

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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) Barron , David J.	2. Court or Organization United States Court of Appeals for the First Circuit	3. Date of Report 08/13/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States Circuit Judge, Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2017 to 12/31/2017
7. Chambers or Office Address John J. Moakley United States Courthouse 1 Courthouse Way, Suite 7710 Boston, MA 02210		
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.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Visiting Professor	Harvard Law School
2.	Member	American Society of International Law (ASIL) Judicial Advisory Board
3.		
4.		
5.		

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ NONE (No reportable agreements.)

	<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.		
2.		
3.		

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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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2017	Harvard University - part-time faculty member, salary	\$27,765.00
2. 2017	LEG, Inc. dba West Academic - book royalties	\$1,144.79
3. 2017	Wylie Agency - book royalties	\$20,000.00
4. 2017	Cornell University - book royalties	\$102.87
5. 2017	Pritzker Military Foundation - Colby Award (literary award)	\$5,000.00

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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2017	Harvard University, salary
2. 2017	Juliette Kayyem solutions, LLC
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. University of Colorado Boulder	March 12-15, 2017	Denver and Boulder, CO	Moot court competition	Transportation, meals, hotel
2. Norwich University and Pritzker Military Foundation	April 12-13, 2017	Northfield, VT	Colby award ceremony and guest teaching	Transportation, meals, hotel
3. Pritzker Military Library and Pritzker Military Foundation	June 15-16, 2017	Chicago, IL	Book presentation and speaking engagement	Transportation, meals, hotel
4. (ISC)2, Inc.	September 22-24, 2017	Austin, TX	Conference (guest of spouse)	Transportation, meals, hotel

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5.	Federalist Society	November 17-18, 2017	Washington, DC	Conference	Transportation, meals, hotel
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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
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.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.	Shady Hill School	Tuition Agreements	K
2.	JPMorgan Chase & Co. Bank	Credit Card	J
3.	Morgan Stanley (under The Girls LLC)	Margin Account	N
4.	Security First Mortgage Funding LLC (under Mars-B, Inc. LLC)	Mortgage on rental property, Barrington, RI (Part VII, Line 44)	K
5.	Morgan Stanley Bank N.A. (under Alpha-K Holdings LLC) (See part VIII explanation)	Mortgages on rental props, Montevallo, AL and W. Allis, WI (Part VII, Lines 46 and 47)	O

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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		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)	(5) Identity of buyer/seller (if private transaction)

1. CREF Inflation-Linked Bond Fund	A	Dividend	K	T					
2. CREF Stock Fund	D	Dividend	N	T					
3. Fidelity Massachusetts Municipal Money Market Fund	A	Dividend	J	T					
4. Fidelity Select Biotechnology Portfolio	B	Dividend	M	T					
5. Fidelity Government Money Market Fund (See explanation in Part VIII)	A	Dividend	J	T					
6. Fidelity Select Banking Portfolio (See Explanation in Part VIII)	A	Dividend	J	T					
7. Fidelity Municipal Money Market Fund (See explanation in Part VIII)		None	J	T					
8. TIAA Traditional Annuity	A	Interest	K	T					
9. Vanguard Federal Money Market Fund	A	Dividend	K	T					
10. Vanguard Inst Target Ret 2030 Fund	D	Dividend	N	T					
11. Vanguard Total Bond Mkt Index Inv Fund	A	Dividend	J	T					
12. Vanguard Total Bond Mkt Index Inst Fund	A	Dividend	K	T					
13. Vanguard - New York Times Company Stock Fund	A	Dividend			Merged (with line 14)	12/29/17	J		
14. Vanguard Target Retire 2035 Trust II Fund		None	K	T					
15. Vanguard Tot Intl Stock 1x Inst Fund	A	Dividend	J	T					
16. Vanguard Inst Index Fund	A	Dividend	J	T					
17. Vanguard Extended Mkt Index Inst Fund	A	Dividend	J	T					

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	

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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		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)	(5) Identity of buyer/seller (if private transaction)

18. Vanguard Target Retirement 2040 Fund	B	Dividend	M	T					
19. Vanguard Inst Target Ret 2035 Fund	B	Dividend	M	T					
20. The Girls, LLC (H)-- See Part VIII for explanation									
21. - AMGEN INC (AMGN) common stock	B	Dividend	L	T					
22. - APPLE INC. (AAPL) common stock	A	Dividend	L	T					
23. - BANK OF AMERICA CORP. (BAC) common stock	B	Dividend	M	T					
24. -CHEVRON CORP (CVX) comon stock	A	Dividend	K	T					
25. -DENTSPLY SIRONA INC. (XRAY) common stock	A	Dividend	L	T					
26. -EXPEDITORS INTL WASH INC (EXPD) common stock	A	Dividend	L	T					
27. -GILEAD SCIENCE (GILD) common stock	A	Dividend	J	T					
28. -JPMORGAN CHASE & CO (JPM) common stock	A	Dividend	K	T					
29. -MICROSOFT CORP (MSFT) common stock	A	Dividend	K	T					
30. -ROCKWELL COLLINS INC (COL) common stock	A	Dividend	L	T					
31. -SCHLUMBERGER LTD (SLB) common stock	A	Dividend	J	T					
32. -WELLS FARGO & CO NEW (WFC) common stock	A	Dividend	J	T					
33. -ISHARES NASDAQ BIOTECH ETF (IBB)	A	Dividend	L	T					
34. -ISHARES SELECT DIVIDEND ETF (DVY)	B	Dividend	K	T					

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	

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35. -POWERSHARES QQQ TR (QQQ)	A	Dividend	L	T					
36. -MORGAN STANLEY PRIVATE BANK CASH ACCOUNT	A	Interest	L	T					
37. -INHIBRX LLC common stock	G	Dividend	N	U					
38. -XENCOR INC preferred stock	D	Dividend	J	U					
39. -QUANTUMSPHERE INC (QSIM) common stock		None	K	T					
40. -GENMARK DIAGNOSTICS (GNMK) common stock		None	L	T					
41. -ZEMCAR INC common stock		None	K	U					
42. Mars-B, Inc. LLC (H) - See Part VIII for explanation									
43. - Non-reportable loan (listed here for income purposes only)	D	Interest							
44. - Rental Property, Barrington, RI (value) See explanation in Part VIII	D		O	V					
45. - Alpha-K Holdings LLC (H) - See explanation in Part VIII									
46. - Rental Property, Montevallo, AL(value) See explanation in Part VIII	E	Rent	N	V					
47. - Rental Property, W Allis, WI (value) - See explanation in Part VIII	E	Rent	N	V					
48. Juliette Kayyem Solutions, LLC - See explanation in Part VIII		None	N	W					
49. U.S. Government Securities - Series EE Bonds	A	Interest	J	T					
50. FOK Holdings LLC (H) - See explanation in Part VIII									
51. - Rental Property, Hellertown, PA (value) See explanation in Part VIII	G	Rent	P1	V					

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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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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52. - Rental Property, Lebanon, PA (value) - See explanation in Part VIII	G	Rent	P1	V					
53. - Rental Property, Punxsutawney, PA (value) - See expl. in Part VIII	G	Rent	P1	V					
54. ZEMCAR INC common stock (X)		None	K	U					
55. Bank of America, cash accounts	A	Interest	K	T					

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

Part VI:

Line 5: Both properties are held under one mortgage and thus listed on the same line.

Part VII:

Line 5-7: These holdings were acquired in 2016 and inadvertently left off of the 2016 report.

Lines 20 and 42: On the basis of new advice of the Financial Disclosure Office and in accord with the instructions, the individual investment holdings of The Girls LLC (Lines 21-41) and Mars B, Inc. LLC (Lines 44-47) are now reportable. Line 43 under Mars-B is non-reportable income and is listed in Part VII for income purposes only.

Line 44: The income reflected for this property is received in connection with Internal Revenue Code 467. Column B(2) is left blank on the advice of the Financial Disclosure Office.

Line 45: Alpha K Holdings LLC is owned by Mars B, Inc. LLC. The real estate properties in Lines 46 and 47 are held by Alpha-K Holdings LLC.

Lines 44, 46, 47 and 51-53: Fair market value of the real estate properties was determined by comparable sales prices in each area.

Line 48: In accord with the advice of the Financial Disclosure Office, no income is reported for Juliette Kayyem Solutions, LLC in Column B, given the nature of its holdings. The total value of assets of the LLC are reflected by the valuation in Column C.

Line 50: FOK Holdings LLC was not included in previous reports because the filer was unaware of it being a reportable entity. On advice of the Financial Disclosure Office, the liabilities of this entity are not listed in Part VI in light of the nature of the reportable interest in the LLC being a future interest.

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

Signature: s/ **David J. Barron**

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
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Washington, D.C. 20544