDE CORP					SPINOFF/SALE	VAR	L	D	
65.									

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

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

PART VII. INVESTMENTS AND TRUST:

NUVEEN SECTOR PORTFOLIO BIOTECHNOLOGY - UIT - ALL SHARES SOLD PRIOR YEAR. PRIOR YEAR SHOULD HAVE REPORTED NO REMAINING VALUE.

JANUS INVT GLOBAL LIFE SCIENCES - ALL SHARES SOLD PRIOR YEAR. PRIOR YEAR SHOULD HAVE REPORTED NO REMAINING VALUE.

REALOGY CORP AND WYNDAM WORLDWIDE CORP WERE ACQUIRED VIA A SPIN -OFF FROM CENDANT CORP. CENDANT CORP SUBSEQUENTLY CHANGED IT'S NAME TO AVIS BUDGET CORP.

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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 _____ Date _____

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544