

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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) Srinivasan, Srikanth	2. Court or Organization U.S. Court of Appeals for the District of Columbia Circuit	3. Date of Report 5/15/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Court of Appeals Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2017 to 12/31/2017
7. Chambers or Office Address E. Barrett Prettyman U.S. Courthouse and William B. Bryant Annex 333 Constitution Avenue, NW Washington, D.C. 20001		
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.	Adjunct Professor of Law	Georgetown University Law Center
2.	President	Edward Coke Appellate Inn of Court
3.	Trustee/Grantor	Trust #1
4.	Adviser	American Law Institute
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. 2017	Georgetown University Law Center - Teaching in 2018
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2017	Georgetown University Law Center - Teaching Income	\$5,000.00
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. Pepperdine University School of Law	April 7, 2017	Malibu, CA	Dean Deanell Tacha's Farewell Dinner	Transportation, meals, hotel
2.				
3.				
4.				
5.				

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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. 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. Brinker Destinations IRA									
2. - Fidelity Spartan 500 Index (FUSVX)		None			Sold	04/04/17	K	D	
3. - Avenue Credit Strategies Investor (ACSAX)	A	Dividend			Sold	04/06/17	J		
4. - Baron Emerging Markets (BEXFX)		None			Sold	04/04/17	K	A	
5. - Columbia Dividend Opportunity (INUTX)	A	Dividend			Sold	04/05/17	J	A	
6. - Columbia Select Large Cap Growth (ELGAX)		None			Sold	04/05/17	K	A	
7. - Delaware Value (DDVAX)	A	Dividend			Sold	04/04/17	K	D	
8. - Doubleline Low Duration (DELNX)	A	Dividend			Sold	04/06/17	J		
9. - Doubleline Total Return Bond (DLTNX)	A	Dividend			Sold	04/04/17	K		
10. - Dreyfus Bond Market Index (DBMIX)	A	Dividend			Sold	04/04/17	K		
11. - Driehaus Event Driven (DEVDX)		None			Buy (add'l)	04/05/17	J		
12.					Sold	04/05/17	J		
13. - Driehaus Active Income (LCMAX)	A	Dividend			Sold	04/05/17	J		
14. - Driehaus Micro Cap (DMCRX)		None			Sold	04/05/17	J	A	
15. - MFS International Value (MGIAX)		None			Sold	04/04/17	K	D	
16. - T. Rowe Price Growth Stock (TRSAX)		None			Sold	04/04/17	L	E	
17. - RS Global Natural Resources (RSNRX)		None			Sold	04/05/17	K		

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

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18. - Virtus Mid Cap Value Equity (SMVTX)		None			Sold	04/04/17	K	C	
19. - Rivernorth Core Opportunity (RNCOX)	A	Dividend			Sold	04/05/17	K	A	
20. - Riverpark Strategic Income (RSIVX)	A	Dividend			Sold	04/04/17	J		
21. - Riverpark Short Term Hi Yield (RPHYX)	A	Dividend			Sold	04/04/17	J	A	
22. - T. Rowe Price Intl Stock (PAITX)		None			Sold	04/04/17	K	C	
23. - TCW Relative Value Dividend Apprec (TGIGX)	A	Dividend			Sold	04/06/17	L	D	
24. - Touchstone Focused (TFOAX)		None			Sold	04/06/17	K	D	
25. - Touchstone Small Cap Value (TVOAX)	A	Dividend			Sold	04/06/17	J	B	
26. - Wasatch International Opportunities (WAIOX)		None			Buy (add'l)	04/06/17	K		
27.					Sold	04/06/17	K	C	
28. - Wasatch Frontier Emerging Small Cos (WAFMX)		None			Sold	04/05/17	J		
29. - Fidelity Cash Reserves (FDRXX)	A	Dividend	J	T					
30. - JP Morgan Strategic Income (JSOAX)	A	Dividend			Sold	04/05/17	J	A	
31. - Destinations Large Cap Equity (DLCFX)	B	Dividend	N	T	Buy	04/04/17	M		
32.					Buy (add'l)	04/05/17	K		
33.					Buy (add'l)	04/06/17	L		
34.					Sold (part)	07/14/17	J	A	

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(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
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35. - Destinations Small Mid Cap Equity (DSMFX)	A	Dividend	L	T	Buy	04/04/17	K		
36.					Buy (add'l)	04/05/17	J		
37.					Buy (add'l)	04/06/17	J		
38.					Sold (part)	07/14/17	J	A	
39. - Destinations International Equity (DIEFX)	A	Dividend	M	T	Buy	04/04/17	L		
40.					Buy (add'l)	04/05/17	J		
41.					Buy (add'l)	04/06/17	K		
42.					Buy (add'l)	07/14/17	J		
43. - Destinations Equity Income (DGEFX)	A	Dividend	J	T	Buy	04/05/17	J		
44. - Destinations Real Assets (DRAFX)	A	Dividend	K	T	Buy	04/05/17	K		
45. - Destinations Multi Strategy (DMSFX)	B	Dividend	L	T	Buy	04/05/17	K		
46.					Buy (add'l)	04/06/17	J		
47. - Destinations Core Fixed Income (DCFFX)	A	Dividend	K	T	Buy	04/04/17	K		
48.					Buy (add'l)	04/06/17	J		
49.					Buy (add'l)	07/14/17	J		
50. - Destinations Low Duration Fixed Income (DLDFX)	A	Dividend	J	T	Buy	04/04/17	J		
51. - Destinations Global Fixed Income (DGFFX)	A	Dividend	K	T	Buy	04/04/17	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)	04/06/17	J		
53. Trust #1 - Brinker Destinations Brokerage Account									
54. - Fidelity Spartan 500 Index (FUSVX)	A	Dividend	K	T	Sold (part)	07/11/17	J	A	
55. - Fidelity Intermediate Muni Income (FLTIX)	B	Dividend	K	T					
56. - Avenue Credit Strategies (ACSAX)	A	Dividend	J	T					
57. - Columbia Dividend Opportunity (INUTX)	A	Dividend	J	T					
58. - Columbia Select Large Cap Growth (ELGAX)	C	Dividend	K	T					
59. - Delaware Value (DDVAX)	A	Dividend	K	T					
60. - Doubleline Total Return Bond (DLTNX)	A	Dividend	K	T					
61. - Driehaus Active Income (LCMAX)	A	Dividend	J	T					
62. - MFS International Value (MGIAX)	A	Dividend	K	T					
63. - Northern Intermediate Tax Exempt (NOITX)	A	Dividend	K	T	Buy (add'l)	07/11/17	J		
64. - T. Rowe Price Growth Stock Advisor (TRSAX)	C	Dividend	K	T	Sold (part)	07/11/17	J	B	
65. - RS Global Natural Resources (RSNRX)		None	J	T					
66. - Virtus Mid Cap Value Equity (SMVTX)	C	Dividend	K	T	Sold (part)	07/11/17	J	A	
67. - Rivernorth Core Opportunity (RNCOX)	C	Dividend	K	T					
68. - T. Rowe Price Intl Stock Advisor (PAITX)	A	Dividend	K	T	Buy (add'l)	07/11/17	J		

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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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69. - TCW Relative Value Dividend Apprec (TGIGX)	B	Dividend	K	T					
70. - Touchstone Focused (TFOAX)	A	Dividend	K	T					
71. - Wasatch International Opportunities (WAIIX)	A	Dividend	J	T					
72. - Wasatch Frontier Emerging Small Cos (WAFMX)		None			Sold	07/11/17	J		
73. - Fidelity Cash Reserves (FCASH)	A	Dividend	J	T					
74. - Riverpark Strategic Income (RSIVX)	A	Dividend	J	T					
75. - Baron Emerging Markets (BEXFX)	A	Dividend	J	T	Buy (add'l)	07/11/17	J		
76. - Driehaus Event Driven (DEVDX)		None	J	T					
77. - Driehaus Micro Cap Growth (DMCRX)	A	Dividend	J	T					
78. - Touchstone Small Cap Value (TVOAX)	A	Dividend	J	T					
79. - Doubleline Low Duration (DELNX)	A	Dividend	J	T	Buy (add'l)	07/11/17	J		
80. - JP Morgan Strategic Income (JSOAX)	A	Dividend	J	T					
81. - Riverpark Short Term Hi Yield (RPHYX)	A	Dividend	J	T					
82. American Funds Roth IRA									
83. - American Funds AMCAP A (AMCPX)	A	Dividend	J	T					
84. - American Funds New World A (NEWFX)	A	Dividend	J	T					
85. - American Funds Small Cap World A (SMCWX)	A	Dividend	J	T					

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86. - American Funds Capital World Growth & Income A (CWGIX)	A	Dividend	J	T					
87. - American Funds Washington Mutual A (AWSHX)	A	Dividend	J	T					
88. - American Funds Income Fund of America A (AMECX)	A	Dividend	J	T					
89. Wells Fargo Checking Account	A	Interest	J	T					
90. Citibank Checking Account	A	Interest	J	T					
91. American Funds College Savings Plan (529) #1									
92. - College 2021 Fund 529A (CTOAX)	C	Dividend	M	T	Sold (part)	03/07/17	M		
93.					Sold (part)	03/07/17	K		
94. - College 2024 Fund 529A (CFTAX)	C	Dividend	M	T	Buy (add'l)	03/07/17	K		
95. - AF U.S. Government Money Market 529A (AAFXX)	A	Dividend	M	T	Buy	03/07/17	M		
96. American Funds College Savings Plan (529) #2									
97. - College 2021 Fund 529A (CTOAX)	C	Dividend	M	T	Sold (part)	03/07/17	M		
98.					Sold (part)	03/07/17	K		
99.					Sold (part)	03/07/17	J		
100. - College 2024 Fund 529A (CFTAX)	C	Dividend	M	T	Buy (add'l)	03/07/17	K		
101. - AF U.S. Government Money Market 529A (AAFXX)	A	Dividend	M	T	Buy	03/07/17	M		
102. - Preservation Portfolio 529A (CPPAX)	A	Dividend	J	T	Buy	03/07/17	J		

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103. Mass Mutual Variable Life Insurance Policy									
104. - Mass Mutual VUL Guard Guaranteed Account	B	Interest	L	T	Buy (add'l)	09/29/17	J		
105. - Deutsche Small Cap Index		None	K	T	Buy (add'l)	09/29/17	J		
106. - Mass Mutual VUL Guard Small Cap Equity		None	J	T					
107. American Funds Brokerage Account									
108. - American Funds Bond Fund of America A (ABNDX)	A	Dividend	J	T					
109. - American Funds Fundamental Investors A (ANCFX)	A	Dividend	J	T					
110. - American Funds Growth Fund of America A (AGTHX) (X)	A	Dividend	J	T					
111. - American Funds New Economy Fund A (ANEFX) (X)	A	Dividend	J	T					
112. - American Funds Tax Exempt Bond Fund of America A (AFTEX)	A	Dividend	J	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

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Name of Person Reporting

Srinivasan, Srikanth

Date of Report

5/15/2018

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

Part VII (Investments & Trusts):

The name of Ridgeworth Mid Cap Value Equity (SMVTX) was changed to Virtus Mid Cap Value Equity on 07/17/17. The ticker symbol did not change. The new name is used in this report.

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Srinivasan, Srikanth

Date of Report

5/15/2018

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/ Srikanth Srinivasan

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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Washington, D.C. 20544