

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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 5/11/2016
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 01/01/2015 to 12/31/2015
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.	

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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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2015	Georgetown University Law Center, income for teaching	\$12,000.00
2. 2015	University of Arizona, Rogers School of Law, income for teaching	\$3,500.00
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. 2015	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.				

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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.

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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. Wells Fargo Account	A	Interest	J	T					
2. Morgan Stanley Smith Barney - IRA - C:									
3. -- Engility Holdings - Common		None			Sold	01/15/15	J	A	
4. -- Auto Data Proc - Common	A	Dividend	K	T					
5. -- Bank of Amer. - Preferred	B	Dividend	K	T	Buy	10/23/15	K		
6. -- Amer Cap Str (Ltd) - Common		None			Sold	01/15/15	K	A	
7. -- Adobe Sys. - Common		None	K	T					
8. -- Apple Inc. - Common	A	Dividend	K	T					
9. -- Bank of Amer. - Common	A	Dividend	J	T					
10. -- Bristol Myers Squibb - Common	A	Dividend			Sold	04/08/15	L	E	
11. -- BT Group PLC - Common	A	Dividend			Sold	01/21/15	K	C	
12. -- Cisco Sys. Common	A	Dividend	K	T					
13. -- Chevron Corp. Common	B	Dividend	K	T					
14. -- CINN Financial Corp. Common	B	Dividend	L	T					
15. -- Illinois Tool Works Common	B	Dividend	L	T					
16. -- Dow Chem Common	B	Dividend	K	T	Sold (part)	12/09/15	J	C	
17. -- Clearbridge Energy MLP Fund	B	Dividend	K	T					

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	N = \$250,001 - \$500,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
(See Column C2)	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
	U = Book Value	V = Other	W = Estimated		

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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				
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18. -- Enterprise Prod. - Common	B	Dividend	K	T					
19. -- Fiserv Inc. - Common		None	J	T					
20. -- HP Inc. - Common	A	Dividend	J	T					
21. -- Hewlett Packard Enter. - Common	A	Dividend	K	T	Spinoff (from line 20)	10/30/15	J		
22. -- Home Depot - Common	B	Dividend	L	T					
23. -- HCC Ins. Hldgs. - Common	A	Dividend			Sold	06/10/15	K	E	
24. -- Int'l Game Tech. - Common	A	Dividend			Sold	01/15/15	J	A	
25. -- JP Morgan Chase & Co. - Common	B	Dividend	K	T					
26. -- Johnson & Johnson - Common	B	Dividend	K	T					
27. -- L3 Communications - Common	A	Dividend	J	T					
28. -- Marriott Int'l - Common	A	Dividend	K	T					
29. -- McDonalds - Common	B	Dividend	K	T					
30. -- MetLife - Common	A	Dividend	J	T					
31. -- Morgan Stanley - Common	A	Dividend	J	T					
32. -- Vodafone Group - Common	A	Dividend	J	T					
33. -- Omnicor - Common	A	Dividend	K	T					
34. -- Pfizer - Common	B	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 \$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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35. -- Pepsi Co. - Common	C	Dividend	L	T	Buy	04/08/15	L		
36. -- Principal Fin'l - Common	A	Dividend	J	T					
37. -- Procter & Gamble - Common	B	Dividend	K	T					
38. -- Apollo Inv. Corp.	B	Interest	K	T	Buy	10/23/15	K		
39. -- Maiden Hldgs. NA	B	Interest	K	T	Buy	10/23/15	K		
40. -- CSX Corp. - Common	A	Dividend	K	T					
41. -- MS Liquid Asset Fund	A	Interest	N	T					
42. -- Verizon Common	B	Dividend	K	T					
43. -- First TR MLP & ENRG fund	B	Dividend	K	T					
44. --Ishares Russell 2000 ETF	A	Dividend	L	T					
45. --Blackrock - Common	A	Dividend	K	T					
46. --CDK Global - Common	A	Dividend			Sold	02/12/15	J	D	
47. --Occidental Petroleum - Common	B	Dividend	K	T					
48. -- Qwest Corp. Cap. Sec.	B	Interest	K	T	Buy	10/23/15	K		
49. Morgan Stanley Smith Barney - Joint:									
50. -- AXA Equitable Life Annuity		None	K	T					
51. -- AES Corp. Common	A	Dividend			Sold	10/26/15	J	A	

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52. -- Amer. Tower Corp. - Class A	A	Dividend	J	T					
53. -- Barclays Bank - Preferred	B	Dividend	K	T					
54. --Morgan Stanley Cash Fund	A	Interest	L	T					
55. -- Davita Inc. - Common		None	J	T					
56. -- Electronics for Imaging - Common		None	J	T					
57. -- Energy Transfer Ptns LP - Common	A	Dividend	J	T					
58. -- Gugg, Zacks Adv 30 Unit Inv. Trust	A	Dividend	K	T	Buy	07/24/15	K		
59. -- Gugg, Zacks Adv 25 Unit Inv. Trust	A	Dividend			Sold	07/24/15	K	A	
60. -- Fiserv Inc. Common		None	K	T	Sold (part)	04/16/15	J	D	
61. -- Halliburton Co. Hldgs. - Common	A	Dividend	J	T					
62. -- Qwest Corp - Common	B	Dividend	K	T					
63. -- Intuit Inc. - Common	A	Dividend	J	T					
64. -- MD Cmnty Dev. Res. Bond	A	Dividend			Sold	03/24/15	J	A	
65. --Time Inc. - Common	A	Dividend			Sold	01/15/15	J	A	
66. -- Powershares Ex-Traded Fund Dynamic Biotech & Genome	A	Dividend	J	T					
67. -- Time Warner - Common	A	Dividend	J	T	Sold (part)	05/26/15	J	D	
68. -- Unum Group - Common	A	Dividend	J	T					

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69. -- United Health - Common	A	Dividend	K	T	Sold (part)	03/04/15	J	C	
70. -- Endurance Spec - Preferred	A	Dividend			Redeemed	12/24/15	J	A	
71. -- Western Union - Common	A	Dividend	J	T					
72. -- Wash. Sub. San. Dt. MD Bond	B	Interest	L	T					
73. -- Unit AAM Navellier Unit Inv. Tr.	B	Dividend	K	T					
74. Morgan Stanley Smith Barney - IRA - J:									
75. -- AT&T Inc. - Common	B	Dividend	K	T					
76. -- Cameron Int'l - Common		None			Sold	01/15/15	J	A	
77. -- Centerpoint Energy - Common	A	Dividend	J	T					
78. -- Colgate Palmolive - Common	B	Dividend	L	T					
79. -- Conagra Foods - Common	A	Dividend	J	T	Sold (part)	06/19/15	J	C	
80. -- HCC Ins. Holdings - Common	A	Dividend			Sold	06/10/15	J	C	
81. -- Hain Celestial Group - Common		None	J	T					
82. -- IShares TR-DJ Transp. Index Fund	A	Dividend	J	T					
83. -- IShares TR Global Ind. Index Fund	A	Dividend	K	T					
84. -- IShares Dow Jones US Health Care Providers Index Fund	A	Dividend	J	T					
85. -- IBM - Common	B	Dividend	K	T					

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86. --Target - Common	A	Dividend			Sold	04/13/15	J	B	
87. -- Medtronic - Common	B	Dividend	L	T					
88. -- Powershares Dynamic Semiconductors	A	Dividend	J	T					
89. -- Powershares Dynamic Media Portfolio	A	Dividend	J	T					
90. -- Select Spector SPDR Energy	A	Dividend	K	T					
91. -- IShares NoAm Tech Software Index Fund	A	Dividend	K	T					
92. -- SPDR Index SHS FDS DJ Wilshire Int'l Real Estate	A	Dividend	J	T					
93. -- SPDR SER TR KBW CAP MKTS ETF	A	Dividend	J	T					
94. -- SPDR SER TR KBW BK ETF	A	Dividend	J	T					
95. -- SPDR SER TR KBW INS ETF	A	Dividend	J	T					
96. -- United Tech Common	B	Dividend	L	T					
97. -- Vanguard Consumer Staples ETF	A	Dividend	J	T					
98. -- Vanguard Health Care ETF	A	Dividend	J	T					
99. -- Vanguard Info Tech ETF	A	Dividend	J	T					
100. -- Vanguard Int'l Equity (European) ETF	A	Dividend	J	T					
101. -- Wisconsin Energy Holding Common	A	Dividend			Sold	01/21/15	J	C	
102. --Ishares Russell 2000 ETF	A	Dividend	K	T					

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103. --Pepsico - Common	A	Dividend	K	T	Buy	04/13/15	K		
104. -- MS Liquid Asset Fund	A	Interest	L	T					
105. TIAA CREF Ret. Acct. (403(B) Plan Growth Annuity) - C		None	L	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/ 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