

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) ANDERSON, III, ROBERT L.	2. Court or Organization 11TH CIR. COURT OF APPEALS	3. Date of Report 05/08/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U. S. CIRCUIT JUDGE (senior)	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 56 Forsyth Street, N.W. Atlanta, GA 30303		
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.	FELLOW	AMERICAN BAR FOUNDATION
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. 11/7/07	R. Lanier Anderson, III/Chas. Schwab & Co. Cust/ IRA rollover
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 9

Name of Person Reporting

ANDERSON, III, ROBERT L.

Date of Report

05/08/2017

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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE 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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. _____

2. _____

3. _____

4. _____

5. _____

FINANCIAL DISCLOSURE REPORT

Page 3 of 9

Name of Person Reporting

ANDERSON, III, ROBERT L.

Date of Report

05/08/2017

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.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 9

Name of Person Reporting

ANDERSON, III, ROBERT L.

Date of Report

05/08/2017

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. SunTrust Bank - checking account	A	Interest	J	T					
2. Exxon (common)	A	Dividend	K	T					
3. SunTrust Bank (common)	A	Dividend	L	T					
4. TIAA-CREF Traditional Bond Fund (TIAA1)	C	Dividend	L	T					
5. TIAA-CREF Stock Fund (QCSTRX)	C	Dividend	K	T					
6. House and lot, Macon-Bibb County, GA	D	Rent	M	W					
7. SunTrust Bank (common)	A	Dividend	J	T					
8. I shares Russell 1000 Index	A	Dividend	K	T					
9. I shares Russell 2000 Value	A	Dividend	K	T					
10. I shares Russell 2000 Index	A	Dividend	K	T					
11. I shares Russell 1000 Index	A	Dividend	J	T					
12. I shares Russell 2000 Value	A	Dividend	K	T					
13. I shares Russell 2000 Index	A	Dividend	J	T					
14. I shares Russell 2000 Index (IRA) (H)	A	Dividend	J	T					
15. Genworth Life Ins. Co (whole life)	D	Dividend	M	T					
16. SunTrust Bank - money market	A	Interest	L	T					
17. H (RLA)/CHARLES SCHWAB CUST IRA ROLLOVER)									See Part VIII

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

Page 5 of 9

Name of Person Reporting

ANDERSON, III, ROBERT L.

Date of Report

05/08/2017

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 US Treas. Money Fund	A	Interest	J	T					
19. Investco Balanced Risk Fund	A	Dividend			Sold	03/07/16	K	A	
20. Goldman Sachs Satellite Shategres Port (GXSIX)	A	Dividend	M	T	Buy (add'l)	09/09/16	L		
21. Goldman Sachs Strategic Inc. Fund	A	Dividend			Sold (part)	01/08/16	J	A	
22. Goldman Sachs Strategic Inc. Fund	A	Dividend			Sold	03/07/16	K	A	
23. Goldman Sachs Rising Dev. Growth Fund (GXRLX)	A	Dividend			Sold	09/02/16	J	A	
24. iShares Core S&P Index	A	Dividend			Sold	09/07/16	K	A	
25. Vanguard (VEA)	A	Dividend			Sold	06/20/16	K	A	
26. Vanguard (VOE)	A	Dividend			Sold	09/07/16	J	A	
27. Blackrock Strat. Inc. Opportunity Port Instl.	A	Dividend	J	T					
28. Vanguard Bond Index Fund Intermed. Term Bond (BIV)	B	Dividend	K	T					
29. AQR Style Premia ALT (QSPIX)	A	Dividend	K	T	Buy (add'l)	03/17/16	J		
30. Doublin total Return (DBLTX)	A	Dividend	K	T	Buy	03/07/16	K		
31. Vanguard Mkt Neutral (VMNFX)	A	Dividend	K	T	Buy	03/07/16	K		
32. JP Morgan Dvrsfd Rtn Intl (JPIN)	A	Dividend			Buy	06/20/16	K		
33. JP Morgan Dvrsfd Rtn Intl (JPIN)	A	Dividend			Sold	09/07/16	K	A	
34. H (RLA SCHWAB INDIVIDUAL ACCOUNT)									See Part VIII

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

Page 6 of 9

Name of Person Reporting

ANDERSON, III, ROBERT L.

Date of Report

05/08/2017

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)

35. Schwab US Treas Money Fund	A	Interest	J	T					
36. Goldman Sachs Rising Div. Fund. (GSRLX)	A	Dividend			Sold	09/21/16	K	A	
37. Goldman Sachs Satellite Strategies Port (GXSIX)	A	Dividend	M	T					
38. Investco Bal Risk	A	Dividend			Sold	03/07/16	J	A	
39. iShares Core S&P (IVV)	A	Dividend	K	T	Buy (add'l)	09/07/16	K		
40. iShares Russell 2000 (IWM)	A	Dividend	K	T	Buy (add'l)	04/05/16	K		
41. iShares Russell 2000 (IWM)	A	Dividend	K	T	Sold (part)	09/07/16	J	A	
42. Vanguard ETF (VEA)	A	Dividend			Buy (add'l)	04/05/16	K		
43. Vanguard ETF (VEA)	A	Dividend			Sold (part)	06/20/16	K	B	
44. Vanguard ETF (VEA)	A	Dividend			Sold	09/07/16	J	A	
45. Vanguard Mid-Cap Growth (VOT)	A	Dividend	J	T					
46. AQR Style Premia ALT (QSPIX)	B	Dividend	L	T					
47. Vanguard Mkt Neutral (VMNFX)	A	Dividend	J	T	Buy	03/07/16	J		
48. Vanguard Sht. Term Bond (BSV)	A	Dividend	K	T	Buy	04/05/16	K		
49. Vanguard Mid Cap Value (VOE)	A	Dividend	J	T	Buy	04/05/16	J		
50. JP Morgan Dvrsfd Rtrn Intrnl (JPIN)	A	Dividend	K	T	Buy	06/20/16	K		
51. H (ADDITIONAL STIFEL ASSETS)									See Part VIII

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

Page 7 of 9

Name of Person Reporting

ANDERSON, III, ROBERT L.

Date of Report

05/08/2017

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)

52. Vanguard Appreciation	B	Dividend	L	T					
53. Suntrust Banks, Inc. Pfd Series 5.875% (RLA)	A	Dividend	J	T					
54. Suntrust Banks, Inc. Pfd Series 5.875%	A	Dividend	J	T					
55. Loomis Sayles Strategic Fund (H)	B	Dividend	L	T					
56. Osterweis Strategic Fund (IRA-W)	C	Dividend	L	T					
57. Osterweis Strategic Fund (IRA-H)	B	Dividend	K	T					
58. Alfa Opportunistic Alter. CL 1 (IRA-W)	A	Dividend			Sold	09/08/16	J	A	
59. Invesco Balanced Risk Alloc. CL Y (IRA-W)	A	Dividend	K	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 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

Page 8 of 9

Name of Person Reporting

ANDERSON, III, ROBERT L.

Date of Report

05/08/2017

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

Part VII, Line 17, is simply a heading to disclose that the following lines (lines 18--33) describe holdings or transactions in RLA Schwab IRA Rollover during 2016

Part VII, line 34 is simply a heading to disclose that the following lines (lines 35-50) describe holdings or transactions in the RLA Schwab individual account during 2016

Part VII line 51, is simply a heading to disclose that lines 51-59 describe holdings that were either already in or added to RLA Stifel brokerage accounts. Other holdings in those accounts were reported on early lines of Part VII.

FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

ANDERSON, III, ROBERT L.

Date of Report

05/08/2017

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/ ROBERT L. ANDERSON, III**

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