AO 10
Rev. 3/2023

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2021

Report Required by the Ethics in Government Act of 1978 (5 U.S.C. app. §§ 13101-13111)

1. Person Reporting (last name, first, middle initial)	2. Court or Organization	3. Date of Report
Harris, Pamela A.	U.S. Court of Appeals, Fourth Circuit	05/04/2023
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**
U.S. Circuit Judge - Active Status	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☑ Amended Report	01/01/2021 **to** 12/31/2021
7. Chambers or Office Address		
7201 Wisconsin Avenue Suite 420 Bethesda, MD 20814		

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	Trust 1
2.	Trustee	Trust 2
3.	Trustee	Trust 3
4.	Trustee	Trust 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.	2021	Google LLC - salary, bonus, Alphabet Inc. equity
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.	William & Mary Law School	9/10/21-9/11/21	Williamsburg, VA	Non-FJC educational program	Lodging, food
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
Harris, Pamela A.	05/04/2023

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.	SunTrust cash account	A	Interest	J	T					
2.	M&T Bank cash acccount	A	Interest	J	T					
3.	Bank of America cash accounts	A	Interest	O	T					
4.	Northern Trust cash accounts	A	Interest	N	T					
5.	Northwestern Mutual - whole life insurance policies	D	Dividend	M	T	Buy (add'l)	12/31/21	J		
6.	Aberdeen US Small Cap Equity Fund	G	Dividend	O	T					
7.	Agilent Technologies Common	B	Dividend	M	T					
8.	Alphabet Inc. Common		None	P1	T					
9.	American Funds 2035 Target Date Ret. Fund	A	Dividend	K	T	Buy	09/20/21	K		
10.						Buy (add'l)	12/29/21	J		
11.	American Funds EuroPacific Growth Fund	A	Dividend	K	T					
12.	American Funds Growth Fund of America	E	Dividend	O	T	Buy (add'l)	09/20/21	J		
13.	American International Group Inc. Common	A	Dividend	J	T					
14.	American International Group Inc. Warrants		None			Expired	02/02/21	J		
15.	Automatic Data Processing Common	D	Dividend	N	T					
16.	Blackrock Advantage Large Cap Value Fund	F	Dividend	N	T					
17.	Blackrock High Yield Bond Portfolio Fund	E	Int./Div.	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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☐ 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. BNY Mellon Small/Mid Cap Growth Fund	E	Dividend	M	T					
19. Boston Partners All Cap Value Fund	E	Dividend	N	T	Buy (add'l)	09/20/21	K		
20. Broadridge Financial Solutions, Inc. Common	B	Dividend	L	T					
21. CDK Global Inc. Common	A	Dividend	K	T					
22. Cisco Systems Inc. Common	A	Dividend	L	T					
23. Clearbridge Dividend Strategy Fund	F	Dividend	N	T	Buy (add'l)	09/20/21	K		
24. Cigna Corp Common	B	Dividend	L	T					
25. Coca Cola Common	D	Dividend	M	T					
26. Davis New York Venture Fund	B	Dividend	N	T					
27. Dell Technologies Inc. Common		None	J	T					
28. DFA International Small Company Portfolio Fund	D	Dividend	J	T	Sold (part)	09/20/21	J		
29. DFA U.S. Core Equity 1 Portfolio Fund	F	Dividend	P1	T					
30. Discover Financial Services Common	B	Dividend	L	T					
31. Exxon Mobil Corp. Common	E	Dividend	N	T					
32. Fidelity Advisor New Insights Fund	E	Dividend	N	T					
33. First Eagle Global Fund	D	Dividend	N	T	Buy (add'l)	09/20/21	K		
34. Flexshares Morningstar Global Upstream Natural Resources Index Fund	D	Dividend	M	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	
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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. Flexshares STOXX Global Broad Infrastrture Index Fund	D	Dividend	M	T					
36. Howard County, MD Municipal Bond	B	Interest			Redeemed	08/16/21	K		
37. IBM Corp. Common	D	Dividend	M	T					
38. Intel Corp. Common	C	Dividend	M	T					
39. Janus Enterprise Fund	A	Dividend	K	T					
40. Johnson & Johnson Common	D	Dividend	N	T					
41. Keysight Technologies Inc. Common		None	M	T					
42. Kyndrl Technologies Common		None	J	T	Spinoff (from line 37)	11/03/21	J		
43. McDonald's Corp. Common	E	Dividend	P1	T	Donated (part)				
44. Medtronic PLC Common	D	Dividend	N	T					
45. Merk & Co. Common	E	Dividend	N	T					
46. MFS Value Fund	E	Dividend	N	T					
47. Morgan Stanley Common	C	Dividend	M	T					
48. Northern Emerging Markets Equity Index Fund	D	Dividend	K	T					
49. Northern Global Real Estate Index Fund	D	Dividend	M	T					
50. Northern High Yield Fixed Income Fund	D	Dividend			Sold	09/03/21	J		
51. Northern International Equity Index Fund	D	Dividend	P1	T	Buy (add'l)	09/03/21	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

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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		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)	
52.	Northern Mid Cap Index Fund	D	Dividend	O	T	Buy (add'l)	01/05/21	J		
53.						Sold (part)	09/03/21	J		
54.	Northern Small Cap Index Fund	D	Dividend	N	T					
55.	Northern Stock Index Fund	B	Dividend	M	T					
56.	Oakmark International Fund	D	Int./Div.	M	T					
57.	Organon & Co. Common	A	Dividend	K	T	Spinoff (from line 45)	06/03/21	K		
58.	Pfizer Inc. Common	D	Dividend	O	T					
59.	Prince George's County, MD Municipal Bonds	C	Interest	L	T					
60.	Principal Midcap Fund	E	Dividend	O	T					
61.	Schlumberger Ltd. Common	A	Dividend	K	T					
62.	State Street International Index Non-Lending Series Fund	A	Dividend	K	T	Buy	08/17/21	K		
63.	State Street Russell Small Cap Index Non-Lending Fund	A	Dividend	L	T	Buy	08/17/21	L		
64.	State Street S&P Mid-Cap Index Non-Lending Series Fund	A	Dividend	K	T	Buy	08/17/21	K		
65.	SPDR S&P 500 ETF Trust	D	Dividend	O	T					
66.	T Rowe Price Structured Research Trust C	A	Dividend	J	T					
67.	Texas Instruments Common	E	Dividend	O	T					
68.	Vanguard Developed Markets Index Fund	B	Dividend	L	T	Buy (add'l)	01/01/21	J		

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69.	Vanguard Emerging Markets Select Stock Fund	B	Dividend	L	T	Buy (add'l)	12/27/21	J		
70.						Buy (add'l)	12/31/21	J		
71.	Vanguard Emerging Markets Stock Index Fund	A	Dividend	L	T	Buy (add'l)	01/01/21	J		
72.	Vanguard Explorer Fund	B	Dividend	M	T					
73.	Vanguard Extended Market Index Fund	B	Dividend	N	T	Buy (add'l)	01/01/21	J		
74.	Vanguard Federal Money Fund	A	Dividend	J	T					
75.	Vanguard 500 Index Trust Fund	B	Dividend	N	T	Buy (add'l)	01/01/21	J		
76.	Vanguard Int'l Equity Index Funds Emerging Markets Stock Index Fund	D	Dividend	O	T					
77.	Vanguard International Growth Fund	B	Dividend	M	T	Buy (add'l)	12/27/21	J		
78.						Buy (add'l)	12/31/21	J		
79.	Vanguard Life Strategy Growth Fund	A	Dividend	J	T	Buy (add'l)	12/27/21	J		
80.	Vanguard Mid-Cap Growth Fund	A	Dividend	M	T	Buy (add'l)	12/27/21	J		
81.	Vanguard Mid-Cap Index Fund	B	Dividend	N	T	Sold (part)	08/17/21	K		
82.						Buy (add'l)	12/31/21	J		
83.	Vanguard PrimeCap Core Fund	D	Dividend	O	T	Buy (add'l)	12/27/21	J		
84.						Buy (add'l)	12/31/21	J		
85.	Vanguard REIT Index Fund	B	Dividend	M	T	Buy (add'l)	01/01/21	J		

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86. Vanguard Small-Cap Index Fund	B	Dividend	L	T	Sold (part)	08/17/21	L		
87. Vanguard Total Bond Market Index Fund	C	Dividend	L	T	Buy (add'l)	01/01/21	J		
88. Vanguard Total Int'l Stock Market Index Fund	A	Dividend	L	T	Sold (part)	08/17/21	K		
89. Vanguard Total Stock Market Index Fund	B	Dividend	M	T					
90. Vanguard U.S. Growth Fund	B	Dividend	M	T					
91. Vanguard Wellington Fund	A	Dividend	L	T					
92. Vanguard Windsor II Fund	B	Dividend	M	T					
93. Viatris Inc. Common	A	Dividend	J	T					
94. VMware Inc. Common		None	J	T	Spinoff (from line 27)	11/01/21	J		
95. Western Digital Corp. Common		None	K	T					
96. William Blair Large Cap Growth Fund	B	Dividend	L	T	Buy	08/17/21	L		
97. Zoetis Inc. Common	A	Dividend	M	T					

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

PART VII:

Alphabet Inc. shares (Part VII, line 8) vested monthly throughout the year.

Vanguard funds with purchase date of 01/01/21 (Part VII, lines 68, 71, 73, 75, 85, 87) had purchases throughout 2021 from salary withholding.

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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. § 13141 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: s/ Pamela A. Harris

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. § 13106)

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite G-330
One Columbus Circle, N.E.
Washington, D.C. 20544