

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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) Katsas, Gregory G.	2. Court or Organization U.S. Court of Appeals for the D.C. Circuit	3. Date of Report 08/12/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Circuit Judge (Active)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2018 to 12/31/2018
7. Chambers or Office Address U.S Courthouse 333 Constitution Avenue, NW Washington, DC 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.	Trustee	Trust #1 (reportable holdings are included in Part VII)
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.	11/2009	Jones Day - defined benefit pension plan
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.	
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. Federalist Society	Feb. 2-3, 2018	Orlando, FL	Speak at conference	Transportation, meals, lodging
2. Federalist Society & Harvard	April 2-3, 2018	Cambridge, MA	Speak at law school	Transportation, meals, lodging
3. Federalist Society	April 5-6, 2018	Columbus, OH	Speak at conference	Transportation, meals, lodging
4. Federalist Society	June 5, 2018	Newark, NJ	Speech	Transportation, meals, lodging
5. GMU Antonin Scalia Law Sch.	July 30-31, 2018	Padova, Italy	Teaching	Transportation, meals, lodging
6. AEI	Aug. 13-15, 2018	Jackson Hole, WY	Speak at conference	Transportation, meals, lodging
7. Federalist Society	Sept. 3-7, 2018	Avon, CO	Seminar	Transportation, meals, 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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE 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. Schwab Bank (cash) (X)	A	Interest	L	T					
2. United Trust (cash) (X)	A	Interest	J	T					
3. KS 529 Acct #1 (H)									
4. Schwab Aggressive Growth Index Portfolio	B	Dividend	M	T					59
5. KS 529 Acct #2 (H)									
6. Schwab Aggressive Growth Index Portfolio	B	Dividend	M	T					60
7. VA 529 Acct #3 (H)									
8. 529 Virginia Prepay - tuition plan		None	L	T					61
9. VA 529 Acct #4 (H)									
10. Vanguard Total Stock Index Fund (VSMPIX)		None	L	T					62
11. VA 529 Acct #5 (H)									
12. Vanguard Total Stock Index Fund (VSMPIX)		None	J	T					62
13. Invesco Advisors Stable Value Portfolio (X)		None	J	T					
14. VA 529 Acct #6 (H)									
15. 529 Virginia Prepay - tuition plan		None	L	T					61
16. VA 529 Acct #7 (H)									
17. Vanguard Total Stock Index Fund (VSMPIX)		None	J	T					62

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 = \$250,000,001 - \$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	
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. VA 529 Acct #8 (H)									
19. Vanguard Total Stock Index Fund (VSMPX)		None	K	T					62
20. Invesco Advisors Stable Value Portfolio (X)		None	J	T					
21. Brokerage Acct #1 (H)									
22. Fidelity Core Cash Account (cash) (X)	C	Interest	O	T					
23. Gateway Fund Class Y (GTEYX)	D	Dividend	N	T	Buy (add'l)	09/12/18	M		166
24. Schwab Fundamental US Large Co Index (SFLNX)	E	Dividend	N	T	Buy (add'l)	09/12/18	M		168
25.					Buy (add'l)	10/17/18	L		
26. iShares Core S&P ETF (IVV)	D	Dividend	O	T	Buy (add'l)	02/12/18	M		145
27. iShares Russell 2000 ETF (IWM)	C	Dividend	N	T	Buy (add'l)	02/12/18	L		159
28.					Buy (add'l)	09/13/18	L		
29. IRA #1 (H)									
30. Schwab Bank Sweep Account (cash) (X)	A	Interest	M	T					
31. Charles Schwab US MC ETF (SCHM)	B	Dividend	L	T					114
32. First TST NASDAQ 100 Tec ID Fund (QTEC)	A	Dividend	K	T	Sold (part)	01/26/18	K	C	157
33. Schwab US Broad Market ETF (SCHB)	B	Dividend	L	T					110
34. Schwab US Dividend Equity ETF (SCHD)	D	Dividend	M	T	Buy (add'l)	10/18/18	J		116

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35. Schwab US Large Cap Growth ETF (SCHG)	A	Dividend	L	T	Buy (add'l)	11/21/18	K		113
36. Schwab US Large-Cap ETF (SCHX)	B	Dividend	L	T	Buy (add'l)	11/21/18	K		115
37. Boston Partners Long Short Res I (BPIRX)	D	Dividend	M	T	Buy (add'l)	01/05/18	K		153
38.					Buy (add'l)	01/26/18	K		
39.					Sold (part)	11/05/18	M		
40. IRA #2 (H)									
41. Schwab US Dividend Equity Fund (SCHD)	A	Dividend	K	T	Buy (add'l)	01/05/18	J		165
42. Brokerage Acct #2 (H)									
43. iShares Core S&P 500 ETF (IVV)	B	Dividend	L	T	Buy (add'l)	02/21/18	K		145
44. Vanguard Dividend Appreciation Fund (VIG)	B	Dividend	K	T					98
45. FMI Large Cap Fund (FMIHX)	E	Dividend	M	T					99
46. Schwab Fundamental Intl Large Co Index (SFNNX) (X)	C	Dividend	L	T					
47. Vanguard 500 Index Fd Admiral SHRS (VFIAX)	B	Dividend	M	T					163
48. Brokerage Acct #3 (H)									
49. Schwab Cash Sweep (SWXXX) (cash equivalent) (X)	A	Interest	N	T					
50. Schwab US Broad Market ETF (SCHB)	A	Dividend	M	T	Buy	10/24/18	M		
51. Schwab US Large-Cap Value ETF (SCHV)	B	Dividend	M	T	Buy (add'l)	10/24/18	L		111

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52. Schwab US Small-Cap ETF (SCHA)	A	Dividend	K	T					112
53. Boston Partners Long Short Research Inst Fund (BPIRX)	E	Dividend	N	T					153
54. Diamond Hill Long Short Fund C1 I (DHLSX)	D	Dividend	M	T					155
55. Oakmark Intl. Small Cap Fund (OAKEX)		None			Buy (add'l)	01/31/18	M		162
56.					Sold	03/15/18	N		
57. Oakmark Intl Small Cap Fund Inst (OANEX)	D	Dividend			Buy	03/15/18	N		
58.					Sold (part)	08/22/18	M		
59.					Sold (part)	08/29/18	K		
60.					Sold	12/28/18	L		
61. Parametric Tax Mgd. Emerging Mkts. Instl. Fund (EITEX)	C	Dividend	M	T					164
62. T Rowe Price New Era Fd Inv (PRNEX)		None			Buy	01/31/18	M		
63.					Sold	08/09/18	M		
64. T Rowe Price New Era Fd 1 (TRNEX)	B	Dividend			Buy	08/09/18	M		
65.					Sold (part)	11/05/18	M		
66.					Sold	12/28/18	L		
67. Vanguard 500 Index Fd Admiral SHRS (VFIAX)	C	Dividend	M	T	Buy (add'l)	02/07/18	K		163
68.					Buy (add'l)	02/21/18	L		

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69. Wasatch Intl Growth FD Inst (WIIGX)	E	Dividend			Buy (add'l)	01/31/18	L		160
70.					Sold	12/28/18	M		
71. IRA #3 (H)									
72. Schwab Bank Sweep (cash) (X)	A	Interest	K	T					
73. iShares Core S&P SmallCap (IJR)		None			Sold	01/31/18	L	C	147
74. iShares Core S&P 500 (IVV)	D	Dividend	N	T	Buy (add'l)	02/07/18	L		145
75.					Buy (add'l)	02/08/18	K		
76.					Buy (add'l)	10/16/18	L		
77.					Buy (add'l)	10/24/18	J		
78.					Buy (add'l)	11/21/18	L		
79. Blackstone Alt Multi Strategy Fund (BXMIX)		None			Sold	03/23/18	L		152
80. Boston Partners Long Short Research Inst (BPIRX)	D	Dividend	M	T	Buy	05/02/18	L		
81.					Buy (add'l)	10/16/18	L		
82. Diamond Hill Long Short Fund (DHL SX)	C	Dividend	L	T					155
83. Harding Loevner Inst Emrg Mkts Cl 1 (HLMEX) (X)		None			Buy (add'l)	02/07/18	K		
84.					Sold	06/29/18	M		
85. Schwab Fundamental Intl Large Co Index (SFNNX) (X)	B	Dividend	K	T	Sold (part)	11/05/18	L		

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86. IRA #4 (H)									
87. Schwab Bank Sweep (cash) (X)	A	Interest	L	T					
88. ishares core S&P Midcap (IJH)		None			Sold	01/31/18	L	E	146
89. iShares Core S&P Small Cap ETF (IJR)		None			Sold	01/31/18	L	E	147
90. iShares Core S&P 500 ETF (IVV)	C	Dividend	N	T	Buy (add'l)	02/07/18	L		145
91.					Buy (add'l)	08/22/18	M		
92.					Buy (add'l)	10/24/18	K		
93. Schwab US Large Cap Value ETF (SCHV)	B	Dividend	M	T	Buy	09/25/18	M		
94.					Buy (add'l)	10/16/18	K		
95.					Buy (add'l)	10/24/18	K		
96. Vanguard Dividend Appreciation ETF (VIG)	C	Dividend	N	T	Buy (add'l)	08/22/18	L		169
97.					Buy (add'l)	09/25/18	L		
98.					Buy (add'l)	10/16/18	L		
99. Blackstone Alt Multi Strat Fd Inst (BXMIX)		None			Sold	03/23/18	M		152
100. Deutsche Global Infrastructure Inst (TOLIX)	B	Dividend			Buy	01/31/18	M		
101.					Sold	06/29/18	M		
102. Fidelity Advisor New Insights (FINSX)		None			Sold	01/31/18	M	F	151

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103. Gateway Fund CL Y (GTEYX)	C	Dividend	N	T	Buy (add'l)	08/22/18	M		167
104. Harding Loevner Inst Emrg Mkts C11 (HLMEX) (X)	A	Dividend	K	T	Buy (add'l)	02/01/18	L		
105.					Sold (part)	06/29/18	L		
106. Natixis Vaughan Nelson Value Opportunity Fund (VNVYX)	D	Dividend	L	T	Buy (add'l)	01/31/18	M		161
107.					Sold (part)	08/22/18	M	D	
108.					Sold (part)	11/05/18	L		
109. Brokerage Acct #4 (H)									
110. Large Cap Equity Managed Pool (SCGE1)		None	K	T	Buy	02/07/18	K		
111.					Buy (add'l)	10/05/18	J		
112.					Buy (add'l)	11/23/18	J		
113. Schwab Money Market Pool (SCGM1) (X)		None	J	T	Sold (part)	02/07/18	L		
114.					Buy (add'l)	10/05/18	J		
115.					Sold (part)	11/23/18	J	A	
116.					Sold (part)	11/26/18	J	A	
117. Schwab Fundamental US Large Co Index (SFLNX)		None	J	T					168
118. Total Market Equity Index Pool (SCBP1)		None	L	T	Buy	02/07/18	K		
119.					Sold (part)	05/14/18	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	
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)
120.					Buy (add'l)	10/05/18	J		
121.					Buy (add'l)	11/23/18	J		
122. Express Scripts Hldg (ESRX) (X)		None			Sold	10/04/18	J		
123. Brokerage Acct #5 (H)									
124. Gateway Fund CL Y (GTEYX)	C	Dividend	N	T					166
125. Schwab Fundamental US Large Co Index (SFLNX)	F	Dividend	O	T					168
126. Vanguard 500 Index FD Admiral Shrs (VFIAX)	C	Dividend	M	T	Buy (add'l)	02/21/18	K		163

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

This report has been reorganized by account, with assets listed in brokerage order. As a result, more than one line of the current report may correspond with a single line in the prior report and, where appropriate, multiple lines in the prior report have been consolidated herein. Where necessary for clarity, corresponding line numbers in the prior report have been included in Column D(5) for ease of review. This is not indicative of reportable transactions.

Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value, per page 42 of the filing instructions.

Part VII, lines 1-58, 63-97, 100-109, 117-144, 148-150, 154, 156, 158 and 170-190 of the nomination report are not reportable in this cycle; there are not corresponding reportable transactions.

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Name of Person Reporting

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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/ **Gregory G. Katsas**

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
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