

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) Robart, James L.	2. Court or Organization U.S. Dist Court, W.D. of WA	3. Date of Report 04/27/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Dist. Judge (active 1/1-6/28; senior 6/29-12/31)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address 700 Stewart Street, 14th Floor Seattle, WA 98101		
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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Trustee Emeritus	Whitman College
2.	
3.	
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 10

Name of Person Reporting

Robart, James L.

Date of Report

04/27/2017

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. 2016	Paintings sold for cash.
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. American Conference Institute	January 14-15, 2016	Philadelphia, Pennsylvania	Asbestos Claims & Litigation CLE	Airfare, Lodging, Food, Transportation, and Parking
2. American Conference Institute	January 26-27, 2016	Miami, Florida	Consumer Finance Class Actions & Litigation CLE	Airfare, Lodging, Food, Transportation, and Parking
3. American Conference Institute	February 29-March 1, 2016	Philadelphia, Pennsylvania	Medical Malpractice Catastrophic Injury CLE	Airfare, Lodging, Food, Transportation, and Parking
4. American Conference Institute	April 11-12, 2016	New York, New York	Defending and Managing Class Actions CLE	Airfare, Lodging, Food, Transportation, and Parking
5. Newman Inn of Court	April 19, 2016	Alexandria, Virginia	IP Law Conference	Lodging, Food, and Parking

FINANCIAL DISCLOSURE REPORT

Page 3 of 10

Name of Person Reporting

Robart, James L.

Date of Report

04/27/2017

6.	American Conference Institute	April 20-21, 2016	Washington, DC	Residential Mortgage Litigation and Regulatory Enforcement	Airfare, Lodging, Food, Transportation, and Parking
7.	IP Owners Association	May 23-24, 2016	Palo Alto, California	IP - FRAND CLE	Airfare, Lodging, Food, Transportation, and Parking
8.	University of Texas	June 8-10, 2016	Austin, Texas	Patent Law CLE	Airfare, Lodging, Food, and Transportation
9.	Technical Univeristy of Munich	June 21-25, 2016	Munich, Germany	Munich International Patent Law Conference 2016, The International Reach of Patents	Airfare, Lodging, Food, Transportation, and Parking
10.	American Conference Institute	September 15-16, 2016	Boston, Massachusetts	Litigating Disability Insurance Claims CLE	Airfare, Lodging, Food, Transportation, and Parking
11.	American Conference Institute	September 26-27, 2016	Dallas, Texas	Residential Mortgage Litigation & Regulatory Enforcement	Airfare, Lodging, Food, Transportation, and Parking
12.	Taiwan Patent Law Society	October 1-6, 2016	Taiwan, Republic of China	U.S. Patent Law Conference	Airfare, Lodging, Food, Transportation, and Parking
13.	Association of Corporate Counsel	October 17, 2016	San Francisco, Calirofma	Supreme Court Decisions Panel	Airfare, Lodging, Food, Transportation, and Parking
14.	Sedona Conference	October 24-25, 2016	Washington, DC	The 16th Annual Sedona Conference on Patent Law	Airfare, Lodging, Food, Transportation, and Parking
15.	American Conference Institute	October 27-28, 2016	New York, New York	13th National Forum on ERISA Litigation	Airfare, Lodging, Food, Transportation, and Parking
16.	Texas A&M University School of Law/Tarleton State University	November 4-5, 2016	Ft. Worth, Texas	Inaugural Conference - Implementation of Police Department Consent Decrees	Airfare, Lodging, Food, Transportation, and Parking
17.	American Conference Institute	November 30-December 1, 2016	Philadelphia, Pennsylvania	Insurance Coverage & Extra-Contractual Dipsutes	Airfare, Lodging, Food, Transportation, and Parking
18.					
19.					
20.					
21.					
22.					
23.					
24.					
25.					

FINANCIAL DISCLOSURE REPORT

Page 4 of 10

Name of Person Reporting

Robart, James L.

Date of Report

04/27/2017

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.	Bank of America	Credit Card	J
2.	Bank of America	Credit Card	J
3.	Whitman College	Multi-year pledge	L
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 5 of 10

Name of Person Reporting

Robert, James L.

Date of Report

04/27/2017

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. Key Bank	A	Interest	K	T					
2. Key Bank	A	Interest	J	T					
3. Oak Harbor, WA Island Cnty Rental Property (2016 - \$200,000)	A	Rent	N	S					
4. Bank of Washington Common Stock		None	K	T					
5. BROKERAGE ACCOUNT #1									
6. -- Starbucks Common Stock	E	Dividend	P1	T	Donated (part)				
7. -- Schwab Money Fund	B	Interest	M	T					
8. -- MSCI Em. Mkts I-Shares	E	Dividend	O	T					
9. -- MSCI EAFE Index Fund	D	Dividend	N	T					
10. -- S&P 600 I-Shares	D	Dividend	O	T					
11. -- Vanguard REIT Fund	E	Dividend	O	T					
12. -- S&P 500 IShares	E	Dividend	O	T					
13. -- Boston Priv. Fin. Hldg.	C	Dividend	M	T					
14. Chevron Common Stock	D	Dividend	M	T					
15. BROKERAGE IRA #1									
16. -- MSCI EAFE Index I-Shares	E	Dividend	P1	T					
17. -- S&P Small Cap 600 IShares	F	Dividend	P1	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 10

Name of Person Reporting

Robart, James L.

Date of Report

04/27/2017

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. -- S&P 500 I-Shares	E	Dividend	O	T					
19. -- Schwab Money Fund	B	Interest	N	T					
20. -- U.S. TIPS					Matured (part)	04/15/16	M	D	
21.					Buy (add'l)	04/23/16	M		
22. -- Vanguard REIT	E	Dividend	O	T					
23. -- Emrg. Mkt. I-Share	D	Dividend	N	T					
24. -- Bank of America Notes	D	Interest	M	T					
25. -- CISCO Systems Note	B	Interest			Matured	02/28/16	M		
26. -- Discover Bank CD	B	Interest			Matured	07/02/16	M		
27. -- Goldman Sachs Notes	C	Interest	M	T					
28. -- Pfizer Notes	C	Interest	M	T					
29. -- GE Cap. Bank CD	B	Interest	M	T					
30. -- Goldman Sachs BK CD	B	Interest			Matured	10/12/16	M		
31. -- Conoco Phillips Notes	D	Interest	M	T					
32. -- J.P. Morgan Chase	B	Interest	M	T					
33. -- American Express Bank CD	B	Interest	M	T					
34. -- Synchrony Bank CD	C	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 \$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 10

Name of Person Reporting

Robart, James L.

Date of Report

04/27/2017

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. -- Amgen Notes	C	Interest	M	T					
36. -- BP Capt. Mks.	C	Interest	M	T					
37. -- General Electric Note	D	Interest	M	T	Buy	01/04/16	M		
38. -- Toyota Auto Receiv.	C	Interest	M	T	Buy	07/06/16	M		
39. -- Verizon Comm. Note	C	Interest	M	T	Buy	09/23/16	M		
40. BROKERAGE IRA #2									
41. -- Janus Balanced Mut. Fund	B	Dividend	K	T					
42. -- T.R. Price New Asia Mut. Fund	A	Dividend	K	T					
43. -- Schwab Money Fund	A	Interest	K	T					
44. -- MSCI EAFE Index Fund	A	Dividend	K	T					
45. -- S&P 500 I-Shares	C	Dividend	M	T					
46. -- MSCI Em. Mkts I Share	B	Dividend	L	T					
47. -- S&P Small Cap 600 I Shares	B	Dividend	M	T					
48. -- IBM	A	Dividend	J	T					
49. -- Vanguard REIT	B	Dividend	K	T					
50. Vanguard Intl. Tax Managed Fund	E	Dividend	P1	T					
51. 7MB Tech. Corp.		None	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 \$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 8 of 10

Name of Person Reporting

Robart, James L.

Date of Report

04/27/2017

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. Builders Capital Part.	E	Dividend	N	T					
53. Boeing Employees Credit Union	A	Interest	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 9 of 10

Name of Person Reporting

Robart, James L.

Date of Report

04/27/2017

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

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

Robart, James L.

Date of Report

04/27/2017

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/ **James L. Robart**

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