

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) Bates, John D.	2. Court or Organization U.S. District Court for the District of Columbia	3. Date of Report 7/23/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) District Judge - Article III (active)	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 333 Constitution Avenue NW Washington, DC 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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Name of Person Reporting

Bates, John D.

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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.)*

DATE

SOURCE AND TYPE

INCOME
(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.)*

DATE

SOURCE AND TYPE

1. 2011

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.)*

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

1. Fordham Law School

3/22/2011 - 3/24/2011

New York, NY

Non-FJC Educational
Seminar

Meals, lodging, transportation

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.)*

SOURCE	DESCRIPTION	VALUE
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.)*

CREDITOR	DESCRIPTION	VALUE 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. -- Conoco Philipps - Common	A	Dividend			Sold	01/14/11	K	C	
4. -- Auto Data Proc - Common	B	Dividend	K	T					
5. -- Amer Cap Str (Ltd) - Common			J	T					
6. -- Adobe Sys. Common		None	J	T					
7. -- Apple Inc. - Common		None	K	T					
8. -- Bank of Amer. - Common	A	Dividend	J	T					
9. -- Bristol Myers Squibb - Common	B	Dividend	K	T	Buy	07/18/11	K		
10. -- BT Group PLC - Common	A	Dividend	J	T					
11. -- Cisco Sys. Common	A	Dividend	K	T					
12. -- Chevron Corp. Common	B	Dividend	K	T					
13. -- CINN Financial Corp. Common	B	Dividend	K	T					
14. -- Illinois Tool Works Common	B	Dividend	K	T	Buy (add'l)	07/18/11	K		
15. -- Dow Chem Common	A	Dividend	K	T					
16. -- Dreyfus Money Market Fund	A	Interest	N	T					
17. -- Enterprise Prod. - Common	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	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

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18. -- Fiserv Inc. - Common		None	J	T					
19. -- HP - Common	A	Dividend	K	T					
20. -- Home Depot - Common	A	Dividend	K	T	Sold (part)	01/31/11	J	C	
21. -- HCC Ins. Hldgs. - Common	A	Dividend	J	T					
22. -- Int'l Game Tech. - Common	A	Dividend	J	T					
23. -- JP Morgan Chase & Co. - Common	A	Dividend	K	T					
24. -- Johnson & Johnson - Common	A	Dividend	K	T					
25. -- L3 Communications - Common	A	Dividend	J	T					
26. -- Marriott Int'l - Common	A	Dividend	K	T					
27. -- McDonalds - Common	A	Dividend	K	T					
28. -- MetLife - Common	A	Dividend	J	T					
29. -- Morgan Stanley - Common	A	Dividend	J	T					
30. -- Vodaphone Group - Common	B	Dividend	K	T					
31. -- Omnicor - Common	A	Dividend	J	T					
32. -- Pfizer - Common	A	Dividend	K	T					
33. -- Pepsi Co. - Common	A	Dividend	K	T	Buy (add'l)	07/18/11	J		
34. -- Principal Fin'l - 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	

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35. -- Procter & Gamble - Common	B	Dividend	K	T					
36. -- Sempra Energy - Common	A	Dividend	J	T					
37. -- Staples - Common	A	Dividend	J	T					
38. -- CSX Corp. - Common	A	Dividend	K	T	Buy	07/18/11	K		
39. -- Marriott Vacations World - Common			J	T	Spinoff (from line 26)	11/22/11	J		
40. -- United Health - Common	A	Dividend			Sold	05/17/11	J	A	
41. -- Verizon Common	B	Dividend	K	T					
42. -- Am. Elec. Power - Preferred	A	Interest			Sold	06/21/11	K	A	
43. -- Dominion Res. - Preferred	B	Interest	K	T					
44. -- Prudential Fin'l - Preferred	B	Interest	K	T					
45. -- XCEL Energy - Preferred	A	Interest	K	T	Sold (part)	05/23/11	K	B	
46. Morgan Stanley Smith Barney -									
47. -- AXA Equitable Life Annuity		None	K	T					
48. -- AES Corp. Common		None	J	T					
49. -- Amer. Tower Corp. - Class A		None	J	T					
50. -- Barclays Bank - Preferred	B	Dividend	K	T					
51. -- Citibank Money Fund	A	Interest	K	T					

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52. -- Davita Inc. - Common		None	J	T					
53. -- Electronics for Imaging - Common		None	J	T					
54. -- Energy Transfer Ptns LP - Common	A	Dividend	J	T					
55. -- UTS Gugg, Zacks Unit Inv. Trust	A	Dividend	K	T	Buy	07/18/11	K		
56. -- Fiserv Inc. Common		None	K	T					
57. -- Duke Energy Corp. - Common	A	Dividend	K	T					
58. -- Halliburton Co. Hldgs. - Common	A	Dividend	J	T					
59. -- Howard Cty., MD Bond	C	Interest	L	T					
60. -- Intuit Inc. -- Common	A	Dividend	J	T					
61. -- MD Dept. Housing & Comm. Dev. Bond	A	Interest	K	T					
62. -- NY Comm. Bancorp - Common	A	Dividend			Sold	10/25/11	J	A	
63. -- Prince Georges Cty, MD Bond	B	Interest	L	T					
64. -- Powershares Ex-Traded Fund Dynamic Biotech & Genome		None	J	T					
65. -- Schwab Chs. Corp. - Common	A	Dividend	J	T					
66. -- Time Warner - Common	A	Dividend	K	T					
67. -- Unum Group - Common	A	Dividend	J	T					
68. -- United Health Common	A	Dividend	K	T	Sold (part)	09/15/11	J	B	

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69. -- Univ. System MD Bond	A	Interest	K	T					
70. -- Western Union Common	A	Dividend	J	T					
71. -- Wash. Sub. San. Dt. MD Bond	B	Interest	L	T					
72. -- Bristol Myers Squibb - Common	A	Dividend			Sold	07/18/11	J	A	
73. Morgan Stanley Smith Barney - IRA - J:									
74. -- AT&T Inc. Common	B	Dividend	K	T					
75. -- Cameron Int'l Common		None	J	T					
76. -- Centerpoint Energy Common	A	Dividend	J	T					
77. -- Colgate Palmolive Common	B	Dividend	K	T					
78. -- Conagra Foods Common	A	Dividend	J	T	Buy	07/18/11	J		
79. -- Dreyfus Money Market Fund	A	Interest	J	T					
80. -- HCC Ins. Holdings - Common	A	Dividend	J	T					
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	Buy	07/18/11	J		
84. -- IShares Dow Jones US Health Care Providers Index Fund	A	Dividend	J	T					
85. -- IBM Common	A	Dividend	K	T					

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86. -- JC Penney Common	A	Dividend	J	T					
87. -- Medtronic Common	A	Dividend	K	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	Buy	07/18/11	J		
91. -- S&P NoAm Tech Software Index Fund	A	Dividend	J	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	K	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. TIAA CREF Ret. Acct. -C		None	K	T					
102. Wisconsin Energy Holding Common	A	Dividend	J	T					

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103.									

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

Line 102 added, listing Wisconsin Energy Holding Common. This investment was inadvertently omitted from the prior 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