

United States Court of Appeals  
for the Federal Circuit

Chambers of  
Pauline Newman  
United States Circuit Judge

August 27, 2008

717 Madison Place, N.W.  
Washington, D.C. 20439  
Phone: 202-633-5841  
[REDACTED]

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

RE: Calendar Year 2007 Filing

Dear Judge Smith:

In response to your letter of July 1, 2008, enclosed are three copies of my amended financial disclosure report for 2007. The additional information requested in your letter is at section I line 3 and section VII lines 7, 11, 12, and 21.

Please advise if anything else is needed.

Sincerely,

[REDACTED]

FAX to Mr. George D. Reynolds  
(202) 502-1899

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# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2007

Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)

|                                                                                                                                                                                                        |                                                                                                                                                                                                                                                                           |                                                                    |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------|
| <b>1. Person Reporting</b> (last name, first, middle initial)<br><br>NEWMAN, PAULINE                                                                                                                   | <b>2. Court or Organization</b><br><br>U.S. Ct. of Ap. for Fed. Cir.                                                                                                                                                                                                      | <b>3. Date of Report</b><br><br>05/14/2008<br><b>Rev. 08.27.08</b> |
| <b>4. Title</b> (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)<br><br>Circuit Judge - Active Status                                              | <b>5a. Report Type</b> (check appropriate type)<br><br><input type="checkbox"/> Nomination,      Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final<br><b>5b.</b> <input type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br><br>01/01/2007<br>to<br>12/31/2007   |
| <b>7. Chambers or Office Address</b><br><br>717 Madison Place, N.W.<br>Washington, D.C. 20439                                                                                                          | <b>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.</b><br><br>Reviewing Officer _____ Date _____                                          |                                                                    |
| <b>IMPORTANT NOTES:</b> 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. Advisory & Review Committee | Advanced Science & Technology Adjudication Project       |
| 2. Advisory Committee          | George Mason Univ. School of Law, Law & Economics Center |
| 3. Trustee                     | Trusts (Trust #1, Trust #2)                              |
| 4. Director                    | Rule of Law Foundation                                   |
| 5. Director                    | Judiciary Leadership Development Council                 |

## 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.          |                          |

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**FINANCIAL DISCLOSURE REPORT**

Page 2 of 8

Name of Person Reporting

NEWMAN, PAULINE

Date of Report

05/14/2008

**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><br>(yours, not spouse's) |
|-------------|-------------------------------------------------------|----------------------------------------|
| 1. 2007     | Pension, FMC Corporation, earned before entry on duty | \$ 35,100.00                           |
| 2. 2007     | Royalty, West Publishing Company, textbook            | \$ 3,086.72                            |
| 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. | American Intellectual Property Law Association         | January 26-27, 2007 | New Orleans, Louisiana  |                | Travel, Lodging and Food.     |
| 2. | New York Intellectual Property Law Association         | March 23, 2007      | New York, New York      |                | Travel, Lodging and Food.     |
| 3. | Fordham University School of Law                       | April 11-12, 2007   | New York, New York      |                | Travel, Lodging and Food.     |
| 4. | New Jersey Intellectual Property Law Association       | June 8, 2007        | Short Hills, New Jersey |                | Lodging and Food.             |
| 5. | Federal Circuit Bar Association Bench & Bar Conference | June 27-30, 2007    | Cambridge, Maryland     |                | Travel, Lodging and Food.     |

**FINANCIAL DISCLOSURE REPORT**

Page 3 of 8

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NEWMAN, PAULINE

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05/14/2008

|    |                                                                   |                          |                       |                           |
|----|-------------------------------------------------------------------|--------------------------|-----------------------|---------------------------|
| 6. | Practicing Law Institute<br>PLI Conference Center                 | July 11,<br>2007         | New York, New<br>York | Travel, Lodging and Food. |
| 7. | Intellectual Property<br>Owners Association<br>Annual Meeting     | September<br>10-11, 2007 | New York, New<br>York | Travel, Lodging and Food. |
| 8. | Advanced Science &<br>Technology Adjudication<br>Project          | October<br>5-6, 2007     | Baltimore, Maryland   | Travel, Lodging and Food. |
| 9. | Sedona Conference on<br>Intellectual Property Law<br>& Litigation | October<br>10-11, 2007   | Sedona, Arizona       | Travel, Lodging and Food. |

**FINANCIAL DISCLOSURE REPORT**

Page 4 of 8

Name of Person Reporting

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05/14/2008

**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 5 of 8

Name of Person Reporting

NEWMAN, PAULINE

Date of Report

05/14/2008

Rev.08.27.08

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end of<br>reporting period |                                           | D.<br>Transactions during reporting period      |                               |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>Month -<br>Day | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 1. T.Rowe Price Mut.Funds (New Horizon;<br>Div. Gr. Sci&Tech.Fund)                                                          | A                                       | Dividend                                      | K                                               | T                                         | Donatd-in-pt                                    |                               |                                 |                                |                                                                   |
| 2. PNC Bank Accounts                                                                                                        | B                                       | Interest                                      | N                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 3. First Trust Municipal Bond Fund<br>(Oppenheimer)                                                                         | B                                       | Interest                                      | K                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 4. First Trust Municipal Bond Fund<br>(Oppenheimer)                                                                         | B                                       | Interest                                      | J                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 5. American Century Growth Mutual Fund                                                                                      | A                                       | Dividend                                      | M                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 6. Oppenheimer Municipal Bond Fund                                                                                          | C                                       | Interest                                      | L                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 7. American Capital Bond Fund (Trust #2)                                                                                    | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 8. Corporate High Yield Mutual Bond Fund<br>(Merrill Lynch)                                                                 | B                                       | Dividend                                      | K                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 9. Bedford Money Market Portfolio                                                                                           | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 10. Invesco Health Sci. Mut. Fd. (now AIM<br>Health Sci. Mut. Fd.)                                                          | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 11. Oklahoma Gas & Electric Co. (Common)<br>(Trust #1)                                                                      | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 12. Remington Oil & Gas Corp. (Trust #1)                                                                                    |                                         | None                                          | J                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 13. American Century Select Mutual Fund                                                                                     | A                                       | Dividend                                      | M                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 14. MFS Emerging Growth Mutual Fund                                                                                         | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 15. Putnam Europe Mutual Fund                                                                                               | B                                       | Dividend                                      | M                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 16. Franklin NY Mutual Fund                                                                                                 | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 17. Franklin Flex Cap Growth Mutual Fund                                                                                    | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |

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

# FINANCIAL DISCLOSURE REPORT

Page 6 of 8

Name of Person Reporting

NEWMAN, PAULINE

Date of Report

05/14/2008

Rev. 08.27.08

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end of<br>reporting period |                                           | D.<br>Transactions during reporting period      |                               |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>Month -<br>Day | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 18. Putnam Health Science Mutual Fund                                                                                       | B                                       | Dividend                                      | L                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 19. Nasdaq 100 Trust                                                                                                        |                                         | None                                          | K                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 20. First Eagle Global Mutual Fund                                                                                          | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 21. Diamonds Unit Tr. (X)                                                                                                   | A                                       | Dividend                                      |                                                 |                                           | Donated                                         | 12/28                         | J                               |                                |                                                                   |

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

**FINANCIAL DISCLOSURE REPORT**

Page 7 of 8

Name of Person Reporting

NEWMAN, PAULINE

Date of Report

05/14/2008

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

# FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

NEWMAN, PAULINE

Date of Report

05/14/2008

## 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

**FINANCIAL DISCLOSURE REPORT  
FOR CALENDAR YEAR 2007**

Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)

|                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                           |                                                                  |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting</b> (last name, first, middle initial)<br><br>NEWMAN, PAULINE                                                                                                                      | <b>2. Court or Organization</b><br><br>U.S. Ct. of Ap. for Fed. Cir.                                                                                                                                                                                                                      | <b>3. Date of Report</b><br><br>05/14/2008                       |
| <b>4. Title</b> (Article III judges indicate active or senior status;<br>magistrate judges indicate full- or part-time)<br><br>Circuit Judge - Active Status                                              | <b>5a. Report Type</b> (check appropriate type)<br><br><input type="checkbox"/> Nomination,                      Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final<br><b>5b.</b> <input type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br><br>01/01/2007<br>to<br>12/31/2007 |
| <b>7. Chambers or Office Address</b><br><br>717 Madison Place, N.W.<br>Washington, D.C. 20439                                                                                                             | <b>8. On the basis of the information contained in this Report and any<br/>modifications pertaining thereto, it is, in my opinion, in compliance<br/>with applicable laws and regulations.</b><br><br>Reviewing Officer _____ Date _____                                                  |                                                                  |
| <b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts,<br>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. Advisory & Review Committee | Advanced Science & Technology Adjudication Project       |
| 2. Advisory Committee          | George Mason Univ. School of Law, Law & Economics Center |
| 3. Trustee                     | Trusts                                                   |
| 4. Director                    | Rule of Law Foundation                                   |
| 5. Director                    | Judiciary Leadership Development Council                 |

**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.          |                          |
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**FINANCIAL DISCLOSURE REPORT**

Page 2 of 8

Name of Person Reporting

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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><br>(yours, not spouse's) |
|-------------|-------------------------------------------------------|----------------------------------------|
| 1. 2007     | Pension, FMC Corporation, earned before entry on duty | \$ 35,100.00                           |
| 2. 2007     | Royalty, West Publishing Company, textbook            | \$ 3,086.72                            |
| 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. | American Intellectual Property Law Association         | January 26-27, 2007 | New Orleans, Louisiana  |                | Travel, Lodging and Food.     |
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Page 3 of 8

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|    |                                                                   |                          |                       |                           |
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| 6. | Practicing Law Institute<br>PLI Conference Center                 | July 11,<br>2007         | New York, New<br>York | Travel, Lodging and Food. |
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**FINANCIAL DISCLOSURE REPORT**

Page 4 of 8

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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.              |                    |                   |
| 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end of<br>reporting period |                                           | D.<br>Transactions during reporting period      |                               |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>Month -<br>Day | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 1. T.Rowe Price Mut.Funds (New Horizon;<br>Div. Gr. Sci&Tech.Fund)                                                          | A                                       | Dividend                                      | K                                               | T                                         | Donatd-in-pt                                    |                               |                                 |                                |                                                                   |
| 2. PNC Bank Accounts                                                                                                        | B                                       | Interest                                      | N                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 3. First Trust Municipal Bond Fund<br>(Oppenheimer)                                                                         | B                                       | Interest                                      | K                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 4. First Trust Municipal Bond Fund<br>(Oppenheimer)                                                                         | B                                       | Interest                                      | J                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 5. American Century Growth Mutual Fund                                                                                      | A                                       | Dividend                                      | M                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 6. Oppenheimer Municipal Bond Fund                                                                                          | C                                       | Interest                                      | L                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 7. American Capital Bond Fund                                                                                               | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 8. Corporate High Yield Mutual Bond Fund<br>(Merrill Lynch)                                                                 | B                                       | Dividend                                      | K                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 9. Bedford Money Market Portfolio                                                                                           | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 10. Invesco Health Sci. Mut. Fd. (now AIM<br>Health Sci. Mut. Fd.)                                                          | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 11. Oklahoma Gas & Electric Co. (Common)                                                                                    | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 12. Remington Oil & Gas Corp.                                                                                               |                                         | None                                          | J                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 13. American Century Select Mutual Fund                                                                                     | A                                       | Dividend                                      | M                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 14. MFS Emerging Growth Mutual Fund                                                                                         | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 15. Putnam Europe Mutual Fund                                                                                               | B                                       | Dividend                                      | M                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 16. Franklin NY Mutual Fund                                                                                                 | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 17. Franklin Fix Cap Growth Mutual Fund<br>(Flex)                                                                           | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |

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

# FINANCIAL DISCLOSURE REPORT

Page 6 of 8

Name of Person Reporting

NEWMAN, PAULINE

Date of Report

05/14/2008

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end of<br>reporting period |                                           | D.<br>Transactions during reporting period      |                               |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>Month -<br>Day | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 18. Putnam Health Science Mutual Fund                                                                                       | B                                       | Dividend                                      | L                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 19. Nasdaq 100 Trust                                                                                                        |                                         | None                                          | K                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 20. First Eagle Global Mutual Fund                                                                                          | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 21. Diamonds Unit Tr.                                                                                                       | A                                       | Dividend                                      |                                                 |                                           | Donated                                         | 12/28                         | J                               |                                |                                                                   |

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

**FINANCIAL DISCLOSURE REPORT**

Page 7 of 8

Name of Person Reporting

NEWMAN, PAULINE

Date of Report

05/14/2008

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

# FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

NEWMAN, PAULINE

Date of Report

05/14/2008

## 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