AO 10
Rev. 1/2012

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2011

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
Lourie, Alan D.	U.S. Ct of Appeals-Fed Circuit	04/01/2012
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	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2011 to 12/31/2011
7. Chambers or Office Address		
Howard T. Markey Nat Cts Bldg 717 Madison Place NW Washington, DC 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. Insert signature on last page.***

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.	4/6/90	GlaxoSmithKline, successor to former employer, provides pension and retiree group health and life insurance
2.		
3.		

Name of Person Reporting	Date of Report
Lourie, Alan D.	04/01/2012

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.	Jan-Dec	GlaxoSmithKline pension	$88,273.00
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.		
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.	Boston Patent Law Assoc	June 10	Boston, MA	Attend judges' dinner and receive award	Airfare, hotel, and dinner
2.	NY Intell Property Law Assoc	March 25	New York, NY	Attend dinner in honor of judges	Trainfare, hotel, and dinner for wife and me
3.	Sedona Group	Oct 12-14	San Diego, California	Participate in symposium and receive award	Airfare, hotel, and meals for wife and me
4.	GW Law School	October 19	Washington, DC	Deliver lecture	Dinner for wife and me
5.	Boston IP Inn of Court	November 1	Boston, MA	Deliver speech	Hotel and dinner

Name of Person Reporting	Date of Report
Lourie, Alan D.	04/01/2012

6. Federal Circuit Bar Association	November 18	Washington, DC	Attend annual dinner	Dinner for wife and me

Name of Person Reporting	Date of Report
Lourie, Alan D.	04/01/2012

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

☑ NONE *(No reportable gifts.)*

	SOURCE	DESCRIPTION	VALUE
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.)*

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

Name of Person Reporting	Date of Report
Lourie, Alan D.	04/01/2012

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)	(2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (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. Vanguard Tax Exempt MM Fund 1	A	Dividend	M	T					
2. Vanguard Tax Exempt MM Fund 2	A	Dividend	K	T					
3. Franklin Templeton Mutual Shares Fund	B	Dividend			Sold	10/20/11	M	E	
4. Vanguard Health Care Fund	D	Dividend	N	T					
5. T Rowe Price Cap Appreciation Fund (IRA)		None			Sold	11/07/11	M		see VIII
6. Vanguard ST Inv Gr Bd Fund (IRA)	D	Dividend	M	T	Buy	03/07/11	J		
7.					Sold (part)	07/18/11	J		see VIII
8. TIAA-CREF	A	Interest	J	T	Sold (part)	03/01/11	J		see VIII
9. PNC Bank checking account	A	Interest	K	T					
10. US Treasury Notes	B	Interest	L	T					
11. Vanguard 500 Index Fund	D	Dividend	O	T					
12. Vanguard Extended Market Index Fund	C	Dividend	N	T					
13. Vanguard Global Equity Fund	C	Dividend	M	T					
14. Vanguard Internat Explorer Fund	C	Dividend	M	T					
15. Vanguard European Fund	C	Dividend	L	T					
16. T Rowe Price Short Term Bond Fund (IRA)	E	Dividend	P1	T	Sold (part)	07/18/11	L		see VIII
17. Vanguard ST Tax Exempt Fund 1	C	Dividend	N	T	Sold (part)	4/18/11	N	D	

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
Lourie, Alan D.	04/01/2012

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)	(2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (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. Vanguard ST Tax Exempt Fund 2	C	Dividend	N	T	Buy (add'l)	07/18/11	J		
19. Vanguard Limited Term TE Fund 1	D	Dividend	N	T	Sold (part)	7/11/11	K	B	
20. TR Price High Yield Fd (IRA)	D	Dividend	N	T	Buy (add'l)	11/7/11	M		
21. TR Price New Horizon Fd (IRA)	E	Dividend	M	T					
22. Vanguard Dividend Growth Fd	D	Dividend	N	T	Buy (add'l)	11/14/11	K		
23. Vanguard Prime Cap Core Fd	B	Dividend	M	T					
24. Vanguard Limited Term TE Fund 2	D	Dividend	O	T					
25. TR Price GNMA Fund	E	Dividend	O	T	Buy (add'l)	07/18/11	L		
26. Sequoia Fund	A	Dividend	L	T					
27. Vanguard IM Term Tax Ex Fund	D	Dividend	N	T	Buy	4/18/11	N		

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

Items 5, 7, 8, and 16 in Part VII do not provide gains in D4, because they were within an IRA or a rollover so that there was no recognized or calculable gain.

Name of Person Reporting	Date of Report
Lourie, Alan D.	04/01/2012

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/ Alan D. Lourie

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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Washington, D.C. 20544