

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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) BROWN, JANICE R.	2. Court or Organization U.S.C.A, D.C. CIRCUIT	3. Date of Report 5/9/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) CIRCUIT JUDGE	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2011 to 12/31/2011
7. Chambers or Office Address 333 CONSTITUTION AVENUE, N.W. WASHINGTON, D.C. 20001		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the <i>NONE</i> box for each part where you have no reportable information. Insert signature on last page.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. REGENT	PEPPERDINE UNIVERSITY
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. 2011	CALIFORNIA JUDGES RETIREMENT SYSTEM, PENSION DEFERRED TO 2014
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 6

Name of Person Reporting

BROWN, JANICE R.

Date of Report

5/9/2012

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. 2011	PENSION	\$144,157.00
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. 2011	OLD TOWN TROLLEY
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. Federalist Society	1/14-15/2011	VT Law School, South Royalton, VT	Speech	Transportation, lodging
2. Federalist Society	2/10/2011	Wake Forest LS, Winston-Salem, NC	Speech	Transportation
3. Stanford University	9/20-22/2011	Stanford, CA	Speech	Transportation, food, lodging
4. Council of Chief Judges of State Courts of Appeal	10/23-24/2011	Miami, FL	Participate on conference panel	Transportation, lodging
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 6

Name of Person Reporting

BROWN, JANICE R.

Date of Report

5/9/2012

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

1.

2.

3.

4.

5.

FINANCIAL DISCLOSURE REPORT

Page 4 of 6

Name of Person Reporting

BROWN, JANICE R.

Date of Report

5/9/2012

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. JUDICIAL FEDERAL CREDIT UNION	A	Interest	K	T					
2. 401(k) Account:									
3. TD Asset Management US Govt Portfolio		None	J	T	Buy	01/03/11	J		
4. ISHARES IBOXX & Inv. Grade Corp. Bond Fund		None	K	T	Buy	01/03/11	K		
5. ISHARES S&P NA Nat. Res. Sector Index Fund		None	J	T	Buy	01/03/11	J		
6. ISHARES Midcap 400 Index Fund		None	J	T	Buy	01/03/11	J		
7. ISHARES Russell 1000 Value Index		None	K	T	Buy	01/03/11	K		
8. Vanguard REIT ETF Index		None	J	T	Buy	01/03/11	J		
9. Vanguard Growth ETF MSCI US Prime Mkt		None	K	T	Buy	01/03/11	K		
10. DFA Two-Year Global Fixed Income MUTF		None	J	T	Buy	01/03/11	J		
11. DFA US Large Cap Value MUTF		None	K	T	Buy	01/03/11	K		
12. DFA Large Cap International Portfolio MUTF		None	J	T	Buy	01/03/11	J		
13. DFA Intermediate Gov't Fixed-Income MUTF		None	K	T	Buy	01/03/11	K		
14. DFA Five-Year Global Fixed-Income MUTF		None	J	T	Buy	01/03/11	J		
15. DFA International Value MUTF		None	J	T	Buy	01/03/11	J		
16.									
17.									

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 - \$500,000.000	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	
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 5 of 6

Name of Person Reporting

BROWN, JANICE R.

Date of Report

5/9/2012

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

All investments and assets reported in Section VII of 2010 Financial Report were rolled over into a new 401(k) account during the current reporting period. No income was received.

FINANCIAL DISCLOSURE REPORT

Page 6 of 6

Name of Person Reporting	Date of Report
BROWN, JANICE R.	5/9/2012

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/ **JANICE R. BROWN**

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