

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) Barkett, Rosemary	2. Court or Organization U.S. Court of Appeals, 11 Cir.	3. Date of Report 5/1/2012
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 01/01/2011 to 12/31/2011
7. Chambers or Office Address 99 NE 4th Street Suite 1223 Miami, FL 33132		
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. Insert signature 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.	Trustee	Trust #1
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. 9/1/79	State of Florida, Div. of Retirement; Sect. 401(a), IRC
2. 10/1/82	Aetna Life Ins.; Deferred Comp., Sect. 457, IRC
3. 3/3/87	Nationwide Life Ins.; Deferred Comp., Sect. 457, IRC

FINANCIAL DISCLOSURE REPORT

Page 2 of 9

Name of Person Reporting

Barkett, Rosemary

Date of Report

5/1/2012

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. 2011	State of Florida Retirement (Aetna & Nationwide)	\$15,306.95
2. 2011	State of Florida Judicial Retirement	\$52,153.38
3. July 2011	New York University - Teaching Appellate Judges Seminar	\$1,800.00
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.	
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. American Bar Association - Litigation Joint Committee CLE Seminar	1/27/2011 - 1/29/2011	Snowmass, CO	Attend seminar	airfare, meals, lodging
2. American Bar Association - Public Understanding of the courts in the Age of New Media	2/17/2011 - 2/18/2011	Phoenix, AZ	Conference	airfare, meals, lodging
3. American Bar Association - ROLI MENA Meeting	2/24//2011 - 2/25/2011	Washington DC	Meeting	airfare, mealis, lodging
4. American Bar Association - ROLI MENA Meeting	4/3/2011 - 4/4/2011	Washington DC	Meeting	airfare, meal, lodging

FINANCIAL DISCLOSURE REPORT

Page 3 of 9

Name of Person Reporting

Barkett, Rosemary

Date of Report

5/1/2012

5.	American Bar Association - ROLI MENA Meeting	5/3/2011 - 5/4/2011	Washington, DC	Meeting	airfare, meals, lodging
6.	American Bar Association - MENA Council Chair Meeting with Morocco, Egypt, Tunisia	06/12/2011 - 06/26/2011	Morocco, Egypt, Tunisia	Meeting / Conference	airfare, meal, lodging
7.	New Appellate Judge Seminar - New York University	07/10/2011 - 07/15/2011	New York, New York	Attend Seminar	airfare, meals, lodging
8.	University of Florida Lecture Series	09/12/2011 - 09/12/2011	Gainseville, FL	Panel-Lecture	airfare, meals, lodging
9.	Pepperdine University	09/23/2011 - 09/24/2011	Los Angeles, CA	Meeting	airfare, meals, lodging
10.	National Association Women of Judges Annual Conference	10/12/2011 - 10/13/2011	Newark, NJ	Conference	airfare, meals, lodging

FINANCIAL DISCLOSURE REPORT
Page 4 of 9

Name of Person Reporting
Barkett, Rosemary

Date of Report
5/1/2012

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.	Wachovia Bank (re-mortgage)	Real Estate Mortgage (1/2 owner)	L
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 5 of 9

Name of Person Reporting

Barkett, Rosemary

Date of Report

5/1/2012

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-I)	(5) Identity of buyer/seller (if private transaction)
1. AT & T, Inc (formerly SBC & before that Pacific Telesis)	A	Dividend	J	T					
2. Altera	A	Dividend	L	T					
3. Amgen, Inc (Amgn)	A	Dividend	L	T					
4. Apple		None	M	T					
5. Applied Materials	A	Dividend	K	T					
6. Atul (formerly Firstcom FCLX)		None	J	T					
7. Bank of America	A	Dividend	J	T					
8. Cisco	A	Dividend	K	T					
9. Citicorp (c) formerly Travelers Group		None	J	T					
10. Coca Cola (KO)	A	Dividend	K	T					
11. Corning, Inc. (GLW)	A	Dividend	K	T					
12. Dell		None	J	T					
13. Walt Disney (DIS)	A	Dividend	J	T					
14. EMC Corp.		None	K	T					
15. Federal National Mortgage Association (Fannie MAE)		None	J	T					
16. Fld.Contra Fd FCNTX		None	K	T					
17. Hewlett-Packard (HPQ)	A	Dividend	K	T					

1. Income Gain Codes:
(See Columns B1 and D4)

A = \$1,000 or less

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

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

3. Value Method Codes
(See Column C2)

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 6 of 9

Name of Person Reporting

Barkett, Rosemary

Date of Report

5/1/2012

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-I)	(5) Identity of buyer/seller (if private transaction)
18. Intel Corporation	A	Dividend	L	T					
19. IBM	A	Dividend	J	T					
20. JP Morgan Chase (JPM)	A	Dividend	K	T					
21. Microsoft Corporation (MSFT)	A	Dividend	K	T					
22. Nokia Corp. (NOK)	A	Dividend	J	T					
23. North. Trust NTRS	A	Dividend	K	T					
24. Qualcomm, Inc. (QCOM)	A	Dividend	J	T					
25. Research Motion LTD		None			Sold	2/18/11	J	B	
26. Texas Instruments	A	Dividend	K	T					
27. Wells Fargo	A	Dividend	J	T					
28. Live Ops		None	L	T					
29. Aetna Deferred Comp Plan (now ING Life)	D	Dividend	L	T					
30. Nationwide	D	Dividend	L	T					
31. Skandia now GldnSelect (Am. Skandia transferred into ING)		None			Redeemed	5/1/11	M		
32. Citibank Money Market	A	Int./Div.	M	T					
33. TRUST # 1 (Global Managed Portfolio Level 5 (Citibank))	D	Dividend	O	T					
34. Citigroup SMANS Energy	A	Int./Div.	M	T					

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(See Columns B1 and D4)

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C=\$2,501 - \$5,000
H=\$1,000,001 - \$5,000,000

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

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

I12=More than \$5,000,000
M=\$100,001 - \$250,000
P2=\$5,000,001 - \$25,000,000

3. Value Method Codes
(See Column C2)

Q=Appraisal
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FINANCIAL DISCLOSURE REPORT

Page 7 of 9

Name of Person Reporting

Barkett, Rosemary

Date of Report

5/1/2012

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35. IRA #1 (ClearBridge Multi Cap Growth Portfolios (Citibank))	A	Dividend	M	T					
36.									
37. Re-Parcel 1-Lake Park, FL (1/2 ownership)		None	N	W					
38. Re-Parcel 2-Key Largo, FL (1/4 ownership)		None	K	W					
39. Re-Parcel 4-Homestead, FL (1/3 ownership)		None	L	W					
40. Re-Parcel 5-Homestead, FL (1/2 ownership)		None	L	W					
41.									

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(See Columns B1 and D4)

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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)

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FINANCIAL DISCLOSURE REPORT
Page 8 of 9

Name of Person Reporting	Date of Report
Barkett, Rosemary	5/1/2012

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

FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

Barkett, Rosemary

Date of Report

5/1/2012

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/ Rosemary Barkett**

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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