

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

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 07/29/2013
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 01/01/2012 to 12/31/2012
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 8

Name of Person Reporting

Rothstein, Barbara J.

Date of Report

07/29/2013

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.		
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2012	Medical Faculty Associates, Wages
2. 2012	Self Employed Consultant Fees
3. 2012	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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. Duke University	January 30, 2012	Durham, NC	Speaker, Panel Participant	Transportation
2. Avon Global Center for Women & Justice	March 7-11, 2012	New York, NY	Session Leader	Transportation, Lodging, Meals
3. Canadian Institute	September 21, 2012	Toronto, Ontario, Canada	Speaker	Transportation, Meals
4. Avon Global Center for Women & Justice	October 17-19, 2012	Ithaca, NY	Moderator, Panel Participant	Transportation, Meals
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 8

Name of Person Reporting

Rothstein, Barbara J.

Date of Report

07/29/2013

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 13)	L
2.	Wells Fargo Bank	Mortgage on Rental #2, Strasburg VA (Part VII Line 15)	L
3.	Wells Fargo Bank	Mortgage on Rental #3, Strasburg VA (Part VII Line 16)	L
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 8

Name of Person Reporting

Rothstein, Barbara J.

Date of Report

07/29/2013

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	J	T					
2. Kinder Morgan Inc.(Formerly El Paso Corp.)	A	Dividend	J	T					
3. EQT Corporation	A	Dividend	K	T					
4. Motorola Solutions Inc	A	Dividend	K	T					
5. Motorola Mobility Holdings		None			Sold	05/22/12	J		
6. New York Muni Income		None			Redeemed	01/19/12	J		
7. American Euro Pacific Growth Fnd C	A	Dividend	L	T					
8. American New World Fnd C	A	Dividend	M	T					
9. Vanguard Inter Term T/E Inv C1	B	Dividend	L	T					
10. US Bancorp Account	A	Interest	J	T					
11. Capital One Bank	A	Interest	K	T					
12. NA Properties Ltd Partnership	A	Interest	J	U					
13. Rental House Redmond,WA (1999 \$172,000)	E	Rent	M	R					
14. New Horizon Capital III, LP	A	Interest	L	U					
15. Rental Townhouse Strasburg, VA (2009 \$135,000)	D	Rent	M	R					
16. Rental House Strasburg, VA (2012 \$150,000)	C	Rent	M	R	Buy	02/25/12	M		
17. America Movil Ads	B	Dividend	M	T					

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

FINANCIAL DISCLOSURE REPORT

Page 5 of 8

Name of Person Reporting

Rothstein, Barbara J.

Date of Report

07/29/2013

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. Bank One Capital Trust VI	A	Interest	J	T	Redeemed (part)	04/30/12	K		
19. Elan Corp. Common		None	K	T					
20. Emulex Corp. Common		None	J	T					
21. 3M Company	B	Dividend	L	T					
22. XCel Energy	A	Dividend	J	T					
23. PPL Corp.	A	Dividend	J	T					
24. Life Technologies Corp		None	K	T					
25. Costco Wholesale Corp. Common	A	Dividend	L	T					
26. Western Asset HI Inc.	B	Dividend	K	T					
27. Starbucks Common	D	Dividend	O	T					
28. Nuveen Quality Preferred Income FD	A	Interest	J	T					
29. Bancorpsouth Cap Tr. Preferred	B	Interest	K	T					
30. Home Depot Inc. Common	B	Dividend	L	T					
31. General Electric Co. Common	B	Dividend	L	T					
32. Morgan Stanley Cap. Trust	B	Dividend	K	T					
33. CHS Cooperatives Preferred	B	Dividend	K	T					
34. Associated Bank BIDF	A	Interest	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
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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 8

Name of Person Reporting

Rothstein, Barbara J.

Date of Report

07/29/2013

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)

35. BB&T Bank BDIF	A	Interest	M	T					
36. Bank of America BDIF	A	Interest	L	T	Open	01/01/12	L		
37. East West Bank BDIF		None			Closed	01/01/12	L		
38. Citizens Bank BDIF	A	Interest	M	T					
39. CMS Energy	A	Dividend	J	T					
40. Pioneer Floating Rate Trust (PHD)	B	Dividend	K	T					
41. Eaton Vance Enhanced Equity Income Fund	B	Dividend	J	T					
42. Eaton Vance Enhanced Equity Income Fd II	D	Interest	M	T					
43. RMR RE Fund	A	Dividend	J	T					
44. Dreyfus Premier Greater China Fund		None	K	T					
45. Eaton Vance Greater China Fund CI A	A	Dividend	K	T					
46. NJF Dividend Interest Premium Strategy Fund	C	Dividend	K	T					
47. Dell, Inc		None	J	T					
48. ETrade Money Market Funds	A	Interest	L	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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 8

Name of Person Reporting

Rothstein, Barbara J.

Date of Report

07/29/2013

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

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

Rothstein, Barbara J.

Date of Report

07/29/2013

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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544