

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) Rothstein, Barbara J.	2. Court or Organization US Courts	3. Date of Report 08/10/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) US District Court 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 US District Court 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.		
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. 11/15/2011	West Group, Royalties	\$4,000.00
2. 12/01/11	Duke University, faculty compensation	\$3,000.00
3. 06/02/11	The Rutter Group, faculty compensation	\$500.00
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. 2011	Medical Faculty Associates, Wages
2. 2011	Self Employed Consultant Fees
3. 2011	Required Minimum Distribution, Retirement Plan
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. Fordham University	January 24, 2011	New York, NY	Speaker	Transportation, Lodging, Meals
2. Sedona Conference on Complex Litigation	April 7-8, 2011	Del Mar, CA	Panel Participant	Lodging
3. International Judicial Academy	May 9-25, 2011	China	Speaker	Transportation
4. The Rutter Group	June 1-2, 2011	Seattle, WA	Speaker, Panel Participant	Transportation, Lodging, Meals
5. Sedona Conference	September 15-16	Chicago, IL	Committee Participant	Transportation, Lodging, Meals

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6.	Duke University	October 3, October 17, November 7, November 14, November 21, November 28, 2011	Durham, North Carolina	Adjunct Professor	Transportation
7.	Avon Global Center Women & Justice Conference	October 18-24	New Delhi, India	Panel Participant	Transportation
8.	International Organization for Judicial Training	October 31 - November 4, 2100	Bordeaux, France	Speaker, Panel Participant	Transportation, Lodging, Meals

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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 I (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. Amcol Common	A	Dividend	J	T					
2. El Paso Corp.	A	Dividend	J	T					
3. EQT Corporation	A	Dividend	K	T					
4. Motorola Inc Common		None			Closed	01/10/11	K		
5. Motorola Solutions Inc	A	Dividend	K	T	Spinoff (from line 4)	01/10/11	K		
6. Motorola Mobility Holdings		None	J	T	Spinoff (from line 4)	01/10/11	J		
7. New York Muni Income	A	Interest	J	T					
8. American Euro Pacific Growth Fnd C	A	Dividend	L	T					
9. American New World Fnd C	A	Dividend	L	T					
10. Vanguard Inter Term T/E Inv Cl	B	Dividend	L	T					
11. US Bancorp Account	A	Interest	J	T					
12. Capital One Bank	A	Interest	K	T					
13. NA Properties Ltd Partnership	A	Interest	J	U					
14. Rental House Redmond, WA (1999 \$172,000)	E	Rent	M	R					
15. New Horizon Capital III, LP	A	Interest	L	U					
16. Rental Townhouse Strasburg, VA (2009 \$135,000)	D	Rent	M	R					
17. America Movil Ads	B	Dividend	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 \$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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☐ 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				
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18. Bank One Capital Trust VI	B	Interest	K	T					
19. Elan Corp. Common		None	K	T					
20. Emulex Corp. Common		None	J	T					
21. Microsoft Corp. Common	C	Dividend			Sold	08/03/11	M		
22. 3M Company	B	Dividend	L	T					
23. XCel Energy	A	Dividend	J	T					
24. PPL Corp.	A	Dividend	J	T					
25. Life Technologies Corp		None	K	T					
26. Costco Wholesale Corp. Common	A	Dividend	L	T					
27. Western Asset HI Inc.	B	Dividend	K	T					
28. Starbucks Common	D	Dividend	N	T					
29. Telefonos De Mexico Common	B	Dividend			Sold	11/22/11	K	C	
30. Nuveen Quality Preferred Income FD	A	Interest	J	T					
31. Bancorpsouth Cap Tr. Preferred	B	Interest	K	T					
32. Home Depot Inc. Common	B	Dividend	K	T					
33. General Electric Co. Common	B	Dividend	K	T					
34. Morgan Stanley Cap. Trust	B	Dividend	K	T					

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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	
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35. CHS Cooperatives Preferred	B	Dividend	K	T					
36. Associated Bank	A	Interest	L	T					
37. Deutsche Bank		None			Closed	03/15/11	M		
38. BB&T Bank	A	Interest	M	T	Open	03/15/11	M		
39. East West Bank	A	Interest	M	T					
40. Citizens Bank	A	Interest	M	T					
41. CMS Energy	A	Dividend	J	T					
42. Pioneer Floating Rate Trust (PHD)	B	Dividend	K	T					
43. Eaton Vance Enhanced Equity Income Fund	B	Dividend	J	T					
44. Eaton Vance Enhanced Equity Income Fd II	D	Interest	M	T					
45. RMR RE Fund	A	Dividend	J	T					
46. Dreyfus Premier Greater China Fund		None	K	T					
47. Eaton Vance Greater China Fund Cl A	A	Dividend	K	T					
48. Visa Inc	A	Dividend			Sold	08/03/11	M	E	
49. IBM	B	Dividend			Sold	08/03/11	M	F	
50. NJF Dividend Interest Premium Strategy Fund	B	Dividend	K	T					
51. Dell, Inc		None	J	T					

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52. ETrade Money Market Funds	A	Interest	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/ **Barbara J. Rothstein**

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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Washington, D.C. 20544