

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)

|                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                          |                                                                  |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting</b> (last name, first, middle initial)<br><br>Chen, Raymond T.                                                                                                                     | <b>2. Court or Organization</b><br><br>Court of Appeals for Federal Circuit                                                                                                                                                                                                              | <b>3. Date of Report</b><br><br>7/24/2018                        |
| <b>4. Title</b> (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)<br><br>Circuit Judge (Active)                                                        | <b>5a. Report Type</b> (check appropriate type)<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><br>01/01/2017<br>to<br>12/31/2017 |
| <b>7. Chambers or Office Address</b><br><br>U.S. Court of Appeals for the Federal Circuit<br>717 Madison Place, N.W.<br>Washington, DC 20439                                                              |                                                                                                                                                                                                                                                                                          |                                                                  |
| <p align="center"><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.</p> |                                                                                                                                                                                                                                                                                          |                                                                  |

## 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. |                 |                                    |
| 2. |                 |                                    |
| 3. |                 |                                    |
| 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<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.)*

| DATE | SOURCE AND TYPE |
|------|-----------------|
| 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.)*

|    | SOURCE                                         | DATES        | LOCATION          | PURPOSE                                                       | ITEMS PAID OR PROVIDED                                     |
|----|------------------------------------------------|--------------|-------------------|---------------------------------------------------------------|------------------------------------------------------------|
| 1. | New York University School of Law              | 2/21/2017    | New York City, NY | Activity of professional association and Law School           | Train; lodging; ground transportation.                     |
| 2. | USC Gould School of Law                        | 3/20-22/2017 | Los Angeles, CA   | Activity of professional association or civic group (Speaker) | Airfare; lodging; meal; car rental, ground transportation. |
| 3. | New York Intellectual Property Law Association | 3/31/2017    | New York City, NY | Activity of professional association                          | Train, lodging, meals, ground transportation.              |
| 4. | Georgia Bar IP Institute CLE Program           | 9/15/2017    | Jacksonville, FL  | Activity of professional association (Speaker)                | Airfare; lodging; meals, ground transportation.            |

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|                                                                |                                        |
|----------------------------------------------------------------|----------------------------------------|
| <b>Name of Person Reporting</b><br><br><b>Chen, Raymond T.</b> | <b>Date of Report</b><br><br>7/24/2018 |
|----------------------------------------------------------------|----------------------------------------|

|    |                                           |               |                 |                                                                     |                                                         |
|----|-------------------------------------------|---------------|-----------------|---------------------------------------------------------------------|---------------------------------------------------------|
| 5. | Loyola Marymount<br>University Law School | 10/12-13/2017 | Los Angeles, CA | Activity of professional<br>association and Law School<br>(Speaker) | Airfare, lodging, car rental, ground<br>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.)

| SOURCE | DESCRIPTION | VALUE |
|--------|-------------|-------|
| 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.)

| CREDITOR | DESCRIPTION | VALUE 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 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) |

|                                                         |   |          |   |   |                 |          |   |   |  |
|---------------------------------------------------------|---|----------|---|---|-----------------|----------|---|---|--|
| 1. CollegeBoundfund Age-Based Moderate Growth Portfolio |   | None     | N | T | Redeemed (part) | 07/24/17 | K | D |  |
| 2.                                                      |   |          |   |   | Redeemed (part) | 12/28/17 | K | C |  |
| 3. SunTrust Bank Accounts                               | A | Interest | K | T |                 |          |   |   |  |
| 4. Fidelity Cash Reserves                               | A | Interest | K | T |                 |          |   |   |  |
| 5. AllianceBernstein Balance Wealth Strategy Fund       |   | None     |   |   | Sold            | 07/25/17 | J | A |  |
| 6. *JNL/S&P4                                            |   | None     | M | T |                 |          |   |   |  |
| 7. JNL/Mellon Capital Management Oil & Gas Sector       |   | None     | K | T |                 |          |   |   |  |
| 8. *JNL/FPA + DoubleLine Flexible Allocation            |   | None     | M | T |                 |          |   |   |  |
| 9. JNL/S&P Intrinsic Value                              |   | None     | L | T |                 |          |   |   |  |
| 10. JNL/Mellon Capital Healthcare Sector                |   | None     | K | T |                 |          |   |   |  |
| 11. JNL/Mellon Capital Small Cap Index                  |   | None     | L | T |                 |          |   |   |  |
| 12. JNL/S&P Total Yield                                 |   | None     | L | T |                 |          |   |   |  |
| 13. JNL/Mellon Capital S&P SMid60                       |   | None     | K | T |                 |          |   |   |  |
| 14.                                                     |   |          |   |   |                 |          |   |   |  |
| 15.                                                     |   |          |   |   |                 |          |   |   |  |
| 16.                                                     |   |          |   |   |                 |          |   |   |  |
| 17.                                                     |   |          |   |   |                 |          |   |   |  |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|-------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 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.)*

Section VII Additional Information:

Line 4. Alliance Bernstein Balance Wealth Strategy Fund was sold on 7/25/2017.

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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/ **Raymond T. Chen**

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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