

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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) Bates, John D.	2. Court or Organization U.S. District Court for the District of Columbia	3. Date of Report 05/14/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) District Judge - Article III (senior)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2017 to 12/31/2017
7. Chambers or Office Address 333 Constitution Avenue NW Washington, DC 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 11

Name of Person Reporting

Bates, John D.

Date of Report

05/14/2018

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. 2017	University of Arizona, Rogers School of Law, income for teaching	\$4,000.00
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. 2017	Maret School, Washington DC
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.				
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 11

Name of Person Reporting

Bates, John D.

Date of Report

05/14/2018

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 11

Name of Person Reporting

Bates, John D.

Date of Report

05/14/2018

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. Wells Fargo Account	A	Interest	J	T					
2. Morgan Stanley - IRA - C:									
3. -- Auto Data Proc - Common	A	Dividend	K	T					
4. -- Bank of Amer. - Preferred	C	Dividend	K	T	Buy	01/04/17	J		
5. -- Adobe Sys. - Common		None	L	T					
6. -- Apple Inc. - Common	A	Dividend	L	T					
7. -- Brighthouse Financial - Common		None	J	T	Distributed (part)	08/04/17	J		
8. -- Cisco Sys. Common	B	Dividend	K	T					
9. -- Chevron Corp. Common	B	Dividend	L	T					
10. -- CINN Financial Corp. Common	B	Dividend	L	T					
11. -- Illinois Tool Works Common	B	Dividend	L	T					
12. -- Dow Chem Common	A	Dividend	K	T					
13. -- Clearbridge Energy MLP Fund	C	Dividend	K	T					
14. -- Enterprise Prod. - Common	B	Dividend	K	T					
15. -- Micro FCS		None	J	T	Distributed (part)	09/07/17	J		
16. -- HP Inc. - Common	A	Dividend	K	T					
17. -- Hewlett Packard Enter. - Common	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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 11

Name of Person Reporting

Bates, John D.

Date of Report

05/14/2018

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. -- Home Depot - Common	B	Dividend	M	T					
19. -- JP Morgan Chase & Co. - Common	B	Dividend	L	T					
20. -- Johnson & Johnson - Common	B	Dividend	L	T					
21. -- L3 Technologies - Common (formerly known as L3 Communications)	A	Dividend	K	T					
22. -- Marriott Int'l - Common	A	Dividend	L	T					
23. -- McDonalds - Common	A	Dividend	K	T	Sold (part)	05/04/17	J	C	
24. -- MetLife - Common	A	Dividend	J	T					
25. -- Morgan Stanley - Common	A	Dividend	J	T					
26. -- Vodaphone Group - Common	A	Dividend	J	T					
27. -- Omnicor - Common	A	Dividend	K	T					
28. -- Pfizer - Common	B	Dividend	K	T					
29. -- Pepsi Co. - Common	C	Dividend	L	T	Sold (part)	03/21/17	K	D	
30. -- Principal Fin'l - Common	A	Dividend	J	T					
31. -- Procter & Gamble - Common	B	Dividend	L	T					
32. -- Apollo Inv. Corp.	C	Interest	K	T	Buy	01/04/17	J		
33. -- Maiden Hldgs. NA	C	Interest			Buy	01/04/17	J		
34.					Sold	12/19/17	K	A	

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 11

Name of Person Reporting

Bates, John D.

Date of Report

05/14/2018

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. -- CSX Corp. - Common	A	Dividend			Sold	04/20/17	K	E	
36. -- MS Liquid Asset Fund	A	Interest	N	T					
37. -- Verizon Common	B	Dividend	K	T					
38. -- First TR MLP & ENRG fund	C	Dividend	K	T					
39. --Ishares Russell 2000 ETF	A	Dividend	L	T					
40. --Blackrock - Common	A	Dividend	K	T					
41. --Occidental Petroleum - Common	C	Dividend	L	T	Buy	06/01/17	K		
42. -- Qwest Corp. Cap. Sec.	C	Interest	K	T	Buy	01/04/17	J		
43. -- DXC Tech	A	Dividend	J	T	Distributed (part)	04/07/17	J		
44. Morgan Stanley - Joint:									
45. -- AXA Equitable Life Annuity		None	K	T					
46. -- Chevron - Common	A	Dividend	J	T					
47. -- Amer. Tower Corp. - Class	A	Dividend	J	T	Sold (part)	07/19/17	J		
48. -- Barclays Bank - Preferred	A	Dividend			Redeemed	03/15/17	K	A	
49. --Morgan Stanley Cash Fund	A	Interest	J	T					
50. -- Davita Inc. - Common		None	J	T					
51. -- Electronics for Imaging - 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 = \$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 \$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 7 of 11

Name of Person Reporting

Bates, John D.

Date of Report

05/14/2018

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)
52. -- Gugg, Zacks Adv 34 Unit Inv. Trust	A	Dividend			Sold	07/26/17	K	A	
53. -- Gugg, Zacks Adv 39 Unit Inv. Trust	A	Dividend	K	T	Buy	07/26/17	K		
54. -- Fiserv Inc. Common		None	K	T	Sold (part)	02/02/17	J	C	
55.					Sold (part)	06/07/17	J	C	
56.					Sold (part)	07/19/17	J	B	
57. -- Qwest Corp - Common	A	Dividend	J	T	Sold (part)	04/28/17	J	A	
58. -- Intuit Inc. - Common	A	Dividend	J	T					
59. -- iShares Transportation Average ETF	A	Dividend	J	T					
60. -- Deutsche Bank - Common	B	Dividend	K	T					
61. -- Powershares Ex-Traded Fund Dynamic Biotech & Genome	A	Dividend	J	T					
62. -- Time Warner - Common	A	Dividend	K	T	Sold (part)	07/19/17	J	B	
63. -- United Health - Common	A	Dividend	K	T	Sold (part)	02/02/17	J	C	
64.					Sold (part)	06/07/17	J	B	
65.					Sold (part)	07/18/17	J	B	
66. Bank of America - Common	C	Dividend	K	T	Buy	04/06/17	K		
67. -- Unit AAM Navellier Unit Inv. Tr.	A	Dividend			Sold (part)	02/25/17	K	A	
68.					Sold	04/06/17	K	A	

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 H = \$5,001 - \$15,000	D = \$15,001 - \$50,000 E = \$50,001 - \$100,000	F = \$100,001 - \$500,000 G = \$500,001 - \$1,000,000
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 \$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 8 of 11

Name of Person Reporting

Bates, John D.

Date of Report

05/14/2018

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)
69. -- Unit AAM Navellier Unit Inv. Tr. 119	B	Dividend	K	T	Buy	04/21/17	K		
70. -- iShares Dow Jones US Health Care Providers Index Fund (X)	A	Dividend	J	T					
71. -- Powershares Dynamic Semiconductors (X)	A	Dividend	J	T					
72. -- Powershares Dynamic Media Portfolio (X)	A	Dividend	J	T					
73. -- iShares NoAm Tech Software Index Fund (X)	A	Dividend	J	T					
74. Morgan Stanley - IRA - J:									
75. -- AT&T Inc. - Common	C	Dividend	L	T					
76. -- Lamb Weston Holdings	A	Dividend	J	T					
77. -- Centerpoint Energy - Common	A	Dividend	J	T					
78. -- Colgate Palmolive - Common	B	Dividend	L	T					
79. -- Conagra Foods - Common	A	Dividend	J	T					
80. -- iShares TR-DJ Transp. Index Fund	A	Dividend	J	T					
81. -- iShares TR Global Ind. Index Fund	A	Dividend	K	T					
82. -- iShares Dow Jones US Health Care Providers Index Fund	A	Dividend	K	T	Buy	02/03/17	J		
83. -- IBM - Common	B	Dividend	K	T					
84. -- Medtronic - Common	B	Dividend	L	T					
85. -- Powershares Dynamic Semiconductors	A	Dividend	K	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 \$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 9 of 11

Name of Person Reporting

Bates, John D.

Date of Report

05/14/2018

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)
86. -- Powershares Dynamic Media Portfolio	A	Dividend	J	T					
87. -- Energy Select Sector SPDR	A	Dividend	K	T	Buy	06/22/17	J		
88. -- iShares NoAm Tech Software Index Fund	A	Dividend	K	T					
89. -- SPDR Index SHS FDS DJ Wilshire Int'l Real Estate	A	Dividend	K	T	Buy	02/03/17	J		
90.					Buy	06/22/17	J		
91. -- SPDR SER TR KBW CAP MKTS ETF	A	Dividend	J	T					
92. -- SPDR SER TR KBW BK ETF	A	Dividend	J	T	Buy	02/03/17	J		
93. -- SPDR SER TR KBW INS ETF	A	Dividend			Sold	02/03/17	J	C	
94. -- United Tech Common	B	Dividend	L	T					
95. -- Vanguard Consumer Staples ETF	A	Dividend	K	T					
96. -- Vanguard Health Care ETF	A	Dividend	K	T	Buy	02/03/17	J		
97. -- Vanguard Info Tech ETF	A	Dividend	K	T					
98. -- Vanguard Int'l Equity (European) ETF	A	Dividend	J	T	Buy	06/22/17	J		
99. -- iShares Russell 2000 ETF	A	Dividend	K	T					
100. -- Pepsico - Common	A	Dividend	K	T					
101. -- MS Liquid Asset Fund	A	Interest	K	T					
102. TIAA CREF Ret. Acct. (403(B) Plan Growth Annuity) - C		None	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 10 of 11

Name of Person Reporting

Bates, John D.

Date of Report

05/14/2018

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

Some stock assets in Morgan Stanley - IRA - J (Part VII, lines 82, 85, 86, 88) were transferred to the brokerage account Morgan Stanley - Joint (Part VII, lines 70, 71, 72, 73) without liquidation, and thus no transactions are listed for this transfer.

FINANCIAL DISCLOSURE REPORT

Page 11 of 11

Name of Person Reporting

Bates, John D.

Date of Report

05/14/2018

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/ **John D. Bates**

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