

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) Davis, Andre M.	2. Court or Organization Court of Appeals for the Fourth Circuit	3. Date of Report 05/15/2010
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Circuit Judge	5a. Report Type (check appropriate type) ☐ Nomination, ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2009 to 12/31/2009
7. Chambers or Office Address U S Courthouse 101 W. Lombard Street Baltimore, MD 21201	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.)

POSITION	NAME OF ORGANIZATION/ENTITY
1. Member	University of MD School of Law Board of Visitors
2. Member	University of MD School of Law Dean Search Committee
3. Instructor	University of MD School of Law
4. Instructor	National Judicial College
5. Lecturer	Pass the Maryland Bar, Inc.
6. Director	Open Society Institute-Baltimore
7. Member of the Board	Baltimore Urban Debate League, Inc.
8. Member of the Board	Community Law in Action, Inc.

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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. 12/24/2009	State of MD	\$3,750.00
2. 4/1/2009	Pass the Maryland Bar, Inc.	\$1,008.00
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. 12/31/2009	Self Employed Education Consultant
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. Harvard Law School	September 28-October 2, 2009	Cambridge, MA	Instructor/Trial Advocacy Course	Transportation, Lodging, and Food
2. Villanova Law School	February 21, 2009	Villanova, PA	Moot court	Transportation, Lodging, and Food
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.)*

<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. Sovereign Bank	Mortgage on Rental Property/ Eastham, MA	0
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/d /yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. Citibank Accounts	A	Interest	K	T					
2. Capital One Accounts	A	Interest	J	T					
3. Bank of America Accounts	A	Interest	K	T					
4. Google Common Stock		None			Sold	06/08/09	K	A	
5. Legg Mason Common Stock	A	Dividend			Sold	01/29/09	K	A	
6. Roper Indus. Common Stock	A	Dividend			Buy	01/06/09	J		
7. --					Sold (part)	04/14/09	J	A	
8. --					Sold	05/27/09	K	A	
9. Suntech Power Hldgs Common Stock		None			Buy	02/02/09	J		
10. --					Sold	05/21/09	K	D	
11. AES Corp. Common Stock		None			Buy	04/07/09	J		
12. --					Buy (add'l)	04/14/09	J		
13. --					Sold	06/19/09	K	C	
14. Apartment Investment & Management Co Class A Common Stock	A	Dividend			Buy	01/06/09	J		
15. --					Buy (add'l)	02/13/09	J		
16. --					Buy (add'l)	04/07/09	J		
17. --					Buy (add'l)	04/14/09	J		

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 - \$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)					

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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)
18. --					Sold	05/27/09	K	C	
19. Bank of America Common Stock	A	Dividend			Buy (add'l)	01/06/09	J		
20. --					Buy (add'l)	01/20/09	J		
21. --					Buy (add'l)	01/29/09	J		
22. --					Buy (add'l)	01/13/09	J		
23. --					Sold (part)	02/24/09	K	C	
24. --					Sold (part)	05/12/09	J	D	
25. --					Sold	06/08/09	J	D	
26. Clean Energy Fuels Corp. Common Stock		None			Buy	02/24/09	J		
27. --					Sold	06/04/09	K	D	
28. General Electric Common Stock	A	Dividend			Buy (add'l)	01/29/09	J		
29. --					Buy (add'l)	02/13/09	J		
30. --					Sold	06/04/09	K	A	
31. Hewlett Packard Common Stock	A	Dividend			Buy (add'l)	01/06/09	J		
32. --					Buy (add'l)	02/13/09	J		
33. --					Sold	06/04/09	K	B	
34. Johnson & Johnson Common Stock		None			Sold	02/13/09	K	A	

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$30,001 - \$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 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	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)					

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35. Merck Common Stock	A	Dividend			Sold	06/04/09	K	A	
36. Qwest Communications Common Stock	A	Dividend			Sold	06/04/09	K	A	
37. Starbucks Common Stock		None			Buy	01/29/09	J		
38. -					Sold	04/15/09	K	B	
39. Verizon Common Stock		None			Sold	01/16/09	K	A	
40. Lines 40 to 78 report CLOSED-END and EXCHANGE TRADED FUNDS									
41. India Fund		None	K	T	Sold (part)	01/06/09	K	A	
42. IShares Silver Trust	A	Distribution	J	T	Sold (part)	02/24/09	J	D	
43. IShares S & P Global Clean Energy	A	Dividend			Sold	02/02/09	J	A	
44. IShares MSCI Brazil Index		None			Buy	05/27/09	K		
45. --					Sold	06/08/09	K	A	
46. IShares HK China Index		None			Buy	05/27/09	K		
47. --					Sold	06/08/09	K	B	
48. IShares MSCI emerging Markets Index		None			Buy	04/14/09	K		
49. --					Buy (add'l)	04/15/09	J		
50. --					Sold	06/04/09	K	D	
51. Morgan Stanley China A Shares Fund	A	Dividend			Buy (add'l)	01/06/09	J		

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	
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52. --					Sold	01/29/09	K	A	
53. Powershares Wilderhill Clean Energy Portfolio		None			Buy (add'l)	02/02/09	J		
54. --					Buy (add'l)	04/14/09	J		
55. --					Buy (add'l)	04/16/09	J		
56. --					Sold	06/04/09	K	D	
57. Powershares QQQ Trust Series 1	A	Dividend			Buy (add'l)	04/14/09	J		
58. --					Sold (part)	04/07/09	J	B	
59. --					Sold	06/04/09	K	D	
60. Powershares Ex Traded FD Dynamic Clean Tech Port Trust	A	Dividend	K	T					
61. Powershares Golden Dragon Halter USX China Portfolio (X)	A	Dividend	K	T					
62. Royce Micro Cap Trust		None			Buy (add'l)	01/29/09	J		
63. --					Buy (add'l)	02/02/09	J		
64. --					Buy (add'l)	03/06/09	J		
65. --					Buy (add'l)	05/18/09	J		
66. --					Sold	06/04/09	J	B	
67. Royce Focus Trust, Inc.	A	Dividend			Buy (add'l)	01/06/09	K		
68. --					Buy (add'l)	02/13/09	J		

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69. --					Buy (add'l)	03/16/09	J		
70. --					Sold	06/04/09	K	C	
71. Select Sector SPDR Utilities	A	Dividend			Buy	03/25/09	K		
72. --					Buy (add'l)	03/31/09	J		
73. --					Sold	06/09/09	J	A	
74. Select Sector SPDR TRX Financial		None			Buy (add'l)	04/15/09	J		
75. --					Sold	06/09/09	K	A	
76. Templeton Dragon Fund		None			Sold	04/14/09	K	A	
77. Diamonds Trust Series 1		None			Buy	05/27/09	K		
78. --					Sold	06/04/09	K	A	
79. Lines 80 to 84 report MUTUAL FUNDS									
80. Davis NY Venture Fund Class C	A	Dividend	K	T					
81. Europacific Growth Fund Class A	A	Distribution	K	T					
82. Legg Mason Opportunity Trust		None	J	T					
83. Legg Mason Value Trust	A	Distribution	J	T					
84. T Rowe Price Growth Fund	A	Distribution	J	T					
85. Rental Property--Eastham, MA (X)	A	Rent	P1	W					

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86. Trust No. 1 This is an income beneficiary trust.	E	Distribution	P1	W					

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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

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL 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