

FINANCIAL DISCLOSURE REPORT FINAL FILING

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) Barkett, Rosemary	2. Court or Organization U.S. Court of Appeals, 11 Cir.	3. Date of Report 09/30/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Circuit Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☐ Annual ☒ Final 5b. ☐ Amended Report	6. Reporting Period 1/30/2013 to 9/30/2013
7. Chambers or Office Address 99 NE 4th Street Suite 1223 Miami, FL 33132		
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	Trust #1
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. 9/1/79	State of Florida, Div. of Retirement; Sect. 401(a), IRC
2. 10/1/82	Aetna Life Ins.; Deferred Comp., Sect. 457, IRC
3. 3/3/87	Nationwide Life Ins.; Deferred Comp., Sect. 457, IRC

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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. 1/30-9/30	State of Florida Retirement (Aetna & Nationwide)	\$11,475.37
2. 1/30-9/30	State of Florida Judicial Retirement	\$34,410.33
3. July 2013	New York University - Teaching Appellate Judges Seminar	\$1,800.00
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.	
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. National Association of Women Judges	02/15/2013 - 02/16/2013	Orlando, FL	Meeting	airfare, meals, lodging
2. American Bar Association	03/15/2013 - 03/15/2013	Washington DC	Meeting / Conference	airfare, meals, lodging
3. Federal Judges Association	04/23/2013 - 04/24/2013	Washington DC	Meeting	airfare, meals, lodging
4. New Appellate Judges Seminar - New York University	07/14/2013 - 07/19/2013	New York, NY	Attend Seminar	airfare, meal, lodging
5.				

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6.					
7.					
8.					
9.					
10.					
11.					

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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.	Wachovia Bank (re-mortgage)	Real Estate Mortgage (1/2 owner)	L
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. AT & T, Inc (formerly SBC & before that Pacific Telesis)	A	Dividend	J	T					
2. Altera	A	Dividend	L	T					
3. Amgen, Inc (Amgn)	A	Dividend	K	T					
4. Apple		None	L	T					
5. Applied Materials	A	Dividend	K	T					
6. Attl (formerly Firstcom FCLX)		None	J	T					
7. Cisco	A	Dividend	K	T					
8. Coca Cola (KO)	A	Dividend	K	T					
9. Corning, Inc. (GLW)	A	Dividend	K	T					
10. EMC Corp.		None	K	T					
11. Fld.Contra Fd FCNTX		None	L	T					
12. IBM	A	Dividend	J	T					
13. JP Morgan Chase (JPM)	A	Dividend	K	T					
14. Microsoft Corporation (MSFT)	A	Dividend	K	T					
15. Nokia Corp. (NOK)	A	Dividend	J	T	Buy	1/30/13	J		
16. North. Trust NTRS	A	Dividend	K	T					
17. Qualcomm, Inc. (QCOM)	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	

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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.)

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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				
	(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. Texas Instruments	A	Dividend	K	T					
19. Wells Fargo	A	Dividend	J	T					
20. Live Ops		None	K	T					
21. Aetna Deferred Comp Plan (now ING Life)	D	Dividend	L	T					
22. Nationwide	D	Dividend	L	T					
23. Citibank Money Market	A	Int./Div.	M	T					
24. TRUST # 1 (Global Managed Portfolio Level 5 (Citibank)	D	Dividend	P1	T					
25. IRA #1 (ClearBridge Multi Cap Growth Portfolios (Citibank)	A	Dividend	M	T					
26.									
27. Re-Parcel 1-Lake Park, FL (1/2 ownership)		None	N	W					
28. Re-Parcel 4-Homestead, FL (1/3 ownership)		None	L	W					
29. Re-Parcel 5-Homestead, FL (1/2 ownership)		None	L	W					
30.									

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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/ Rosemary Barkett**

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
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