

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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) Rothstein, Barbara J.	2. Court or Organization US Courts	3. Date of Report 08/18/2015
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) US District Court Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2014 to 12/31/2014
7. Chambers or Office Address US District Court Washington, D.C. 20001		
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.		
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.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1.		
2.		
3.		
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.)*

DATE	SOURCE AND TYPE
1. 2014	Medical Faculty Associates, Wages
2. 2014	Self Employed Consultant Fees
3. 2014	Required Minimum Distribution, Retirement Plan
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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. Huron Legal Institute	September 9, 2014	New York City, NY	E-Discovery Practice Conference, Participant	Transportation, Meals, Lodging
2. New York University	November 6-7, 2014	New York City, NY	NYU Consumer Conference, Participant	Transportation, Meals, Lodging
3. New York University	December 9-10, 2014	New York City, NY	Center on Civil Justice Advisory Meeting, Participant	Transportation, Meals, Lodging
4.				
5.				

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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.	JP Morgan Chase	Mortgage on Rental #1, Redmond, WA (Part VII Line 11)	L
2.	Wells Fargo Bank	Mortgage on Rental #2, Strasburg VA (Part VII Line 13)	L
3.	Wells Fargo Bank	Mortgage on Rental #3, Strasburg VA (Part VII Line 14)	L
4.	City National Bank	Mortgage on Rental #4, Strasburg VA (Part VII Line 15)	L
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. Amcol Common	A	Dividend			Sold	05/12/14	K	D	
2. Kinder Morgan Inc.	A	Dividend	J	T					
3. EQT Corporation	A	Dividend	L	T					
4. Motorola Solutions Inc	A	Dividend	K	T					
5. American Euro Pacific Growth Fnd C	A	Dividend	M	T					
6. American New World Fnd C	A	Dividend	M	T					
7. Vanguard Inter Term T/E Inv Cl	B	Dividend	L	T					
8. US Bancorp Account	A	Interest	J	T					
9. Capital One Bank	A	Interest	K	T					
10. NA Properties Ltd Partnership	A	Interest	J	U					
11. Rental House Redmond, WA (1999 \$172,000)	E	Rent	M	R					
12. New Horizon Capital III, LP	A	Interest	L	U					
13. Rental Townhouse Strasburg, VA (2009 \$135,000)	D	Rent	M	R					
14. Rental House Strasburg, VA (2012 \$150,000)	C	Rent	M	R					
15. Rental House, Strasburg, VA (2013, \$150,000)	B	Rent	M	R					
16. America Movil Ads	C	Dividend	M	T					
17. Emulex Corp. Common		None	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 ~\$250,000,001 - \$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. 3M Company	C	Dividend	M	T					
19. Xcel Energy	A	Dividend	J	T					
20. PPL Corp.	A	Dividend	J	T					
21. Life Technologies Corp		None			Sold	02/05/14	K	E	
22. Costco Wholesale Corp. Common	B	Dividend	M	T					
23. Western Asset HI Inc.	B	Dividend	K	T					
24. Starbucks Common	D	Dividend	O	T					
25. Nuveen Quality Preferred Income FD	A	Interest	J	T					
26. Home Depot Inc. Common	B	Dividend	M	T					
27. General Electric Co. Common	B	Dividend	L	T					
28. Morgan Stanley Cap. Trust	B	Dividend	K	T					
29. CHS Cooperatives Preferred	B	Dividend	K	T					
30. Associated Bank BIDF		None			Closed	01/01/14	K		
31. BB&T Bank BIDF	A	Interest	M	T					
32. GE Capital Bank BIDF	A	Int./Div.			Closed	12/04/14	M		
33. Citizens Bank BIDF		None			Closed	01/01/14	N		
34. Columbus Bank & Trust BIDF		None			Closed	01/01/14	L		

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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 \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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35. NY Community Bank BDF	A	Int./Div.			Closed	06/15/14	K		
36. Deutsche Bank, NY	A	Int./Div.			Closed	08/15/14	K		
37. The Bank of East Asia, Limited	A	Int./Div.	M	T	Open	01/01/14	M		
38. Talmer Bank and Trust	A	Int./Div.	M	T	Open	06/15/14	M		
39. CMS Energy	A	Dividend	J	T					
40. Prothena Corp. (Y)									
41. Pioneer Floating Rate Trust (PHD)	A	Dividend	J	T					
42. Eaton Vance Enhanced Equity Income Fund	B	Dividend	K	T					
43. Tesoro Logistics LP	D	Distribution	M	T					
44. RMR RE Fund	A	Dividend	J	T					
45. Dreyfus Premier Greater China Fund		None	K	T					
46. Eaton Vance Greater China Fund CI A	A	Dividend	K	T					
47. Allianz	C	Dividend	K	T					

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

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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/ **Barbara J. Rothstein**

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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