

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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 08/7/2017
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 01/01/2016 to 12/31/2016
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Visiting Professor	Harvard Law School
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.	

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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. 2016	Harvard University - part-time faculty member, salary	\$27,495.00
2. 2016	LEG, Inc. dba West Academic - book royalties	\$1,566.00
3. 2016	Wylie Agency - book royalties	\$45,000.00
4. 2016	Cornell University - book royalties	\$107.00

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. 2016	Harvard University, salary
2. 2016	Self-employed security consultant
3. 2016	The Gernert Company, book royalties
4. 2016	Juliette Kayyem Solutions LLC (see explanation in Part VIII)

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 Pennsylvania Law School	1/28/16-1/29/16	Philadelphia, PA	Moot Court Competition	Transportation, meals, hotel
2. University of Chicago Law School	2/28/16-3/1/16	Chicago, IL	Edward Levi Distinguished Visiting Jurist Program	Transportation, meals, hotel
3. Sun Valley Writers' Conference	7/10/16-7/16/16	Sun Valley, ID	Book presentation	Transportation, meals, lodging
4. Simon and Schuster	10/16/16-10/17/16	Philadelphia, PA	Book presentation	Transportation, meals, hotel
5. Simon and Schuster	11/5/16-11/6/16	Washington, DC	Book presentation	Transportation

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6.	Miami Dade College - Miami Book Fair	11/18/16-11/20/16	Miami, FL	Book presentation	Transportation, hotel, meals
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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	L
2.	Capital One	Credit Card	J
3.			
4.			
5.			

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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	E	Dividend	M	T					
3. Fidelity Massachusetts Municipal Money Market Fund	A	Dividend	J	T					
4. Fidelity Select Biotechnology Portfolio	C	Dividend	M	T					
5. TIAA Traditional Annuity	A	Interest	K	T					
6. Vanguard Prime Money Mkt Fund (Y)									
7. Vanguard Federal Money Market Fund (X)	A	Dividend	K	T					
8. Vanguard Target Retirement 2030 Fund (Y)									
9. Vanguard Inst Target Ret 2030 Fund (X)	D	Dividend	N	T					
10. Vanguard Total Bond Mkt Index Inv (See explanation in part VIII)	A	Dividend							
11. Vanguard Total Bond Mkt Index Inst	A	Dividend	K	T					
12. The Girls, LLC	F	Int./Div.	P1	T					
13. Mars-B, Inc. (See Part VIII for explanation)	F	Rent	O	R					
14. Mars-B, Inc. (see Part VIII for explanation)	D	Interest	O	T					
15. Juliette Kayyem Solutions, LLC (See explanation in Part VIII)		None	N	W					
16. U.S. Government Securities - Series EE Bonds	A	Interest	J	T					
17. New York Times Company Stock 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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18. Vanguard Target Retire 2035 Trust II	A	Dividend	J	T					
19. Vanguard Tot Intl Stock Ix Inst	A	Dividend	J	T					
20. Vanguard Inst Index Fund Inst	A	Dividend	J	T					
21. Vanguard Extended Mkt Index Inst	A	Dividend	J	T					
22. Vanguard Target Retirement 2040 Fund	D	Dividend	L	T					
23. Vanguard Target Retirement 2035 (See explanation in Part VIII)	D	Dividend							
24. Vanguard Inst Target Ret 2035 Fund (X)	C	Dividend	M	T					
25. Bank of America, cash accounts	A	Interest	K	T					

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

Part VII:

Lines 10 & 23: Both funds were sold and reinvested under the retirement plan, which generated income over \$200 during the year, while had no value at the year end.

Lines 13 & 14: The filer has listed Mars-B in Section VII, as per last year. On advice of the Committee and in accord with the instructions, the filer is not listing the real estate or other holdings of the LLC, all of which are related to the business of Mars-B. However, the amount of the gross rents received by the LLC proportioned to the [REDACTED] of the filer is reported in Column B. The amount information was inadvertently omitted from the 2015 report.

Line 15: No income is reported for Juliette Kayyem Solutions, LLC in Column B, given the nature of its holdings. The total value of the assets of the LLC are reflected by the valuation in Column C.

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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
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