AO 10
Rev. 1/2021

# 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 |
|---|---|---|
| Chutkan, Tanya S. | United States District Court for the District of Columbia | 08/13/2022 |
| **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. District Judge (Active) | ☐ Nomination Date<br>☐ Initial ☑ Annual ☐ Final<br>**5b.** ☐ Amended Report | 01/01/2021<br>**to**<br>12/31/2021 |
| **7. Chambers or Office Address** | | |
| E. Barrett Prettyman U.S. Courthouse<br>333 Constitution Ave. NW<br>Washington, D.C. 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. | Board of Trustees | D.C. Circuit Historical Society |
| 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. | | | |
| 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. | | | | | |
| 2. | | | | | |
| 3. | | | | | |
| 4. | | | | | |
| 5. | | | | | |

| Name of Person Reporting | Date of Report |
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| **Chutkan, Tanya S.** | 08/13/2022 |

## 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 |
|---|---|
| **Chutkan, Tanya S.** | 08/13/2022 |

## 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 | 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) | (5) Identity of buyer/seller (if private transaction) |
| 1. Individual Assets (H) | | | | | | | | | |
| 2. Wells Fargo (cash) | A | Interest | K | T | | | | | |
| 3. Account #1 (H) | | | | | | | | | |
| 4. Alibaba Group Hldg Ltd Spon Adr (BABA) | | None | K | T | | | | | |
| 5. ETFMG Prime Cyber Security ETF (HACK) | A | Dividend | K | T | | | | | |
| 6. iShares Gold Trust ETF (IAU) | | None | J | T | | | | | |
| 7. 13D Activist Fund CL A (DDDAX) | C | Dividend | K | T | | | | | |
| 8. Amer Funds Capital World Growth & Income Fund Cl A (CWGIX) | A | Dividend | J | T | | | | | |
| 9. Fidelity Advisor Equity Growth A (EPGAX) | B | Dividend | K | T | | | | | |
| 10. Invesco American Franchise Fund Cl A (VAFAX) | D | Dividend | K | T | | | | | |
| 11. Pace Alternatives Strategies Investments Cl P (PASPX) | B | Dividend | K | T | | | | | |
| 12. Pace Global Fixed Income Investments Fund Cl P (PCGLX) | A | Dividend | J | T | | | | | |
| 13. Pace High Yield Investments Cl P (PHYPX) | A | Dividend | J | T | | | | | |
| 14. Pace International Emerging Markets Equity Investments Cl P (PCEMX) | A | Dividend | J | T | | | | | |
| 15. Pace International Equity Investments Cl P (PCIEX) | B | Dividend | J | T | | | | | |
| 16. Pace Large Co Growth Equity Investments Cl P (PCLCX) | C | Dividend | K | T | | | | | |
| 17. Pace Large Co Value Equity Investments Cl P (PCLVX) | C | Dividend | K | 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

| Name of Person Reporting | Date of Report |
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| **Chutkan, Tanya S.** | 08/13/2022 |

## 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 | 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) | (5) Identity of buyer/seller (if private transaction) |
| 18. Pace Mortgage-Backed Sec Fix Income Invt Fd Cl P (PCGTX) | A | Dividend | J | T | | | | | |
| 19. Pace Small/Medium Co Growth Equity Investments Cl P (PCSGX) | B | Dividend | J | T | | | | | |
| 20. Pace Small/Medium Co Value Equity Investments Cl P (PCSVX) | A | Dividend | J | T | | | | | |
| 21. Pace Strategic Fixed Income Investmetns Cl P (PCSIX) | A | Dividend | J | T | | | | | |
| 22. Pioneer High Yield Fund Cl A (TAHYX) | A | Dividend | J | T | | | | | |
| 23. UNTS Ft Biotechnology Prtfo Ser 48 | B | Dividend | K | T | | | | | |
| 24. Account #2 (H) | | | | | | | | | |
| 25. Fidelity Govt Mmkt Capital Reserves Cl (FZAXX) (cash) | A | Dividend | K | T | | | | | |
| 26. Genworth Financial Inc Com (GNW) | | None | | | Sold | 07/29/21 | J | | |
| 27. SFL Corporation LTD Com (SFL) | | None | | | Sold | 02/25/21 | J | | |
| 28. Vroom Inc Com (VRM) | | None | | | Sold | 12/07/21 | J | | |
| 29. Delaware Covered Call Strategy Instl (FRCDX) | A | Dividend | K | T | | | | | |
| 30. FS Credit Income Fund Cl I (FCRIX) | B | Dividend | K | T | | | | | |
| 31. FS Multi Strategy Alternatives Fd I (FSMSX) | A | Dividend | K | T | | | | | |
| 32. Goldman Sachs Real Estate Diversified Inc W (WRREX) | B | Dividend | K | T | | | | | |
| 33. Predex Fund (PRDEX) | A | Dividend | K | T | | | | | |
| 34. Alternative Credit Income Fd I (RCIIX) | A | Dividend | J | T | Sold (part) | 01/15/21 | 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 | |
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☐ NONE *(No reportable income, assets, or transactions.)*

| | A | B | | C | | D | | | | |
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| 35. | Chiron Capital Allocation Fund Cl I (CCAPX) | A | Dividend | K | T | | | | | |
| 36. | Amplify Online Retail ETF (IBUY) | | None | K | T | Buy | 12/07/21 | K | | |
| 37. | Ark ETF Innovation (ARKK) | A | Dividend | K | T | Buy | 03/19/21 | K | | |
| 38. | First Trust II Consumer Discretionary ETF (FXD) | A | Dividend | K | T | Buy | 12/07/21 | K | | |
| 39. | First Tr Exchange Traded Nas Clnedg Green (GCLN) | A | Dividend | | | Buy | 03/19/21 | K | | |
| 40. | | | | | | Sold | 08/26/21 | K | | |
| 41. | SPDR S&P 500 ETF Trust (SPY) | A | Dividend | | | Buy | 01/08/21 | L | | |
| 42. | | | | | | Sold | 08/26/21 | L | D | |
| 43. | United States Oil Fund Lp Units (USO) | | None | L | T | | | | | |
| 44. | Flexshares Ready Access Variable Income Fund (RAVI) | A | Dividend | K | T | Sold | 01/08/21 | L | | |
| 45. | | | | | | Buy | 09/15/21 | M | | |
| 46. | | | | | | Sold (part) | 12/07/21 | L | | |
| 47. | Account #3 (H) | | | | | | | | | |
| 48. | Franklin MA Dynamic Strategy | | None | L | T | | | | | |
| 49. | Janus Henderson Low Vol VIT | | None | | | Buy (add'l) | 01/04/21 | J | | |
| 50. | | | | | | Sold | 04/02/21 | L | | |
| 51. | Fidelity VIP Target Vol Portfolio | | None | L | T | | | | | |

| | | | | | | |
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| 52. TOPS MR Moderate Growth | | None | L | T | Sold (part) | 01/04/21 | J | | |
| 53. | | | | | Buy (add'l) | 04/02/21 | J | | |
| 54. | | | | | Buy (add'l) | 07/02/21 | J | | |
| 55. ON Janus Henderson Low Vol | | None | L | T | Buy | 04/02/21 | L | | |
| 56. | | | | | Sold (part) | 07/02/21 | J | | |
| 57. Account #4 (H) | | | | | | | | | |
| 58. UBS Bank Deposit Account (cash) | A | Interest | J | T | | | | | |
| 59. Cisco Systems Inc (CSCO) | A | Dividend | J | T | | | | | |
| 60. Coca Cola Co Com (KO) | A | Dividend | J | T | | | | | |
| 61. Johnson & Johnson Com (JNJ) | A | Dividend | J | T | | | | | |
| 62. Microsoft Corp (MSFT) | A | Dividend | K | T | | | | | |
| 63. ETFMG Prime Cyber Security ETF (HACK) | A | Dividend | K | T | | | | | |
| 64. Blackrock Advantage Large Cap Growth Fund Cl A (BMCAX) | C | Dividend | K | T | | | | | |
| 65. Center Coast Brookfield Mlp Focus Fund Cl A (CCCAX) | A | Dividend | J | T | | | | | |
| 66. First Eagle Overseas Fund Cl A (SGOVX) | B | Dividend | K | T | | | | | |
| 67. Mainstay Cushing Mlp Premier Fund Cl A (CSHAX) | A | Dividend | J | T | | | | | |
| 68. Oakmark Intl Fund Class Investor (OAKIX) | A | Dividend | K | T | | | | | |

| | | | | | |
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| 69. Virtus Nfj Mid-Cap Value Fund Cl A (PQNAX) | B | Dividend | K | T | | | | | |
| 70. 13D Activist Fund Cl A (DDDAX) | A | Dividend | M | T | | | | | |
| 71. Unts Ft Biotechnology Prtfo Ser 48 | A | Dividend | K | 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.)*

Account #3 is an Ohio National Life Variable Annuity; underlying assets are listed in Part VII. It is controlled and managed by the filer's former employer. The filer is permitted to adjust percentages of investment for each position, but the timing of any transactions is within the exclusive purview of the manager. Specific transaction dates are not available to the filer. In the absence of more precise information, transactions are reported as of the second business day of the quarter in which they occurred.

Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value, per page 42 of the filing instructions.

| Name of Person Reporting | Date of Report |
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| **Chutkan, Tanya S.** | 08/13/2022 |

## 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/ Tanya S. Chutkan**

**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 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544