

United States Court of Appeals
District of Columbia Circuit
Washington, DC 20001

Douglas H. Ginsburg
Circuit Judge

Telephone (202) 216-7190


September 26, 2008

The Honorable Orlie D. Smith
Chair, Committee on Financial Disclosure
Judicial Conference of the United States
One Columbus Circle, N.E.
Washington, D.C. 20544

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2008 OCT - 6 A 10:25
FINANCIAL
DISCLOSURE OFFICE

Re: Financial Disclosure Report for Calendar Year 2007

Dear Judge Smith:

In response to your letter of September 19, 2008, the following information is submitted as an amendment to my report dated August 13, 2008:

Part VII, page 7, line 39 listing WYE: A notation of (X) should be used because this asset became reportable through an exempt transaction.

"Fidelity Muni MMF" listed in Part VII, page 5, line 7 of the report for 2006 was not listed in the report for 2007 due to a reduction in income and value and therefore should be listed in Column A of Part VII and designated with (Y).

Thank you for your efforts on behalf of the Committee.



FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2007

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) Ginsburg, Douglas H	2. Court or Organization D.C. Circuit	3. Date of Report 08/13/2008
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Chief Judge	5a. Report Type (check appropriate type) ☐ Nomination, ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2007 to 12/31/2007
7. Chambers or Office Address U.S. Courthouse 333 Constitution Avenue, NW Washington, DC 20001	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. 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 filing instructions.)

☐ NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Lecturer of Law	University of Chicago Law School
2. Visiting Professor of Law	George Mason University School of Law
3. Visiting Scholar	New York Law School
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. 2007	George Mason University	\$ 7,780
2. 2007	University of Chicago	\$ 17,000
3. 2007	New York Law School (See VIII for additional information)	\$ 8,000
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
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.)*

	<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.	Mount Pelerin Society and Atlas Foundation	02/25-28/07	Kenya	Conference	Travel related expenses
2.	George Mason University	01/01-12/31/07	Arlington, VA	Academic Support	Books, miscellaneous expenses
3.	New York Law School	01/01-12/31/07	New York, NY	Teaching	Travel related expenses
4.	NY Intellectual Property Law Association	3/23-26/07	New York, NY	Annual Dinner	Travel related expenses
5.	University of Virginia School of Law	3/30-31/07	Charlottesville, VA	Moot Court	Travel related expenses
6.	Case Western University School of Law	04/04-05/07	Cleveland, OH	Faculty Workshop	Travel related expenses

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7.	Cornell Law School	4/13-15/07	Ithaca, NY	Moot Court	Travel related expenses
8.	University of Chicago School of Law	1/01-12/31/07	Chicago, IL	Teaching	Travel related expenses
9.	Foundation for Research on Economics and the Environment	07/22-25/07	Bozeman, MT	Conference	Travel related expenses
10.	American Bar Association	08/14-18/07	Whistler, BC, Canada	Meeting	Travel related expenses
11.	LECG, LLC	10/26-28/07	Lake Como, Italy	Speech	Travel related expenses
12.	University College, London	11/01-02/07	London, England	Faculty Workshop	Travel related expenses
13.	Lisbon Conference on Competition Law and Economics	11/15-16/07	Lisbon, Portugal	Speech	Travel related expenses
14.	Federalist Society	12/02-04/07	New York, NY	Speech	Travel related expenses
15.	Federalist Society, Lawyers Chapter	12/26/07	St. Louis, MO	Speech	Travel related expenses

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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. Waiver of monthly dues	University Club of Washington	\$ 2,040
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.		
2.		
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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. TIAA/CREF retirement account		None	PI	T					
2. ALLP com		None	J	T	SELL part.	12/26	J	A	
3. SEP IRA acct (owns additional ALLP com)		None	J	T					
4. Creditriskmonitor.com (CRMZ.com)		None			SELL	12/26	J	A	
5. Graham Field Health Prods.com (GFIHQ com)		None			SELL	12/26	J	A	
6. TBMH com		None			SELL	12/26	J	A	
7. WDMG com		None	J	T	BUY	1/9	J		
8. WDMG.com		None	K	T	BUY	5/22	J		
9. WBRXX (X)	A	Dividend	J	T					
10. CVX (X)	B	Dividend	L	T					
11. CYBS (X)		None	K	T					
12. DKS (X)		None	M	T					
13. ECL (X)	A	Dividend	L	T					
14. EPD (X)	D	Dividend	K	T	SELL part.	12/03	J	B	
15. FAST (X)	C	Dividend	M	T					
16. HWAY (X)		None	L	T					
17. ICAD (X)		None	J	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000 R = Cost (Real Estate Only) V = Other	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000 S = Assessment W = Estimated	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000 T = Cash Market	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)					
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value				

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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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
18. IDXX (X)		None	L	T					
19. IRM (X)		None	L	T					
20. IBB (X)		None	J	T					
21. TYPE (X)		None	K	T	BUY	10/05	K		
22. NTRS (X)	B	Dividend	L	T					
23. PAYX (X)	B	Dividend	L	T	SELL part.	9/27	L	E	
24. PEP (X)	A	Dividend	K	T					
25. SLH (X)		None	K	T	BUY	10/17	K		
26. SBUX (X)		None	K	T					
27. SRCL (X)		None	M	T					
28. WFMI (X)	A	Dividend	K	T	BUY	10/26	J		
29. BHP(X)	A	Dividend	K	T					
30. NVS (X)	A	Dividend	J	T					
31. RBA (X)	A	Dividend	L	T					
32. TMGX+ (X)	C	Dividend	N	T					
33. C (X)	D	Dividend	J	T	SELL part.	12/3	K	E	
34. XOM (X)	D	Dividend	O	T					

1. Income Gain Codes:
(See Columns B1 and D4)

A = \$1,000 or less
F = \$50,001 - \$100,000
J = \$15,000 or less
N = \$250,001 - \$500,000
P3 = \$25,000,001 - \$50,000,000

B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000
K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)
V = Other

C = \$2,501 - \$5,000
H1 = \$1,000,001 - \$5,000,000
L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000
P4 = More than \$50,000,000
S = Assessment
W = Estimated

D = \$5,001 - \$15,000
H2 = More than \$5,000,000
M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000

T = Cash Market

E = \$15,001 - \$50,000

2. Value Codes
(See Columns C1 and D3)

3. Value Method Codes
(See Column C2)

Q = Appraisal
U = Book Value

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☐ NONE (No reportable income, assets, or transactions.)

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35. GE (X)	D	Dividend	M	T					
36. MHS (X)		None	K	T					
37. MRK (X)	B	Dividend	L	T					
38. QSGI (X)		None	J	T					
39. WYE	B	Dividend	K	T	SELL part.	12/3	K	E	
40. RDS A (X)	D	Dividend	M	T					
41. PHK (X)	E	Dividend	M	T					
42. VA STATE PUB SCH (X)	D	Dividend	M	T					
43. AA (X)	A	Dividend	J	T					
44. ALLP (X)		None	J	T					
45. MO (X)	C	Dividend	M	T					
46. AIG (X)	A	Dividend	J	T					
47. AMGN (X)		None	J	T					
48. BAC (X)	A	Dividend	J	T					
49. CYBS (X)		None	K	T					
50. GS (X)	A	Dividend	L	T					
51. JNJ (X)	A	Dividend	K	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
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52. JPM (X)	B	Dividend	K	T					
53. NYX (X)	A	Dividend	K	T					
54. QCOM (X)	A	Dividend	J	T					
55. SHLD (X)		None	K	T	BUY	11/29	K		
56. SHLD (X)		None			SELL	12/31	K		
57. WRIGLEY CL B CONV (X)	A	Dividend	J	T					
58. ZOLT(X)		None	J	T					
59. NVS (X)	A	Dividend	J	T					
60. SKT (X)	A	Dividend	K	T					
61. BA (X)	A	Dividend	K	T					
62. CSCO (X)		None	J	T					
63. CDE (X)		None	J	T					
64. DVN (X)	A	Dividend			SELL	12/3	K	E	
65. INTC (X)	A	Dividend	J	T					
66. KMP (X)	B	Dividend	K	T					
67. MMP (X)	A	Dividend			SELL	12/3	J	C	
68. MSFT (X)	A	Dividend			SELL	12/3	K	C	

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69. EWJ (X)	A	Dividend	J	T	SELL part.	12/3	K		
70. AEE (X)	B	Dividend	L	T					
71. T (X)	A	Dividend	J	T	BUY	10/01	J		
72. BP (X)	D	Dividend	M	T					
73. CAT (X)	A	Dividend	K	T					
74. KO (X)	A	Dividend	K	T					
75. ESRX (X)		None	L	T	BUY	9/24	K		
76. ESRX (X)		None	K	T	BUY	10/1	K		
77.									
78. IBM (X)	A	Dividend	K	T					
79. OCFC (X)	B	Dividend	K	T	BUY	10/29	J		
80. PULB (X)	B	Dividend	L	T					
81. SLB (X)	B	Dividend	M	T					
82. STEC (X)		None	K	T					
83. TRV (X)	A	Dividend	J	T					
84. USU (X)		None	K	T	BUY	10/23	K		
85. XEL (X)	A	Dividend	K	T					

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2. Value Codes (See Columns C1 and D3)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	
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86. ZMH (X)		None	K	T					
87. ATK (X)		None	L	T					
88. APFC (X)		None	L	T					
89. BCS (X)	B	Dividend	K	T					
90. CRNT (X)		None	K	T					
91. EFSC (X)	A	Dividend	K	T					
92. SFI (X)	B	Dividend	K	T					
93. KIM (X)	A	Dividend	J	T					
94. LSI (X)		None	K	T					
95. MON (X)	A	Dividend	K	T					
96. NOBH (X)	B	Dividend	L	T					
97. ONNN (X)		None	K	T					
98. PCYO (X)		None	K	T					
99. SNY (X)	A	Dividend	K	T					
100. STEC (X)		None	K	T					
101. TNE (X)		None	K	T					
102. TMCO (X)		None	M	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
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103. TACT (X)		None	J	T	BUY	11/08	J		
104. TACT (X)		None			SELL	12/26	J		
105. HPQ (X)	A	Dividend	K	T					
106. UNH (X)	A	Dividend	J	T					
107. BKD (X)	A	Dividend			SELL	10/26	J		
108. BKD (X)	A	Dividend			SELL	11/19	J		
109. WB (X)	A	Dividend			SELL	12/3	K	E	
110. EWZ (X)		None			SELL	12/3	K	C	
111. EWQ (X)	A	Dividend			SELL	12/3	K	A	
112. LYO (X)	A	Dividend			SELL	12/3	K	D	
113. LYO (X)	A	Dividend			SELL	12/20	J	B	
114. LYO (X)	A	Dividend			SELL	12/20	J	B	
115. LYO (X)	A	Dividend			SELL	12/20	J	B	
116. PFE (X)	A	Dividend			SELL	12/3	K		
117. CHCR (X)		None			SELL	12/26	J		
118. TGC (X)		None			SELL	12/26	J		
119. Stephens Family Holdings, L.C. (X)	C	Int./Div.	K	W					

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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
120. Stephens Family Partnership, L.P. (X)	F	Dividend	O	W					
121.									
122.									

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

Part III-A. Non-Investment Income

Re: Recipients of Payments Made to Charitable Organizations in Lieu of Honoraria in 2007

Recipient	Donor	Date	Amount
Southern Appalachian Mountain Stewards, Inc.	NYLS	4/2/07	\$1,000
Cornell University - Cornell Annual Fund	NYLS	4/1/07	500
Foundation for Research in Economics and the Environment	NYLS	4/2/07	1,000
Metropolitan Museum of Art	NYLS	4/2/07	120
Lombardi Cancer Center	NYLS	8/9/07	100
Washington Opera Company	NYLS	8/9/07	250
Youth Leadership Foundation	NYLS	8/9/07	250
Rappahannock County Conservation Alliance	NYLS	8/9/07	250
Orthodox Christian Mission Center	NYLS	8/9/07	250
The Jesuits	NYLS	8/9/07	500
Tribe of Heart	NYLS	8/9/07	280
Atlas Economic Research Foundation	NYLS	8/9/07	250
Washington Volunteer Fire and Rescue, Inc.	NYLS	8/9/07	250
The Chateauville Foundation	NYLS	10/31/07	1,000
SouthWings, Inc.	NYLS	10/31/07	200
Hunt Staff Benefit Foundation	NYLS	10/31/07	300
St. Martin de Porres School	NYLS	10/31/07	500
French-American Cultural Foundation	NYLS	11/26/07	1,000
TOTAL			\$8,000

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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

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