## UNITED STATES COURT OF APPEALS FOR THE FOURTH CIRCUIT

## **DISCLOSURE STATEMENT**

- In civil, agency, bankruptcy, and mandamus cases, a disclosure statement must be filed by **all** parties, with the following exceptions: (1) the United States is not required to file a disclosure statement; (2) an indigent party is not required to file a disclosure statement; and (3) a state or local government is not required to file a disclosure statement in pro se cases. (All parties to the action in the district court are considered parties to a mandamus case.)
- In criminal and post-conviction cases, a corporate defendant must file a disclosure statement.
- In criminal cases, the United States must file a disclosure statement if there was an organizational victim of the alleged criminal activity. (See question 7.)
- Any corporate amicus curiae must file a disclosure statement.
- Counsel has a continuing duty to update the disclosure statement.

No.	Caption:		
Purs	uant to FRAP 26.1 and Local Rule 26.1,		
(nan	ne of party/amicus)		
	o is, makes the following disclosure: ellant/appellee/petitioner/respondent/amicus/intervenor)		
1.	Is party/amicus a publicly held corporation or other publicly held entity?	YES	NO
2.	Does party/amicus have any parent corporations? If yes, identify all parent corporations, including all generations of parent co	YES orporatio	NO ons:
3.	Is 10% or more of the stock of a party/amicus owned by a publicly held cor other publicly held entity? If yes, identify all such owners:	poration YES	or NO

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4.	Is there any other publicly held corporation or other publicly held entity that h financial interest in the outcome of the litigation?  If yes, identify entity and nature of interest:	as a dir YES	ect NO
5.	Is party a trade association? (amici curiae do not complete this question) If yes, identify any publicly held member whose stock or equity value could b substantially by the outcome of the proceeding or whose claims the trade asso- pursuing in a representative capacity, or state that there is no such member:		
6.	Does this case arise out of a bankruptcy proceeding? If yes, the debtor, the trustee, or the appellant (if neither the debtor nor the trustee) must list (1) the members of any creditors' committee, (2) each debtor (caption), and (3) if a debtor is a corporation, the parent corporation and any put corporation that owns 10% or more of the stock of the debtor.	if not in	n the
7.	Is this a criminal case in which there was an organizational victim? If yes, the United States, absent good cause shown, must list (1) each organization of the criminal activity and (2) if an organizational victim is a corporation parent corporation and any publicly held corporation that owns 10% or more of victim, to the extent that information can be obtained through due diligence	on, the	
Signat	ure: Date:		
Counse	el for:		