

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2009

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) Dubina, Joel F.	2. Court or Organization U.S. Court of Appeals/11th Cir	3. Date of Report 05/12/2010
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 01/01/2009 to 12/31/2009
7. Chambers or Office Address Post Office Box 867 Montgomery, AL 36101-0867	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	
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. Sign on last page.		

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. Partner	Investments Unlimited, a limited liability corp. ("LLC")
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.	

RECEIVED
2009 MAY 13 P 3:34
ETHICS DISCLOSURE OFFICE

FINANCIAL DISCLOSURE REPORT
Page 2 of 10

Name of Person Reporting

Dubina, Joel F.

Date of Report

05/12/2010

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.	
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.				

FINANCIAL DISCLOSURE REPORT
Page 3 of 10

Name of Person Reporting
Dubina, Joel F.

Date of Report
05/12/2010

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. _____	_____	_____
2. _____	_____	_____
3. _____	_____	_____
4. _____	_____	_____
5. _____	_____	_____

FINANCIAL DISCLOSURE REPORT

Page 4 of 10

Name of Person Reporting

Dubina, Joel F.

Date of Report

05/12/2010

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-I)	(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-I)	(5) Identity of buyer/seller (if private transaction)
1. I. JOEL F. DUBINA									
2. COMMON STOCKS									
3. Insignia Fini Group Inc.	A	Dividend	J	T					
4. Torchmark Corp	A	Dividend	K	T	Sold (part)	01/07/09	J	C	
5. U. S. Shelter Corp. Del	A	Dividend	J	T					
6. Torchmark Cap. Tr. III Sec		None			Sold	03/13/08	J		sold in 2008
7. Money Market Funds <u> </u> Sterne, Agee & Leach	A	Interest	J	T					
8. 12.5% interest Investments Unlimited, an L.L.C.	D	Rent	P1	W					See Section VIII.
9. 12.5% interest in house, Ada, AL		None	L	W					
10. II. TRUSTS ASSETS #1									
11. Money Market Funds <u> </u> Sterne, Agee & Leach	A	Interest	L	T					
12. Alabama Ind. Access R&B	B	Interest	K	T					
13. University AL Huntsville (X)	B	Interest	L	T					
14. Montgomery AL Tax CPN	B	Interest	L	T					
15. General Electric	C	Dividend	K	T					
16. Torchmark Corp.	B	Dividend	M	T					
17. River Bank and Trust (X)	A	Dividend	K	T					

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

A = \$1,000 or less

F = \$50,001 - \$100,000

J = \$15,000 or less

N = \$250,001 - \$500,000

P3 = \$25,000,001 - \$50,000,000

Q = Appraisal

U = Book Value

B = \$1,001 - \$2,500

G = \$100,001 - \$1,000,000

K = \$15,001 - \$50,000

O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)

V = Other

C = \$2,501 - \$5,000

I11 = \$1,000,001 - \$5,000,000

L = \$50,001 - \$100,000

P1 = \$1,000,001 - \$5,000,000

P4 = More than \$50,000,000

S = Assessment

W = Estimated

D = \$5,001 - \$15,000

I12 = More than \$5,000,000

M = \$100,001 - \$250,000

P2 = \$5,000,001 - \$25,000,000

T = Cash Market

E = \$15,001 - \$50,000

FINANCIAL DISCLOSURE REPORT

Page 5 of 10

Name of Person Reporting

Dubina, Joel F.

Date of Report

05/12/2010

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. Huntsville, AL Warrants Series A	B	Interest	L	T					
19. Irondale, AL Wts - Ser. D Ins. XLCA 4%	B	Interest	L	T					
20. Intermediate Mun. Tr Sh Ben. Int.	C	Interest	M	T					
21. Kraft Foods, Inc.		None			Sold	01/30/08	K		All was sold in 2008
22. Monsanto Co.	A	Dividend			Sold	10/30/09	J	A	
23. Opp, AL Wts FSA B/E Cpn	B	Interest	L	T					
24. U.S. Treasury Bond 5/375%	C	Interest	L	T					
25. U.S. Treasury Bond 7.25%	C	Interest	L	T					
26. Bank of America		None			Sold	03/02/09	K		
27. State Street Corp.	A	Dividend			Sold	02/05/09	J		
28. Burlington Northern Santa Fe	A	Dividend			Sold	03/02/09	J		
29. Symantec Corp.		None			Sold	08/03/09	K		
30. AFLAC Inc.		None			Sold	01/22/09	K		
31. Potash Corp. Sask Inc.	A	Dividend			Sold	07/16/09	K	C	
32. Ishares MSCI Emer. Mkts. Index	A	Dividend	K	T	Sold (part)	08/27/09	K	D	
33. Altria Group Inc.	B	Dividend	K	T					
34. Pfizer, Inc.		None			Sold	01/28/09	K	A	

1. Income/Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	C = \$2,501 - \$5,000 H = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	D = \$5,001 - \$15,000 I12 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
2. Value Codes: (See Columns C1 and D3)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	
3. Value Method Codes: (See Column C2)					

FINANCIAL DISCLOSURE REPORT

Page 6 of 10

Name of Person Reporting

Dubina, Joel F.

Date of Report

05/12/2010

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. Stryker Corp.	A	Dividend	K	T					
36. John Hancock Flexible Prem. Life Ins.		None	L	U					
37. Adobe Systems		None	K	T	Buy	06/01/09	K		
38. Barclays PLC ADR	A	Dividend			Buy	08/03/09	K		
39.					Buy	08/18/09	J		
40.					Sold	12/08/09	K		
41. Freeport McMoran		None	J	T	Buy	06/01/09	J		
42.					Sold (part)	10/28/09	J	C	
43. HSBC HLDGS PLC SPON ADR NEW	A	Dividend	K	T	Buy	08/18/09	K		
44. iShares MSCIS Korea Index	A	Dividend	J	T	Buy	09/04/09	J		
45. Microsoft Corp.	A	Dividend	J	T	Buy	11/11/09	J		
46. Novartis A G		None	J	T	Buy	09/15/09	J		
47. Priceline Com		None	J	T	Buy	06/01/09	K		
48.					Sold (part)	08/10/09	J	C	
49. Select Sector SPDR TR SBI FINANCIAL	A	Dividend	J	T	Buy	07/16/09	K		
50.					Sold	12/08/09	K	C	
51.					Buy (add'l)	12/08/09	J		

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes:

(See Columns C1 and D3)

3. Value Method Codes:

(See Column C2)

A = \$1,000 or less

F = \$50,001 - \$100,000

J = \$15,000 or less

N = \$250,001 - \$500,000

P3 = \$25,000,001 - \$50,000,000

Q = Appraisal

U = Book Value

B = \$1,001 - \$2,500

G = \$100,001 - \$1,000,000

K = \$15,001 - \$50,000

O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)

V = Other

C = \$2,501 - \$5,000

H1 = \$1,000,001 - \$5,000,000

L = \$50,001 - \$100,000

P1 = \$1,000,001 - \$5,000,000

P4 = More than \$50,000,000

S = Assessment

W = Estimated

D = \$5,001 - \$15,000

H2 = More than \$5,000,000

M = \$100,001 - \$250,000

P2 = \$5,000,001 - \$25,000,000

T = Cash Market

E = \$15,001 - \$50,000

FINANCIAL DISCLOSURE REPORT

Page 7 of 10

Name of Person Reporting

Dubina, Joel F.

Date of Report

05/12/2010

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. Symantee Corp.		None			Buy	06/01/09	J		
53.					Sold	08/03/09	J		
54. US Natural Gas Fund LP		None	K	T	Buy	05/20/09	K		
55. PERSONAL HOLDINGS:									
56. Money Market Funds Sterne, Agce	A	Interest	J	T					
57. Torchmark Corp.	B	Dividend	N	T	Sold (part)	07/22/09	K	E	
58.					Sold (part)	10/09/09	K	E	
59. Torchmark Corp. Tr. III Sec.		None			Sold	03/13/08	J		Sold in 2008
60. 56 TMK, United Inc.	A	Dividend	J	T					
61. 12.5% interest Investments Unlimited, as L.L.C.	D	Rent	PI	W					See Section VIII
62. 12.5% interest in house, Ada, AL		None	L	W					
63. Hancey Mill Road Farm, L.L.C.		None	M	R					See Section VIII
64. General Electric Com.	A	Dividend	J	T					
65. Microsoft Corp.	A	Dividend	J	T					
66. Southern Copper Copr.	A	Dividend			Sold	03/25/09	J	B	
67. Companhia Vale Do Ri Doce Spons Adr.		None			Sold	04/09/09	J	A	
68. Fairhope, AL Utilities	A	Interest	J	T					

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

FINANCIAL DISCLOSURE REPORT
Page 8 of 10

Name of Person Reporting	Date of Report
Dubina, Joel F.	05/12/2010

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)
69. Tuscaloosa, AL Warrant FSA B/E	A	Interest	K	T					
70. Waddell & Reed	A	Dividend	J	T					Inadvertently removed 2008
71. Direxion Daily Financial Bear 3 Xshares		None	J	T	Buy	05/06/09	J		
72.					Buy	06/05/09	J		
73.					Sold (part)	07/15/09	J		
74. Proshares Trust Powershares Ultrashort Real Estate		None	J	T	Buy	06/05/09	J		
75. Pimco FDS Total Retu FD CLA	A	Dividend	J	T	Buy	08/20/09	J		
76. Powershares GloBale Trust Aggregate PFD Portfolio	A	Dividend	J	T	Buy	11/19/09	J		
77. Altria Group Inc.	A	Dividend	J	T	Buy	08/20/09	J		
78.									
79.									

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

FINANCIAL DISCLOSURE REPORT
Page 9 of 10

Name of Person Reporting	Date of Report
Dubina, Joel F.	05/12/2010

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

Part VII. Investments & Trusts.

No. 8 & 61. Property located in Montgomery County, AL; Walton County, FL; Lowndes County, AL

No. 63. Effective December 31, 2007, I gifted my interest in land in Montgomery County, equally to _____ I formed an L.L.C. named "Hancey Mill Road Farm, L.L.C." My 50% interest in the land was deeded into Hancey Mill Road Farm, L.L.C. and then gifted to _____ in equal shares. The total value of this property at the time it gifted was \$790,000 to be equally shared by the 4. I filed a gift tax return showing this transfer on 4/15/08.

FINANCIAL DISCLOSURE REPORT
Page 10 of 10

Name of Person Reporting
Dubina, Joel F.

Date of Report
05/12/2010

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

**NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY FALS
AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)**

FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544