

# FINANCIAL DISCLOSURE REPORT

## FOR CALENDAR YEAR 2003

*Report Required by the Ethics  
in Government Act of 1978,  
(5 U.S.C. App. §§101-111)*

<b>1. Person Reporting</b> <i>(Last name, first, middle initial)</i> NEWMAN, PAULINE	<b>2. Court or Organization</b> U.S. Court of Appeals for the Federal Circuit	<b>3. Date of Report</b> 05-17-04
<b>4. Title</b> <i>(Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)</i> Circuit Judge - Active Status	<b>5. Report Type</b> <i>(check appropriate type)</i> ___ Nomination, Date _____ ___ Initial <u> X </u> Annual ___ Final	<b>6. Reporting Period</b> 01/01/03 to 12/31/03
<b>7. Chambers or Office Address</b> 717 Madison Place, N.W., Washington, D.C. 20439	<b>8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations.</b>  Reviewing Officer _____ Date _____	

*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. Sign on last page.*

**I. POSITIONS.** *(Reporting individual only; see pp. 9-13 of Instructions.)*

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
	<input type="checkbox"/> NONE (No reportable positions.)	
1	Advisory & Review Committee	Einstein Institute for Science, Health & the Courts
2	Advisory Committee	George Mason Univ. School of Law, Law & Economics Center
3	Yale Graduate School Wilbur Cross Committee	Yale University

**II. AGREEMENTS.** *(Reporting individual only; see pp. 14-16 of Instructions.)*

	<u>DATE</u>	<u>PARTIES AND TERMS</u>
	<input checked="" type="checkbox"/> NONE (No reportable agreements.)	
1	_____	_____
2	_____	_____

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**III. NON-INVESTMENT INCOME.** *(Reporting individual and spouse; see pp. 17-24 of Instructions.)*

	<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>GROSS INCOME</u>
<b>A. Filer's Non-Investment Income</b>			
	<input type="checkbox"/> NONE (No reportable non-investment income.)		
1	2003	Pension, FMC Corporation, earned before entry on duty.	\$ 35,100.00
2	2003	Royalty, West Publishing Company, textbook	\$ 2,782.92
3	_____	_____	\$ _____

**B. Spouse's Non-Investment Income - If you were married during any portion of the reporting year, please complete this section. (dollar amount not required except for honoraria)**

	<input checked="" type="checkbox"/> NONE (No reportable non-investment income.)		
1	_____	_____	_____
2	_____	_____	_____

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**IV. REIMBURSEMENTS** -- transportation, lodging, food, entertainment.  
*(Includes those to spouse and dependent children. See pp. 25-27 of Instructions.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>
<input type="checkbox"/>	NONE (No such reportable reimbursements.)	
1	AMER. INTELLECTUAL PROPERTY LAW ASSO.	Jan. 22-26, 2003; Marco Island, FL; Meeting; Travel, Lodging and Food
2	FORDHAM UNIVERSITY LAW SCHOOL	Mar. 25-27, 2003; New York, NY; Conference; Travel, Lodging and Food
3	FEDERAL CIRCUIT BAR ASSO.	May 22-25, 2003; Amelia Island, FL; Conference; Travel, Lodging and Food
4	EINSTEIN INSTITUTE FOR SCIENCE, HEALTH AND COURTS	Oct. 11-14, 2003; St. Louis, MO; Conference; Travel, Lodging and Food
5	LIBERTY FUND COLLOQUIM	Oct. 23-26, 2003; Richmond, VA; Colloquim; Travel, Lodging and Food
6	NEW YORK INTELLECTUAL PROPERTY LAW ASSO.	Mar. 28, 2003; New York, NY; Meeting; Travel, Lodging and Food
7	FORDHAM UNIVERSITY LAW SCHOOL	Apr. 23-25, 2003; New York, NY; Conference; Travel, Lodging and Food

**V. GIFTS.** *(Includes those to spouse and dependent children. See pp. 28-31 of Instructions.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
<input checked="" type="checkbox"/>	NONE (No such reportable gifts.)		
1			\$
2			\$
3			\$
4			\$

**VI. LIABILITIES.** *(Includes those of spouse and dependent children. See pp. 32-33 of Instructions.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE*</u>
<input checked="" type="checkbox"/>	NONE (No reportable liabilities.)		
1			
2			
3			
4			
5			

\*Value Codes: 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=\$50,000,001 or more

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**VII. Page 1 INVESTMENTS and TRUSTS -- income, value, transactions** (Includes those of spouse and dependent children. See pp. 34-57 of Instructions.)

Description of Assets (including trust assets)  <i>Place (X) after each asset exempt from prior disclosure</i>	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Code (A-I)	(2) Type (e.g., Div., rent, int.)	(1) Value Code 2 (J-T)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, merger, redemption)	(2) If not exempt from disclosure			
						(2) Date Month Day	(3) Value Code 2 (J-T)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if not same transaction)

NONE (No-reportable income,

1 Canada Southern Petroleum (Common)		None	K	T					
2 Brilund Ltd. (Common)		None			Bankrupt				
3 T. Rowe Price Mutual Funds (New Horizon; Div. Gr.)	B	Div.	M	T					
4 Riggs Bank Accounts	A	Int.	L	T					
5 Vanuard Life Strategy Gr. Mutual Funds	C	Div.	M	T					
6 First Trust Municipal Bond Fund (Oppenheimer)	B	Int.	K	T					
7 First Trust Municipal Bond Fund (Oppenheimer)	B	Int.	J	T					
8 The Financial Mutual Fund	B	Div.	K	T					
9 American Century Growth Mutual Fund	A	Div.	M	T					
10 Oppenheimer Municipal Bond Fund	C	Int.	L	T					
11 American Capital Bond Fund	A	Div.	J	T					
12 Corporate High Yield Mutual Bond Fund (Merrill Lynch)	B	Div.	J	T					
13 Nuveen Municipal Market Opportunity Fund	B	Div.	K	T					
14 Bedford Money Market Portfolio	A	Div.	J	T					
15 Washington Mutual Investment Fund	A	Div.	K	T					
16 Eaton Vance Health Sciences Mutual Fund	A	Div.	K	T					
17 Invesco Health Sci. Mutual Fund	A	Div.	K	T					

1	Income/Gain Codes: (See Col. B1, 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 H=\$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 Col. C1, 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 Col. C2)	Q=Appraisal U=Book value	R=Cost (real estate only) V=Other	S=Assessment W=Estimated	T=Cash/Market	

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Name of Person Reporting <b>NEWMAN, PAULINE</b>	Date of Report <b>05/17/04</b>
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**VII. Page 2 INVESTMENTS and TRUSTS -- income, value, transactions** (Includes those of spouse and dependent children. See pp. 34-57 of Instructions.)

A Description of Assets (including trust assets)  <i>Place "(X)" after each asset exempt from prior disclosure</i>	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period					
	(1)	(2)	(1)	(2)	(3)	If not exempt from disclosure				
	Asset Code1 (A-H)	Type (e.g. div., rent or int.)	Value Code2 (J-P)	Value Method Code (Q-W)	Type (e.g. buy, sell, merger, redemption)	(2) Date: Month/Day	(3) Value Code2 (J-P)	(4) Gain Code1 (A-H)	(5) Identity of buyer/seller (if private transaction)	
<input type="checkbox"/> NONE (No reportable income, assets, or transactions)										
18 Oklahoma Gas & Electric Co. (Common)	A	Div.	J	T						
19 Central & South West Corp. (Common)	B	Div.	J	T						
20 Box Energy Corp.	A	Div.	J	T						
21 American Century Select Mutual Fund	A	Div.	M	T						
22 Rochester Fund Municipal Bond Fund	A	Div.	K	T						
23 MFS Emerging Growth Mutual Fund	A	Div.	M	T						
24 Putnam Europe Mutual Fund	A	Div.	L	T						
25 Davis NY Venture Mutual Fund	A	Div.			Donated					
26 Seligman Comm. & Info. Mutual Fund	C	Div.	L	T						
27 AIM Weingarten Mutual Fund	A	Div.	J	T						
28 Kemper Technology Mutual Fund	A	Div.	K	T						
29 UIT First Trust Bond Fund	A	Div.	J	T						
30 Franklin NY Mutual Fund	A	Div.	K	T						
31 Franklin Flx Cap Growth Mutual Fund	A	Div.	K	T						
32 Enterprise Growth-B Mutual Fund	A	Div.	K	T						
33 Putnam Health Sci. Mutual Fund	C	Div.	L	T						
34 Nasdaq 100 Trust		None	K	T	Buy	1/3	K			
1	Income/Gain Codes: A=\$1,000 or less (See Col. B1, D4) 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: J=\$15,000 or less (See Col. C1, D3) 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: Q=Appraisal (See Col. C2) U=Book value		R=Cost (real estate only) V=Other		S=Assessment W=Estimated		T=Cash/Market			

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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS (Indicate part of Report.)

Part I. POSITIONS (con'd.):

- 4. Trustee Trusts.
- 5. Director Rule of Law Foundation.

Part IV. REIMBURSEMENTS (con'd.):

- 8. ALI-ABA PROGRAM Sept. 18-19, 2003; Boston, MA; Conference; Travel, Lodging and Food.
- 9. GEORGE MASON UNIV. TECH. CENTER Dec. 13-17; Honolulu, HI; Conference; Travel, Lodging and Food.

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



Date May 17, 2004

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. App., § 104.)

FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure  
Administrative Office of the  
United States Courts  
Suite 2-301  
One Columbus Circle, N.E.  
Washington, D.C. 20544