AO 10
Rev. 1/2022

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2021

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
Schall, Alvin A.	United States Court of Appeals for the Federal Circuit	01/18/2023
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**
United States Circuit Judge (Senior Status)	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☑ Amended Report	01/01/2021 **to** 12/31/2021
7. Chambers or Office Address		
717 Madison Place, N.W. Washington, D.C. 20439		

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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 345 Trustees, Executors, Administrators, and Custodians; § 350 Power of Attorney; § 355 Outside Positions.)*

☐ NONE *(No reportable positions.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.	Trustee (one of two)	Trust #2
2.	Trustee (one of two)	Trust #4
3.		
4.		
5.		

II. AGREEMENTS. *(Reporting individual only; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 340 Agreements and Arrangements)*

☑ NONE *(No reportable agreements.)*

	DATE	PARTIES AND TERMS
1.		
2.		
3.		

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 320 Income; § 360 Spouses and Dependent Children.)*

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
1.		
2.		
3.		
4.		

IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.*

(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)

☑ NONE *(No reportable reimbursements.)*

	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.					
2.					
3.					
4.					
5.					

V. GIFTS. *(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable gifts.)*

	SOURCE	DESCRIPTION	VALUE
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 335 Liabilities; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable liabilities.)*

	CREDITOR	DESCRIPTION	VALUE CODE
1.			
2.			
3.			
4.			
5.			

Name of Person Reporting	Date of Report
Schall, Alvin A.	01/18/2023

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ NONE *(No reportable income, assets, or transactions.)*

A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		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)	
1. Abbott Laboratories, Inc.	B	Dividend	M	T					
2. Abbvie, Inc.	D	Dividend	M	T					
3. Altria Group, Inc.	C	Dividend	L	T					
4. Boeing Co.		None	M	T					
5. BP PLC	C	Dividend	M	T					
6. Exxon Mobil Corp.	D	Dividend	M	T					
7. General Electric Co.	A	Dividend	K	T					
8. General Mills, Inc.	C	Dividend	M	T					
9. Home Depot, Inc.	E	Dividend	O	T					
10. Intel Corp.	D	Dividend	M	T					
11. Johnson & Johnson Co.	C	Dividend	M	T					
12. J.P. Morgan Chase & Co.	D	Dividend	N	T					
13. Kraft Heinz Co.	A	Dividend	J	T					
14. Minnesota Mining & Mfg. Co.	D	Dividend	M	T					
15. Mondelez Int'l., Inc.	B	Dividend	L	T					
16. Motorola Solutions, Inc.	B	Dividend	M	T					
17. Pepsico, Inc.	D	Dividend	N	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

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Schall, Alvin A.	01/18/2023

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☐ NONE *(No reportable income, assets, or transactions.)*

A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		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)	
18. Philip Morris Int'l., Inc.	D	Dividend	M	T					
19. Vanguard High Dividend Yield ETF	D	Dividend	N	T					
20. Vanguard High Dividend Yield ETF	D	Dividend	N	T	Buy	12/15/21	L		
21. Walt Disney Co.		None	N	T					
22. Yum Brands, Inc.	B	Dividend	L	T					
23. Yum China Holdings, Inc.	A	Dividend	K	T					
24. DWS GNMA Fund -	A	Interest	L	T	Sold (part)	12/01/21	J	A	
25. DWS GNMA Fund -	A	Interest	K	T	Sold (part)	12/01/21	J	A	
26. Edgartown Water Co.		None	J	W					
27. Mainbocher, Inc.		None	J	W					
28. StdBankDeposit for WellsFargoAdvisorsAccount	A	Interest	J	T					
29. Fidelity Contra Fund			M	T	Sold (part)	12/01/21	J	A	
30. Vanguard Int.-Term Tax-Exempt Fund Adm. Shares Bond Fund	D	Dividend	M	T	Sold (part)	03/01/21	J	A	
31. Vanguard Int.-Term Tax-Exempt Fund Adm. Shares Bond Fund					Sold (part)	06/01/21	J	A	
32. Vanguard Int.-Term Tax-Exempt Fund Adm. Shares Bond Fund					Sold (part)	09/01/21	J	A	
33. Vanguard Int.-TermTax Exempt Fund Adm. Shares Bond Fund					Sold (part)	12/01/21	J	A	
34. Vanguard Ltd.-Term Tax-Exempt Fund Adm. Shares Bond Fund	C	Dividend	M	T	Sold (part)	03/01/21	J	A	

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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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☐ 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)	
35. Vanguard Ltd.-Term Tax-Exempt Fund Adm. Shares Bond Fund					Sold (part)	06/01/21	J	A	
36. Vanguard Ltd.-Term Tax-Exempt Fund Adm. Shares Bond Fund					Sold (part)	09/01/21	J	A	
37. Vanguard Ltd.-Term Tax-Exempt Fund Adm. Shares Bond Fund					Sold (part)	12/01/21	J	A	
38. Vanguard Dividend Growth Fund	D	Dividend	P1	T	Sold (part)	03/01/21	J	A	
39. Vanguard Dividend Growth Fund					Sold (part)	06/01/21	J	A	
40. Vanguard Dividend Growth Fund					Sold (part)	09/01/21	J	B	
41. Vanguard Dividend Growth Fund					Sold (part)	12/01/21	J	B	
42. Vanguard Federal Money Market Fund	A	Interest	K	T					
43. Williams 79 Associates		None	J	W					
44. TRUST #1:									
45. Deutsche Bank Trust Co. Tax-Free Income Fund	B	Dividend	K	T					
46. Deutsche Bank Trust Co. International Fund	A	Dividend	K	T					
47. Deutsche Bank Trust Co. U.S. Large Capitalization Value Fund	C	Dividend	M	T	Sold (part)	04/30/21	J	A	
48. Deutsche Bank Trust Co. U.S. Large Capitalization Value Fund					Sold (part)	10/31/21	J	A	
49. Deutsche Bank Trust Co. Money Market Deposit Account	A	Interest	J	T					
50. TRUST #2:									
51. American Express Co.	A	Dividend	L	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
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52. BP PLC	B	Dividend	K	T					
53. Kimberly Clark Corp.	C	Dividend	M	T					
54. Pfizer, Inc.	B	Dividend	K	T					
55. Viatris, Inc.	A	Dividend			Sold	03/30/21	J	A	
56. Raytheon Co.	C	Dividend	M	T					
57. Fidelity Contra Fund	B	Dividend	K	T	Sold (part)	02/11/21	J	B	
58. Fidelity Contra Fund					Sold (part)	03/30/21	J	B	
59. Fidelity Contra Fund					Sold (part)	05/25/21	J	D	
60. Fidelity Contra Fund					Sold (part)	08/11/21	J	D	
61. Fidelity Contra Fund					Sold (part)	11/15/21	K	D	
62. Deutsche Bank Trust Co. U.S. Large Capitalization Growth Fund	D	Dividend	P1	T					
63. Deutsche Bank Trust Co. Tax-Free Income Fund	D	Dividend	M	T					
64. Deutsche Bank Trust Co. Money Market Deposit Account	A	Interest	J	T					
65. TRUST #3:									
66. Deutsche Bank Trust Co. Tax-Free Income Fund	B	Dividend	L	T					
67. Deutsche Bank Trust Co. International Fund	A	Dividend	K	T					
68. Deutsche Bank Trust Co. U.S. Large Capitalization Value Fund	D	Dividend	N	T	Sold (part)	05/31/21	J	A	

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69.	Deutsche Bank Trust Co. High Income Fund Class A	A	Dividend	J	T					
70.	I Shares MSCI Emerging Markets Index Fund	A	Dividend	J	T					
71.	I Shares Cohen & Steers REIT ETF	A	Dividend	J	T					
72.	MFS Emerging Markets Debt Fund CL1	A	Dividend	J	T					
73.	Deutsche Bank Trust Co. Money Market Deposit Account	A	Dividend	J	T					
74.	TRUST #4:									
75.	American Express Co.	B	Dividend	M	T					
76.	BP PLC	A	Dividend	K	T					
77.	Merck & Co., Inc.	C	Dividend	L	T					
78.	Organon & Co., Inc.					Spinoff (from line 77)	06/03/21	J		
79.	Organon & Co., Inc.					Sold	08/11/21	J	C	
80.	Procter & Gamble Co.	B	Dividend	M	T					
81.	Deutsche Bank Trust Co. International Fund	B	Dividend	L	T					
82.	Deutsche Bank Trust Co. Taxable Income Fund	D	Dividend	N	T					
83.	Deutsche Bank Trust Co. High Income Fund	B	Dividend	K	T					
84.	I Shares U.S. Treasury Inflation Protected Bond Fund ETF	A	Dividend	K	T					
85.	Para-metrics Emerging Markets Fund	A	Dividend	J	T	Sold (part)	08/11/21	J	C	

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
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☐ 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)	
86. Deutsche Bank Trust Co. U.S. Large Capitalization Value Fund	C	Dividend	M	T					
87. Deutsche Bank Trust Co. Money Market Deposit Account	A	Interest	J	T					
88.									
89.									
90.									
91.									

1 Income Gain Codes: (See Columns B1 and D4)
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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
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

ADDITIONAL INFORMATION WITH RESPECT TO PART VII OF THIS REPORT:

1. Items 1-23, 26, 27, 51-56, 71, 75-80, and 84 are common stock holdings or exchange-traded fund holdings.

2. Items 24, 25, 29-41, 57-61, 70, 72, and 85 are mutual funds.

3. Items 28, 42, 49, 64, 73, and 87 are in the nature of money market accounts.

4. Items 46, 48, 62, 67, 68, 69, 81, 82, and 86 are mutual funds managed by Deutsche Bank Trust Co.

5. Items 45, 63, and 66 are tax-free securities funds managed by Deutsche Bank Trust Co.

6. Item 43 is a real estate partnership.

Name of Person Reporting	Date of Report
Schall, Alvin A.	01/18/2023

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/ Alvin A. Schall

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 G-330
One Columbus Circle, N.E.
Washington, D.C. 20544