

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) O'Malley, Kathleen M.	2. Court or Organization U.S. Court of Appeals for the Federal Circuit	3. Date of Report 01/09/2018
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 01/01/2016 to 12/31/2016
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
2.		
3.		
4.		
5.		

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

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

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	Self-employed (attorney)
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. Conner Inn of Court	Jan. 20-21, 2016	New York, NY	Conner Inn Dinner	Train fare, meal, lodging
2. Case Western Reserve Law	Jan. 25-31, 2016	Strasburg, France	EIPN Congress	Airfare, meals, lodging
3. Vanderbilt University	Feb. 4-5, 2016	Nashville, TN	Lecture Series	Airfare, meals, lodging
4. NCBA IP Section	Mar. 17-18, 2016	Greensboro, NC	Annual Meeting	Airfare, meals, lodging
5. Fordham University	Mar. 30-April 1, 2016	New York, NY	IP Institute Program	Train fare, meal, lodging
6. NYIPLA	Apr. 1-3, 2016	New York, NY	Annual Dinner	Train fare, meal, lodging
7. University of Iowa Law School	Apr. 6-8, 2016	Iowa City, IA	Lecture Series	Airfare, meals, lodging

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8.	CIPLA	Apr. 14-17, 2016	Cleveland, OH	Annual Dinner	Airfare, meals, lodging
9.	Joint Patent Practice	Apr. 20-21, 2016	New York, NY	CLE Seminar	Train Fare, meal, lodging
10.	JR Inn of Court	May 24-25, 2016	Minneapolis MN	CLE Seminar	Airfare, meals, lodging
11.	NJIPLA	June 10-11, 2016	Short Hills, NJ	Annual Dinner	Ground transportation, meal, lodging
12.	Federal Circuit Bar Association	June 22-24, 2016	Nashville, TN	Bench & Bar	Airfare, meals, lodging
13.	IADC	July 11-14, 2016	Hamilton, Bermuda	Annual Meeting	Airfare, meals, lodging
14.	NYU Law School	Sept. 29-30, 2016	New York, NY	Conference	Train fare, meal, lodging
15.	Federal Circuit Bar Association	Oct. 11-16, 2016	Paris, France	Intl Conference Series	Airfare, meals, lodging
16.	Case Western Reserve Law	Oct. 18-19, 2016	Cleveland, OH	Lecture Series	Airfare, meals, lodging
17.	EDTX Bar	Oct. 19-21, 2016	Plano, TX	Bench & Bar	Airfare, meals, lodging
18.	Harvard Law School	Oct. 26-27, 2016	Boston, MA	Educational Program	Airfare, meals, lodging
19.	Conner Inn of Court	Nov. 16-17, 2016	New York, NY	Meeting	Train fare, meal, lodging

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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 (various accounts)	A	Interest	N	T					
2. Castle Harlan Affiliates IV-A, LLP		None	J	U					
3. Castle Harlan Partners V, LLP		None	K	U					
4. CHP V Affiliates AIV, LP		None	K	U					
5. Mid-Atlantic Fund of Funds II, LP	A	Interest	K	W					
6. AEI Alien Series B Inv II, LLC		None	K	W					
7. Taskrabbit, Inc.		None	N	W					
8. Sun Basket, Inc		None	M	W					
9. Covington & Burling Partnership LLP	A	Int./Div.	P1	W					
10. Advanced Battery Concepts, LLC		None	K	W	Buy	12/20/16	K		
11. Cloud9 Charts, Inc		None	K	W	Buy	10/16/16	K		
12. Lois Wine Bar (note) (X)	B	Interest	K	W					
13. 401k (H)									
14. Dodge & Cox Stock	E	Dividend	K	T					
15. American Beacon Small Cap Val Inst	D	Dividend	J	T					
16. Lazard Emerging Market Equity Inst	B	Dividend	J	T					
17. Schwab Stable Value Inst II (Y)									

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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18. Oakmark International I	D	Dividend	J	T					
19. JP Morgan Large Cap R6	G	Dividend	O	T					
20. Janus Enterprises N	C	Dividend	J	T					
21. Metropolitan West Total Return Bond	E	Int./Div.	K	T					
22. Brokerage Account #1 (H)									
23. Schwab Adv Cash Reserve Prem. (SWZXX) (Y)									
24. Dodge & Cox Int'l Stock Fund (DODFX)	A	Dividend	K	T					
25. Wells Fargo Adv Int'l (ESICX)	A	Dividend	K	T					
26. American Fund Europacific (AEGFX)	A	Dividend	K	T					
27. Pimco Foreign Bond Fund (PFORX)	A	Dividend	K	T					
28. Vang St Exempt Fund (VWSTX)	B	Dividend	M	T					
29. Vang Inflation Protected (VIPSX)	A	Dividend	K	T					
30. Cohen & Steers Realty (CSRSX)	D	Dividend	L	T	Sold (part)	04/06/16	J		
31. Ishares Trust S&P 500 (IVV)	B	Dividend	L	T	Sold (part)	03/06/16	J		
32. Vang Small Cap (VB)	A	Dividend	K	T					
33. Baird Inter Muni (BMBIX)	C	Interest	M	T					
34. Hotchkis & Wiley Hi Yield (HWHIX)	C	Dividend	L	T					

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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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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35. Credit Suisse Comm Return Strategy Fund (CRSOX)		None	K	T					
36. Goldman Sachs Emerging Markets Debt Fund (GSDIX)	B	Dividend	K	T					
37. Ishares MSCI Emerging Market Index (EEM)	A	Dividend	K	T					
38. Mangate MLP Fund (IMLPX)	C	Dividend	L	T					
39. Brokerage Account #2 (H)									
40. Schwab Adv Cash Reserve Prem. (SWZXX)	A	Interest	J	T					
41. Dodge & Cox Int'l Stock Fund (DODFX)	A	Dividend	K	T					
42. Wells Fargo Adv Int'l (ESCIX)	A	Dividend	K	T					
43. American Fund Europacific (AEGFX)	A	Dividend	K	T					
44. Pimco Foreign Bond Fund (PFORX)	A	Dividend	K	T					
45. Vang St Exempt Fund (VWSTX)	B	Interest	M	T					
46. Vang Inflation Protected (VIPSX)	B	Dividend	K	T					
47. Cohen & Steers Realty (CSRSX)	D	Dividend	L	T					
48. Ishares Trust S&P 500 (IVV)	A	Dividend	K	T					
49. Vang Small Cap (VB)	A	Dividend	J	T					
50. Baird Inter Muni (BMBIX)	C	Dividend	M	T					
51. Hotchkis & Wiley Hi Yield (HWHIX)	C	Dividend	L	T					

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52. Credit Suisse Comm Return Strategy (CRSOX)		None	K	T					
53. Goldman Sachs Emerging Markets Debt (GSDIX)	B	Dividend	K	T					
54. Ishares MSCI Emerging Markets Index (EEM)	B	Dividend	L	T					
55. Mangate MLP Fund (IMLPX)	C	Dividend	L	T					
56. IRA #1 (H)									
57. Schwab Adv Cash Reserve Prem. (SWZXX)	A	Interest	J	T					
58. Steelpath MLP Select 40 (OSPSX)	B	Dividend	K	T					
59. Pimco Emerging Local Bond Fund (PELBX)	A	Dividend	J	T					
60. Wells Fargo Advtg Int'l Fund (ESICX)	A	Dividend	K	T					
61. Baird Aggregate Bond Inst Fund (BAGIX)	B	Dividend	K	T					
62. DFA Emerging Mkt Value Portfolio (DFEVX)	A	Dividend	J	T					
63. Pimco Comm Real Estate Return (PCRIX)	A	Dividend	J	T					
64. Dodge & Cox Int'l Stock Fund (DODFX)	A	Dividend	J	T					
65. Dodge & Cox Income Fund (DODIX) (X)	B	Dividend	K	T					
66. American Fund Europacific Growth (AEGFX)	A	Dividend	J	T					
67. Pimco Foreign Bond Fund (PFORX)	A	Dividend	K	T					
68. Cohen & Steers Realty Shares (CSRSX)	C	Dividend	K	T					

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69. Vanguard Inflation Protected Securities (VIPSX)	A	Dividend	K	T					
70. Ishares Trust S&P 500 Index (IVV)	A	Dividend	K	T					
71. Vanguard Small Cap Fund (VB)	A	Dividend	J	T					
72. Hotchkis & Wiley Hi Yield (HWHIX)	B	Dividend	K	T					

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

Part VII, lines 23, 40, and 57: Name correction; see 2015, lines 143, 247, and 323, respectively.

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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/ 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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544