AO 10
Rev. 1/2014

# FINANCIAL DISCLOSURE REPORT
# FOR CALENDAR YEAR 2013

*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) | 2. Court or Organization | 3. Date of Report |
|---|---|---|
| Silberman, Laurence H. | U.S. Court of Appeals D.C. Circuit | 11/02/2014 |
| **4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)** | **5a. Report Type (check appropriate type)** | **6. Reporting Period** |
| US Circuit Court Judge - Senior Status | ☐ Nomination Date<br>☐ Initial ☑ Annual ☐ Final<br>**5b.** ☑ Amended Report | 01/01/2013<br>**to**<br>12/31/2013 |
| **7. Chambers or Office Address** | | |
| 333 Constitution Avenue, N.W.<br>Room 3400<br>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.)*

| | 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. | | |

## 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. | 2013 | Georgetown University Law Center, Distinguished Visitor from the Judiciary, Spring and Fall | $90,335.00 |
| 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.)*

| | DATE | SOURCE AND TYPE |
|---|---|---|
| 1. | 2013 | Pension benefit - University of Texas MD Anderson |
| 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. | American Conference Institute | 03/21/13 - 03/22/13 | New York, NY | Speaker at National Advance Forum on NLRB and Labor Law Disputes and Litigation | Train, meal, taxi, parking |
| 2. | Federalist Society, Yale Law School | 10/15/2013 | New Haven, CT | Speech | Train, taxis, parking |
| 3. | | | | | |
| 4. | | | | | |
| 5. | | | | | |

## V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*

☐ NONE *(No reportable gifts.)*

| | SOURCE | DESCRIPTION | VALUE |
|---|---|---|---|
| 1. | Russell Lindner | Colonial Parking Pass | $400.00 |
| 2. | Kirkland & Ellis, LLP, Washington, DC | Pro bono legal services and costs (see note in Part VIII) | $47,324.00 |
| 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. | Bank of America | Home Equity line on rental property #1, Washington, DC (Pt. VII, line 23) | M |
| 2. | | | |
| 3. | | | |
| 4. | | | |
| 5. | | | |

| Name of Person Reporting | Date of Report |
|---|---|
| **Silberman, Laurence H.** | 11/02/2014 |

## 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 (1) Amount Code 1 (A-H) | B. (2) Type (e.g., div., rent, or int.) | C. Gross value at end of reporting period (1) Value Code 2 (J-P) | C. (2) Value Method Code 3 (Q-W) | D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption) | D. (2) Date mm/dd/yy | D. (3) Value Code 2 (J-P) | D. (4) Gain Code 1 (A-H) | D. (5) Identity of buyer/seller (if private transaction) |
|---|---|---|---|---|---|---|---|---|---|
| 1. Bank of America Account, Washington, DC | A | Interest | J | T | | | | | |
| 2. Wells Fargo Bank, NA, Account, Washington, DC | A | Interest | K | T | | | | | |
| 3. (H) IRA #1 | | | | | | | | | |
| 4. --T. Rowe Price IRA Spectrum Income | D | Dividend | | | Redeemed (part) | 01/02/13 | J | | |
| 5. | | | | | Sold | 03/27/13 | O | | |
| 6. --T. Rowe Price IRA Spectrum Growth | D | Dividend | P1 | T | Redeemed (part) | 01/02/13 | J | | |
| 7. | | | | | Sold (part) | 03/27/13 | L | | |
| 8. --T. Rowe Price Capital Appreciation | D | Dividend | P1 | T | Buy | 03/27/13 | O | | |
| 9. | | | | | Redeemed (part) | 04/01/13 | J | | |
| 10. (H) BROKERAGE ACCOUNT #1 | | | | | | | | | |
| 11. --Frankin Federal Tax Free Income Fund Class A (See note, Part VIII) | C | Interest | | | Sold | 08/16/13 | M | | |
| 12. --American Balanced Fund Cl A | A | Dividend | L | T | Buy | 08/19/13 | L | | |
| 13. --Capital Income Bldr Cl A | A | Dividend | L | T | Buy | 08/19/13 | L | | |
| 14. --Fundamental Invs Inc Cl A | A | Dividend | L | T | Buy | 08/19/13 | L | | |
| 15. (H) BROKERAGE ACCOUNT #2 | | | | | | | | | |
| 16. --Franklin Federal Tax Free Income Fund Class A (See note, Part VIII) | B | Interest | | | Sold | 08/16/13 | K | | |
| 17. --American Balanced Fund Cl A | A | Dividend | K | T | Buy | 08/19/13 | K | | |

| | | | | | |
|---|---|---|---|---|---|
| 1. Income Gain Codes: (See Columns B1 and D4) | 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 |
| | 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 (See Columns C1 and D3) | J =$15,000 or less | K =$15,001 - $50,000 | L =$50,001 - $100,000 | M =$100,001 - $250,000 | |
| | 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 (See Column C2) | Q =Appraisal | R =Cost (Real Estate Only) | S =Assessment | T =Cash Market | |
| | U =Book Value | V =Other | W =Estimated | | |

| Name of Person Reporting | Date of Report |
|---|---|
| **Silberman, Laurence H.** | 11/02/2014 |

## 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 (1) Amount Code 1 (A-H) | B. (2) Type (e.g., div., rent, or int.) | C. Gross value at end of reporting period (1) Value Code 2 (J-P) | C. (2) Value Method Code 3 (Q-W) | D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption) | D. (2) Date mm/dd/yy | D. (3) Value Code 2 (J-P) | D. (4) Gain Code 1 (A-H) | D. (5) Identity of buyer/seller (if private transaction) |
|---|---|---|---|---|---|---|---|---|---|
| 18. --Capital Income Bldr Cl A | A | Dividend | J | T | Buy | 08/19/13 | J | | |
| 19. --Fundamental Invs Inc Cl A | A | Dividend | J | T | Buy | 08/19/13 | J | | |
| 20. Georgetown University 401(k) Plan | D | Int./Div. | M | T | | | | | |
| 21. JP Morgan Chase | A | Dividend | J | T | | | | | |
| 22. Net Lease Ventures LP | A | Interest | M | T | | | | | |
| 23. Rental Property #1, Washington, DC (See note, Part VIII) | D | Rent | O | S | | | | | |
| 24. (H) IRA #2 | | | | | | | | | |
| 25. --Deltec Recovery Fund, LP | | None | J | T | | | | | |
| 26. --Westport Fund- Cl R | | None | M | T | | | | | |
| 27. --Frontegra Ironbridge Small Cap Fund | A | Dividend | L | T | | | | | |
| 28. --First Eagle Sogen Funds Inc Overseas Fd Cl I | A | Dividend | K | T | | | | | |
| 29. --Schwab Advisor Cash Reserves | A | Interest | K | T | | | | | |
| 30. --Lazard International Strategic Inst | A | Dividend | L | T | | | | | |
| 31. --Schwab Fundamental Int'l Large Index Institutional | B | Dividend | K | T | | | | | |
| 32. --Third Avenue Focused Credit Inst | D | Dividend | M | T | | | | | |
| 33. --Vanguard Short Term Bond Index Signal | B | Dividend | L | T | | | | | |
| 34. --Schwab Fundamental US Large Index Shares | D | Dividend | N | T | | | | | |

| | | | | | |
|---|---|---|---|---|---|
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| | 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 (See Columns C1 and D3) | J =$15,000 or less | K =$15,001 - $50,000 | L =$50,001 - $100,000 | M =$100,001 - $250,000 | |
| | 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 | |
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| 3. Value Method Codes (See Column C2) | Q =Appraisal | R =Cost (Real Estate Only) | S =Assessment | T =Cash Market | |
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| 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. (H) IRA #3 | | | | | | | | | |
| 36. Vanguard International Growth Inv | A | Dividend | J | T | | | | | |
| 37. Vanguard PRIMECAP Fund Investor | A | Dividend | J | T | | | | | |

1. Income Gain Codes: (See Columns B1 and D4)
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; 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 (See Columns C1 and D3)
J =$15,000 or less; K =$15,001 - $50,000; L =$50,001 - $100,000; M =$100,001 - $250,000; 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 (See Column C2)
Q =Appraisal; R =Cost (Real Estate Only); S =Assessment; T =Cash Market; U =Book Value; V =Other; W =Estimated

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

Part V, Line 2. Amount of $47,324 includes costs of $477.

Part VII, Lines 4, 6 and 8. Partial redemptions listed are the first payments in a series of monthly, same-sized redemptions from the IRA account, with part taken from each of the investments listed. There were 12 such transactions in 2013 for the Spectrum Growth Fund. There were three such payment from the Spectrum Income Fund (January through March). That holding was sold in March, with the funds used to purchase a holding in the Capital Appreciation Fund. A series of 8 monthly, same-size redemptions were made from the Capital Appreciation Fund, beginning April 1.

Part VII, Line 15. This property was assessed at $959,600 by the District of Columbia for 2014.

Part VII, Line 11 and 16. Two holdings in Franklin Federal Tax Free Income Fund were sold in 2013; both transactions resulted in realized losses.

| Name of Person Reporting | Date of Report |
|---|---|
| **Silberman, Laurence H.** | 11/02/2014 |

## 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/ Laurence H. Silberman**

**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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