

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) O'Malley, Kathleen M.	2. Court or Organization U.S. Court of Appeals for the Federal Circuit	3. Date of Report 08/01/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) 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 U.S. Court of Appeals for the Federal Circuit 717 Madison Place NW Washington DC 20439		
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	Dean's Advisory Committee, Case Western Reserve Law School
2.	Master Bench	John M. Manos Inn of Court
3.	Master Bench, President	Edward Coke Appellate Inn of Court
4.	Member	Judicial Advisory Council, Sedona Conference
5.	Member	Counselor, Giles S. Rich American Inn of Court
6.	Member	Society of Benchers, Case Western Reserve 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.	
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. 2013	Covington & Burling
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. Connor Inn of Court	01/15/13-01/16/13	New York, NY	Annual Dinner	Train fare, lodging, and meals
2. New York Intellectual Property Lawyers Association	03/21/13-03/22/13	New York, NY	Annual Dinner	Train fare, lodging, and meals
3. Harvard Law School	04/11/13-04/12/13	Boston, MA	Speakers Series	Airfare, lodging, and meals
4. Atlanta Bar Association	04/26/13-04/27/13	Atlanta, GA	Atlanta Bar Springposium	Airfare, lodging, and meals
5. HarrisMartin	05/28/13-05/29/13	Chicago, IL	Complex Case Litigation Conference	Airfare, lodging, and meals
6. Federal Circuit Bar Association	10/16/13-10/23/13	Seoul, South Korea	Interacting with Korean Patent Judge counterparts	Airfare, lodging, and meals

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7.	University of Toronto	11/21/13-11/22/13	Toronto, Ontario, Canada	Patent Colloquium	Airfare, lodging, and meals
8.	American Conference Institute	12/08/13-12/10/13	New York, NY	Annual Meeting	Train fare, lodging, and meals
9.	New York Intellectual Property Lawyers Association	12/16/13-12/17/13	New York, NY	Luncheon Speaker Series	Train fare, lodging, and meals

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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 I (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

1. Citibank	A	Interest	M	T					
2. Castle Harlan Affiliates IV-A, LLP	B	Interest	K	U	Distributed (part)	12/31/13	J		
3. Castle Harlan Partners V, LLP	D	Interest	K	W	Distributed (part)	12/31/13	J		
4. CHP V Affiliates AIV, LP		None	K	U	Distributed (part)	12/31/13	J		
5. Mid-Atlantic Fund of Funds II, LP	A	Interest	K	W					
6. The Dinner Club I, LLC		None	J	U					
7. AEI Alien Series B Inv II, LLC		None	K	W					
8.									
9. Covington Pension Plan Cash									
10. Balance Account	E	Int./Div.	P1	T					
11. Covington & Burling Partnership LLP	A	Interest	P1	W					
12.									
13. Charles Schwab 401k	E	Dividend	P1	T					
14. Dodge & Cox Stock		None			Buy (add'l)	10/02/13	N		
15. American Beacon Small Cap Val Inst		None			Buy (add'l)	10/02/13	L		
16. Lazard Emerging Market Equity Inst		None			Buy (add'l)	10/02/13	L		
17. Pimco Total Return Inst		None			Buy (add'l)	10/02/13	L		

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. Schwab Stable Value Inst II		None			Buy (add'l)	10/02/13	L		
19. JP Morgan Large Cap Growth RS		None			Buy (add'l)	10/02/13	N		
20. Morgan Stanley Inst Mid Cap Growth		None			Buy (add'l)	10/02/13	L		
21. Thornburg Int'l Equity Fund		None			Buy (add'l)	10/02/13	L		
22.									
23. Schwab Brokerage Account #1									
24. Steelpath MLP Select 40	B	Dividend	K	T	Buy (add'l)	02/01/13	J		
25. DFA Emerging Mkt Value	A	Dividend	K	T					
26. Dodge & Cox Int'l Stock Fund	A	Dividend	J	T	Sold (part)	02/01/13	J	A	
27. Pimco Emerg Local Bond	B	Dividend	K	T	Buy (add'l)	02/01/13	J		
28. Wells Fargo Adv Int'l	A	Dividend	K	T	Buy (add'l)	02/01/13	J		
29. JPMorgan HiYield Select	C	Dividend	K	T	Buy (add'l)	02/01/13	J		
30. Pimco Comm Real Return	B	Dividend			Sold	12/09/13	K	A	
31. American Fund Europacific	A	Dividend	J	T	Sold (part)	02/01/13	J	B	
32. Pimco Foreign Bond Fund	A	Dividend	K	T	Buy (add'l)	02/01/13	J		
33. Vang St Exempt Fund	A	Interest	L	T	Sold (part)	12/09/13	J	A	
34. Vang Interterm Exempt	A	Interest			Sold (part)	02/01/13	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
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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	(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.					Sold	04/10/13	L	A	
36. Vang Inflation Protected	A	Dividend	J	T	Sold (part)	02/01/13	J	A	
37. Cohen & Steers Realty	B	Dividend	K	T	Buy (add'l)	02/01/13	J		
38. Ishares Trust S&P 500	A	Dividend	K	T	Sold (part)	02/01/13	K	B	
39. Vang Small Cap	A	Dividend	J	T	Sold (part)	02/01/13	J	A	
40. Barkleys iPath ETN (X)	A	Dividend	K	T	Buy	12/09/13	K		
41. Baird Inter Muni (X)	B	Interest	L	T	Buy	04/10/13	L		
42. Cash Brokerage Account #1 (X)	A	Interest	J	T					
43.									
44. Schwab Brokerage Account #2									
45. Steelpath MLP Select 40	C	Dividend	L	T	Buy (add'l)	02/01/13	J		
46.					Buy (add'l)	02/07/13	J		
47.					Buy (add'l)	05/01/13	J		
48. DFA Emerging Mkt Value	A	Dividend	K	T	Buy (add'l)	02/07/13	J		
49.					Buy (add'l)	05/01/13	J		
50. Dodge & Cox Int'l Stock Fund	A	Dividend	K	T	Sold (part)	02/01/13	J	B	
51.					Buy (add'l)	02/07/13	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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52.					Buy (add'l)	05/01/13	J		
53. Pimco Emerg Local Bond	B	Dividend	K	T	Buy (add'l)	02/01/13	J		
54.					Buy (add'l)	02/07/13	J		
55.					Buy (add'l)	05/01/13	J		
56. Wells Fargo Adv Int'l	B	Dividend	K	T	Buy (add'l)	02/01/13	J		
57.					Buy (add'l)	02/07/13	J		
58.					Buy (add'l)	05/01/13	J		
59. JPMorgan HiYield Select	C	Dividend	K	T	Buy (add'l)	02/01/13	J		
60.					Buy (add'l)	02/07/13	J		
61.					Buy (add'l)	05/01/13	J		
62. Pimco Comm Real Return	A	Dividend			Buy (add'l)	02/07/13	J		
63.					Buy (add'l)	05/01/13	K		
64.					Sold	12/09/13	K	A	
65. American Fund Europacific	A	Dividend	K	T	Sold (part)	02/01/13	J	A	
66.					Buy (add'l)	02/07/13	J		
67.					Buy (add'l)	05/01/13	J		
68. Pimco Foreign Bond Fund	A	Dividend	K	T	Buy (add'l)	02/01/13	J		

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69.					Buy (add'l)	02/07/13	J		
70.					Buy (add'l)	05/01/13	J		
71. Vang St Exempt Fund	A	Dividend	M	T	Sold (part)	02/01/13	J	A	
72.					Buy (add'l)	04/03/13	K		
73.					Buy (add'l)	05/01/13	K		
74.					Sold (part)	12/09/13	J	A	
75. Vang Interterm Exempt	A	Dividend			Sold (part)	02/01/13	J	A	
76.					Buy (add'l)	04/03/13	K		
77.					Sold	04/10/13	L	A	
78. Vang Inflation Protected	A	Dividend	K	T	Sold (part)	02/01/13	J	A	
79.					Buy (add'l)	05/01/13	J		
80. Cohen & Steers Realty	B	Dividend	K	T	Buy (add'l)	02/01/13	J		
81.					Buy (add'l)	02/07/13	J		
82.					Buy (add'l)	05/01/13	J		
83. Ishares Trust S&P 500	A	Dividend	L	T	Sold (part)	02/01/13	J	A	
84.					Buy (add'l)	02/07/13	J		
85.					Buy (add'l)	05/01/13	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
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86. Vang Small Cap	A	Dividend	K	T	Sold (part)	02/01/13	J	A	
87.					Buy (add'l)	02/07/13	J		
88.					Buy (add'l)	05/01/13	J		
89. Baird Inter Muni (X)	B	Dividend	M	T	Buy	04/10/13	L		
90.					Buy (add'l)	05/01/13	K		
91. Barclay's iPath ETN (X)		None	K	T	Buy	12/09/13	K		
92. Vang Ltd Term (X)	A	Interest			Buy	02/14/13	K		
93.					Sold	04/03/13	K	A	
94. Cash Brokerage Account #2 (X)	A	Interest	K	T					
95.									
96. Schwab IRA #1	D	Dividend	N	T					
97. JPMorgan High Yield Fund		None			Buy (add'l)	02/01/13	J		
98. Steelpath MLP Select 40		None			Buy (add'l)	02/01/13	J		
99. Pimco Emerging Local Bond Fund		None			Buy (add'l)	02/01/13	J		
100. Wells Fargo Advtg Int'l Fund		None			Buy (add'l)	02/01/13	J		
101. Baird Aggregate Bond Inst Fund		None			Sold (part)	02/01/13	J		
102. DFA Emerging Mkt Value Portfolio		None							

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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103. Pimco Comm Real Estate Return		None			Buy (add'l)	02/01/13	J		
104. Dodge & Cox Int'l Stock Fund		None			Sold (part)	02/01/13	J		
105. American Fund Europacific Growth		None			Sold (part)	02/01/13	J		
106. Pimco Foreign Bond Fund		None			Buy (add'l)	02/01/13	J		
107. Pimco Total Return Fund		None			Sold (part)	02/01/13	J		
108. Cohen & Steers Realty Shares		None			Buy (add'l)	02/01/13	J		
109. Vanguard Inflation Protected Securities		None			Sold (part)	02/01/13	J		
110. Ishares Trust S&P 500 Index		None			Sold (part)	02/01/13	J		
111. Vanguard Small Cap Fund		None			Sold (part)	02/01/13	J		
112. Schwab Cash Reserves		None							

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	

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

O'Malley, Kathleen M.

Date of Report

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

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Name of Person Reporting

O'Malley, Kathleen M.

Date of Report

08/01/2014

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/ **Kathleen M. O'Malley**

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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One Columbus Circle, N.E.
Washington, D.C. 20544