AO 10
Rev. 1/2015

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2014

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
Srinivasan, Srikanth	U.S. Court of Appeals, District of Columbia Circuit	5/29/2015
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**
U.S. Court of Appeals Judge - Active	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2014 to 12/31/2014

7. Chambers or Office Address

E. Barrett Prettyman U.S. Courthouse and William B. Bryant Annex
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.)*

	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.		

Name of Person Reporting	Date of Report
Srinivasan, Srikanth	5/29/2015

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.	Connecticut Asian Pacific American Bar Association	Oct. 2-3, 2014	Hartford, CT	Keynote for Annual Meeting	Transportation, food, hotel
2.	University of Pennsylvania Law School	Jan. 23-24, 2014	Philadelphia, PA	Moot court judging	Transporation, food, hotel
3.					
4.					
5.					

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Srinivasan, Srikanth	5/29/2015

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

☐ NONE *(No reportable gifts.)*

	SOURCE	DESCRIPTION	VALUE
1.	India Abroad	Stated dinner value for judge's [redacted] during his Person of the Year award acceptance	$570.00
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.			

Name of Person Reporting	Date of Report
Srinivasan, Srikanth	5/29/2015

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.	Brinker Destinations IRA									
2.	- Fidelity Spartan 500 Index (FUSVX)	A	Dividend	L	T	Buy (add'l)	11/10/14	J		
3.	- Aston/River Road Independent Value (ARIVX)		None	J	T					
4.	- Aberdeen Emerging Markets (GEGAX)	A	Dividend			Sold	03/12/14	J		
5.	- Avenue Credit Strategies Investor (ACSAX)	A	Dividend	K	T					
6.	- Legg Mason Clearbridge Small Cap Growth (SASMX)		None	K	T	Sold (part)	03/12/14	J	A	
7.						Sold (part)	06/17/14	J	B	
8.						Buy (add'l)	11/10/14	J		
9.	- Columbia Dividend Opportunity (INUTX)	A	Dividend	K	T	Buy (add'l)	12/16/14	J		
10.	- Columbia Select Large Cap Growth (ELGAX)		None	L	T	Sold (part)	03/12/14	J	B	
11.						Buy (add'l)	06/20/14	J		
12.						Buy (add'l)	12/10/14	J		
13.	- Delaware Value (DDVAX)	A	Dividend	L	T	Buy (add'l)	03/12/14	J		
14.	- Doubleline Total Return Bond (DLTNX)	B	Dividend	K	T	Buy (add'l)	06/17/14	J		
15.						Sold (part)	11/10/14	J		
16.	- Dreyfus Bond Market Index (DBMIX)	A	Dividend	J	T	Buy (add'l)	10/01/14	J		
17.						Buy (add'l)	11/10/14	J		

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		

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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)	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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. - Driehaus Active Income (LCMAX)	A	Dividend	J	T	Sold (part)	06/17/14	J	A	
19. - Red Rocks Listed Private Equity (LPEFX)	A	Dividend	J	T					
20. - Forward EM Corporate Debt (FFXRX)	B	Dividend	K	T	Buy (add'l)	06/17/14	J		
21. - JP Morgan Strategic Income Opport (JSOAX)	A	Dividend			Sold (part)	06/17/14	J	A	
22.					Sold	11/10/14	J	A	
23. - MFS International Value (MGIAX)	A	Dividend	K	T					
24. - Pimco Total Return (PTTDX)	A	Dividend			Sold	10/01/14	J		
25. - T. Rowe Price Growth Stock (TRSAX)	A	Dividend	L	T	Sold (part)	03/12/14	J	B	
26.					Buy (add'l)	12/12/14	J		
27. - RS Global Natural Resources (RSNRX)	A	Dividend	J	T					
28. - Ridgeworth Mid Cap Value (SMVTX)	A	Dividend	K	T	Buy (add'l)	03/12/14	J		
29.					Buy (add'l)	12/17/14	J		
30. - Rivernorth Core Opportunity (RNCOX)	B	Dividend	K	T	Buy (add'l)	12/30/14	J		
31. - Riverpark Strategic Income (RSIVX)	A	Dividend	K	T	Buy (add'l)	06/17/14	J		
32. - T. Rowe Price International Stock (PAITX)	A	Dividend	K	T	Buy (add'l)	11/10/14	J		
33. - TCW Dividend Focused (TGIGX)	A	Dividend	L	T	Buy (add'l)	03/12/14	J		
34.					Sold (part)	06/17/14	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	
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Place "(X)" after each asset exempt from prior disclosure	(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. - Touchstone Focused (TFOAX)	A	Dividend	K	T	Buy (add'l)	06/17/14	J		
36. - Touchstone Focused Equity (TFEAX) (Y)									
37. - Wasatch International Opportunities (WAIOX)	A	Dividend	K	T	Buy (add'l)	12/29/14	J		
38. - Wasatch Frontier Emerging Small Cos (WAFMX)	A	Dividend	K	T					
39. - Wasatch Emerging Markets Small Cap (WAEMX)	A	Dividend			Sold (part)	03/12/14	J		
40.					Sold	06/17/14	J	A	
41. - Fidelity Cash Reserves (FDRXX)		None	J	T					
42. - Baron Emerging Markets (BEXIX)	A	Dividend	J	T	Buy	03/12/14	J		
43.					Buy (add'l)	06/17/14	J		
44. - Driehaus Event Driven (DEVDX)		None	J	T	Buy	03/12/14	J		
45. - Legg Mason Bw Absolute Return Opportunities (LROAX)	A	Dividend	J	T	Buy	11/10/14	J		
46. - Undiscovered Managers Behavioral Value US EQ	A	Dividend	J	T	Buy	06/17/14	J		
47. Brinker Destinations Brokerage Account #1									
48. - Fidelity Spartan 500 Index (FUSVX)	A	Dividend	K	T	Sold (part)	03/10/14	J	A	
49.					Buy (add'l)	11/13/14	J		
50.					Sold (part)	11/20/14	J	A	
51. - Fidelity Intermediate Muni Income (FLTMX)	B	Dividend	K	T	Buy (add'l)	03/10/14	J		

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52.					Sold (part)	11/20/14	J	A	
53. - Aston/River Road Independent Value (ARIVX)		None	J	T					
54. - Avenue Credit Strategies (ACSAX)	A	Dividend	J	T					
55. - Legg Mason Clearbridge Small Cap Growth (SASMX)		None	J	T	Sold (part)	06/20/14	J	A	
56. - Columbia Dividend Opportunity (INUTX)	A	Dividend	K	T	Sold (part)	11/20/14	J	A	
57.					Buy (add'l)	12/16/14	J		
58. - Columbia Select Large Cap Growth (ELGAX)		None	K	T	Sold (part)	03/10/14	J	A	
59.					Sold (part)	06/20/14	J	A	
60.					Buy (add'l)	06/20/14	J		
61.					Sold (part)	11/20/14	J	A	
62.					Buy (add'l)	12/10/14	J		
63. - Delaware Value (DDVAX)	A	Dividend	K	T	Buy (add'l)	03/10/14	J		
64.					Sold (part)	11/20/14	J	A	
65. - Doubleline Total Return Bond (DLTNX)	A	Dividend	K	T					
66. - Doubleline Low Duration (DLSNX)	A	Dividend			Sold	03/10/14	J	A	
67. - Driehaus Active Income (LCMAX)	A	Dividend	J	T	Sold (part)	06/20/14	J	A	
68. - Red Rocks Listed Private Equity (LPEFX)	A	Dividend	J	T					

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69. - Forward EM Corporate Debt (FFXRX)	A	Dividend	J	T	Buy (add'l)	06/20/14	J		
70. - JP Morgan Strategic Income Opportunity (JSOAX)	A	Dividend			Sold	11/13/14	J		
71. - MFS International Value (MGIAX)	A	Dividend	K	T	Sold (part)	06/20/14	J	A	
72. - Northern Int Tax Exempt (NOITX)	A	Dividend	K	T	Buy (add'l)	03/10/14	J		
73.					Sold (part)	11/20/14	J	A	
74. - T. Rowe Price Growth Stock Advisor (TRSAX)	A	Dividend	K	T	Sold (part)	03/10/14	J	B	
75.					Sold (part)	11/20/14	J	A	
76.					Buy (add'l)	12/12/14	J		
77. - RS Global Natural Resources (RSNRX)	A	Dividend			Sold	11/13/14	J		
78. - Ridgeworth Mid Cap Value Equity (SMVTX)	A	Dividend	K	T	Buy (add'l)	03/10/14	J		
79.					Buy (add'l)	11/13/14	J		
80. - Rivernorth Core Opportunity (RNCOX)	A	Dividend	K	T					
81. - T. Rowe Price Intl Stock Advisor (PAITX)	A	Dividend	J	T	Buy (add'l)	03/10/14	J		
82.					Buy (add'l)	11/13/14	J		
83. - TCW Dividend Focused (TGIGX)	A	Dividend	K	T	Sold (part)	06/20/14	J	A	
84.					Sold (part)	11/20/14	J	A	
85. - Touchstone Focused (TFOAX)	A	Dividend	J	T	Buy (add'l)	06/20/14	J		

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86.	- Wasatch International Opportunities (WAIOX)	A	Dividend	J	T	Sold (part)	06/20/14	J	A	
87.	- Wasatch Frontier Emerging Small Cos (WAFMX)	A	Dividend	J	T					
88.	- Wasatch Emerging Markets Small Cap (WAEMX)	A	Dividend			Sold	03/10/14	J	A	
89.	- Fidelity Cash Reserves (FDRXX)		None	J	T					
90.	- Riverpark Strategic Income	A	Dividend	J	T	Buy	03/10/14	J		
91.						Buy (add'l)	06/20/14	J		
92.	- Baron Emerging Markets (BEXIX)	A	Dividend	J	T	Buy	06/20/14	J		
93.	- Driehaus Event Driven (DEVDX)		None	J	T	Buy	03/10/14	J		
94.	- Legg Mason Bw Absolute Return Opportunities (LROAX)	A	Dividend	J	T	Buy	11/13/14	J		
95.	- Undiscovered Managers Behavioral Value US EQ	A	Dividend	J	T	Buy	06/20/14	J		
96.	American Funds Roth IRA									
97.	- American Funds AMCAP A (AMCPX)	A	Dividend	J	T					
98.	- American Funds New World A (NEWFX)	A	Dividend	J	T					
99.	- American Funds Small Cap World A (SMCWX)	A	Dividend	J	T					
100.	- American Funds Capital World Growth & Income A (AWSHX)	A	Dividend	J	T					
101.	- American Funds Washington Mutual Investors A (AWSHX)	A	Dividend	J	T					
102.	- American Funds Income Fund of America A (AMECX)	A	Dividend	J	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 $50,000,000	M =$100,001 - $250,000 P2 =$5,000,001 - $25,000,000	
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103. Wells Fargo Checking Account	A	Interest	K	T					
104. American Funds College Savings Plan (529) #1									
105. - American Funds AMCAP 529A	C	Dividend			Sold	07/18/14	L		
106. - American Funds Balanced Funds 529A	A	Dividend			Sold	07/18/14	L		
107. - American Funds Mutual Fund 529A	A	Dividend			Sold	07/18/14	J		
108. - American Funds EuroPacific Growth 529A		None			Sold	07/18/14	J		
109. - American Funds New Perspective 529A		None			Sold	07/18/14	K		
110. - American Funds Growth Fund of America 529A		None			Sold	07/18/14	L		
111. - American Funds Washington Mutual Investors Fund 529A	A	Dividend			Sold	07/18/14	J		
112. - College 2021 Fund 529A	D	Dividend	N	T	Buy	07/18/14	M		
113. - College 2024 Fund 529A	B	Dividend	L	T	Buy	07/18/14	L		
114. American Funds College Savings Plan (529) #2									
115. - American Funds AMCAP 529A	C	Dividend			Sold	07/18/14	L		
116. - American Funds Balanced Funds 529A	A	Dividend			Sold	07/18/14	L		
117. - American Funds Mutual Fund 529A	A	Dividend			Sold	07/18/14	J		
118. - American Funds EuroPacific Growth 529A		None			Sold	07/18/14	J		
119. - American Funds New Perspective 529A		None			Sold	07/18/14	K		

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	

Name of Person Reporting	Date of Report
Srinivasan, Srikanth	5/29/2015

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)	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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. - American Funds Growth Fund of America 529A		None			Sold	07/18/14	L		
121. - American Funds Washington Mutual Investors Fund 529A	A	Dividend			Sold	07/18/14	J		
122. - College 2021 Fund 529A	D	Dividend	N	T	Buy	07/18/14	M		
123. - College 2024 Fund 529A	B	Dividend	L	T	Buy	07/18/14	L		
124. American Funds Brokerage Account									
125. - American Funds Tax Exempt Bond Fund of America A (AFTEX) (Y)									
126. - American Funds Growth Fund of America A (AGTHX) (Y)									
127. - American Funds New Economy Fund A (ANEFX) (Y)									
128. - American Funds Fundamental Investors A (ANCFX) (Y)									
129. - American Funds Bond Fund of America A (ABNDX) (Y)									
130. Mass Mutual Variable Life Insurance Policy									
131. - Mass Mutual VUL Guard Guaranteed Account	A	Interest	K	T					
132. - Mass Mutual VUL Guard DWS Small Cap Index		None	K	T					
133. - Mass Mutual VUL Guard MML Small Cap Equity		None	J	T					
134.									

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.)*

For Part VII (Investments and Trusts):

1) On line 36, Touchstone Focused Equity (TFEAX) is no longer reportable due to its having been subsumed by Touchstone Focused (TFOAX). The gross value reported for TFOAX in line 35 is that of the merged holding.

2) The American Funds Brokerage Account (listed as "Brokerage Account #2" in calendar year 2013) has no reportable assets because the filing instructions suggest that assets shared [redacted] should be listed at 50% value. Last year, the brokerage account was overreported at full value and thus appeared on the disclosure form.

Name of Person Reporting	Date of Report
Srinivasan, Srikanth	5/29/2015

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)

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