

FINANCIAL DISCLOSURE REPORT

FOR CALENDAR YEAR 2006

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 6/6/2007
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 <u>X</u> Annual ___ Final		6. Reporting Period 1/1/2006 to 12/31/2006
		5b. ___ Amended Report		
7. Chambers or Office Address U.S. Courthouse 333 Constitution Ave., NW Washington, DC 20001		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 Instructions.)

POSITION

NAME OF ORGANIZATION/ENTITY

☒

NONE (No reportable positions.)

1

2

3

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of Instructions.)

DATE

PARTIES AND TERMS

☒

NONE (No reportable agreements.)

1

2

III. NON-INVESTMENT INCOME. (Reporting individual and spouse; see pp. 17-24 of Instructions.)

DATE

SOURCE AND TYPE

A. Filer's Non-Investment Income

☒

NONE (No reportable non-investment income.)

1

2

3

\$

\$

\$

B. Spouse's Non-Investment Income - If you were married during any portion of the reporting year, please complete this section. (dollar amount not required except for honoraria)

☐

NONE (No reportable non-investment income.)

1

2006

2

RECEIVED
2007 JUN 11 A 10:14
FINANCIAL
DISCLOSURE OFFICE
INCOME

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IV. REIMBURSEMENTS -- transportation, lodging, food, entertainment.*(Includes those to spouse and dependent children. See pp. 25-27 of Instructions.)*SOURCEDESCRIPTION☐ **NONE** (No such reportable reimbursements.)

1	The Aspen Institute, Queenstown, MD	Travel and lodging expenses for educational program, March 31-April 2, 2006
2	New York Law School, NYC, NY	Travel and lodging expenses for judging moot court, Sept. 9-10, 2006
3		
4		
5		
6		
7		

V. GIFTS. *(Includes those to spouse and dependent children. See pp. 28-31 of Instructions.)*SOURCEDESCRIPTIONVALUE☒ **NONE** (No such reportable gifts.)

1		\$
2		\$
3		\$
4		\$

VI. LIABILITIES. *(Includes those of spouse and dependent children. See pp. 32-33 of Instructions.)*CREDITORDESCRIPTIONVALUE CODE*☒ **NONE** (No reportable liabilities.)

1		
2		
3		
4		
5		

*Value Codes:	J=\$15,000 or less	K=\$15,001-\$50,000	L=\$50,001-\$100,000	M=\$100,001-\$250,000
	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=\$50,000,001 or more

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VII. Page 1 INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children. See pp. 34-60 of Instructions.)

A. Description of Assets (including trust assets) <i>Place "(X)" after each asset exempt from prior disclosure.</i>	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	If not exempt from disclosure			
	Amt. Code 1 (A-T)	Type (e.g., div. rent or int.)	Value Code2 (J-P)	Value Method Code3 (Q-W)	Type (e.g., buy, sell, merger, redemption)	(2) Date: Month- Day	(3) Value Code2 (J-P)	(4) Gain Code1 (A-H)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income, assets, or transactions.)									
1 Union First Account	A	Interest	K	T					
2 Sun Trust Accounts	A	Interest	J	T					
3 Zirkin - City Nat'l Inv. - PSP - C									
4 -- Fidelity Adv. Growth & Income	A	Dividend	K	T					
5 -- CNI Charter Prime Money Fund	A	Dividend	J	T					
6 -- CISCO Sys. Common		None	K	T					
7 -- Arlington Tankers Common		None	K	T					
8									
9 -- Chevron Texaco Common		None	L	T					
10 -- HP Common		None	K	T					
11									
12									
13 Zirkin-City Natl Inv. - 401K - C									
14 -- CNI Charter Prime Money Fund	B	Dividend	K	T					
15 -- Abbott Labs - Common		None	K	T					
16 -- Amer Int'l Group - Common		None	K	T					
17									
18 -- Auto Data Proc - Common		None	K	T					

1	Income/Gain Codes: A=\$1,000 or less (See Col. B1, D4)	F=\$50,001-\$100,000	B=\$1,001-\$2,500 G=\$100,001-\$1,000,000	C=\$2,501-\$5,000 H=\$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: J=\$15,000 or less (See Col. C1, D3)	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	
3	Value Method Codes: Q=Appraisal (See Col. C2)	U=Book value	R=Cost (real estate only) V=Other	S=Assessment W=Estimated	T=Cas /Market	

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A. Description of Assets (including trust assets) <i>Place "(X)" after each asset exempt from prior disclosure.</i>	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	If not exempt from disclosure			
	Amt. Code1 (A-I)	Type (e.g., div., rent or int.)	Value Code2 (J-P)	Value Method Code (Q-W)	Type (e.g., buy, sell, merger, redemption)	(2) Date Month- Day	(3) Value Code2 (J-P)	(4) Gain Code1 (A-I)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income, assets, or transactions)									
19 -- Amer Cap Str Common		None	K	T					
20 -- Dow Chem Common		None	K	T					
21 -- Home Depot - Common		None	K	T					
22 -- JP Morgan Chase & Co - Common		None	K	T					
23									
24 -- Pfizer Common		None	K	T					
25 -- Tyco Int'l Common		None	K	T					
26									
27 -- Bank of Amer. - Common		None	K	T					
28 -- SLM Corp. - Common		None	K	T					
29 -- Wash Mutual Common		None	K	T					
30 -- Procter & Gamble - Common		None	K	T					
31 -- Zimmer Hldgs - Common		None	K	T					
32 -- Verizon Common		None	K	T	spinoff	11/27	J		
33 -- Idearc Common		None	J	T	spinoff	11/27	J		
34 -- Capital One Fin'l Common		None	L	T					
35 -- Quest Diag. - Common		None	L	T					
36 -- Baxter Int'l Pref					merger	2/17	K		
-- Baxter Int'l Common		None	K	T	merger	2/17	K		

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2	Value Codes: (See Col. C1, 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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	(1)	(2)	(1)	(2)	(1)	If not exempt from disclosure			
	Amt. Code1 (A-H)	Type (e.g., div., rent, or int.)	Value Code2 (J-P)	Value Method Code (Q-W)	Type (e.g., buy, sell, merger, redemption)	(2) Date Month- Day	(3) Value Code2 (J-P)	(4) Gain Code1 (A-H)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income, assets, or transactions)									
37 Smith Barney - Joint									
38 -- Citibank Money Fund	A	Interest	J	T					
39 -- AIM Aggressive Growth	A	Dividend	J	T	merger	3/27	J		
40 -- AIM Const Fund C	A	Dividend	K	T	merger	3/27	J		
41 -- GE (Genworth) Life & Annuity	B	Dividend	K	T					
42 -- Transamerica Life Annuity (PLF endeavor)	A	Dividend	J	T					
43 -- Fidelity Blue Chip Growth	A	Dividend	J	T					
44 -- Fidelity Dividend Growth	A	Dividend	J	T					
45 Zirkin - USB Fin'l Servs - IRA - J									
46 -- AT&T Inc. Common		None	K	T					
47 -- IBM Common		None	K	T					
48 -- Medtronic Common		None	K	T					
49 -- UBS PW Retirement Money Fund	A	Dividend	K	T					
50 -- Windstream Corp. Common					spinoff	7/18	J		
					sell	7/28	J		
-- Alltel Corp. Common		None	K	T	buy	7/28	J		
51 -- Genuine Parts Common		None	K	T					
52 -- Untd Tech Common		None	K	T					
53									

1	Income/Gain Codes: (See Col. B1, 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 Col. C1, 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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	(1)	(2)	(1)	(2)	(1)	If not exempt from disclosure			
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☐ NONE (No reportable income, assets, or transactions)									
54 -- Colgate Palmolive Common		None	K	T					
55 -- Tribune Common		None	K	T					
56 Zirkin - UBS Fin'l Servs. - IRA - C									
57 -- CINN Fin'l Corp. Common	B	Dividend	K	T					
58 -- UBS PW Retirement Money Fund	A	Dividend	J	T					
59 Citibank Account - B	A	Interest	J	T	withdraw	var.	J		
60 Smith Barney - K									
61 -- AIM Const. Fund	A	Dividend	J	T					
62 -- Invest Co. of Amer	A	Dividend	J	T					
63 -- Fidelity Blue Chip Growth	A	Dividend	J	T					
64 -- Fidelity Dividend Growth	A	Dividend	K	T					
65 Zirkin - UBS Fin'l Servs. - Joint									
66 -- Citigroup Common		None	K	T					
67 -- Clorox Common		None	K	T					
68 -- First Data Common		None	J	T	spinoff	10/2	J		
69 -- Western Union Common		None	J	T	spinoff	10/2	J		
70 -- Fiserv Inc. Common		None	K	T					
71 -- Gannett Co. Common		None	K	T					

1	Income/Gain Codes: A=\$1,000 or less (See Col. B1, D4)	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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VII. Page 5 INVESTMENTS and TRUSTS -- income, value, transactions *(Includes those of spouse and dependent children. See pp. 34-60 of Instructions.)*

[illegible]

1	Income/Gain Codes: (See Col. B1, 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 Col. C1, 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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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS (Indicate part of Report.)

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 

Date June 6, 2007

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