

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2007

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) Rothstein, Barbara J	2. Court or Organization Federal Judicial Center	3. Date of Report 08/01/2008
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) US District Court Judge	5a. Report Type (check appropriate type) ☐ Nomination, Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2007 to 12/31/2007
	5b. ☐ Amended Report	
7. Chambers or Office Address Federal Judicial Center Washington, D.C. 20002	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information. Sign on last page.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☒ NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. _____	_____
2. _____	_____
3. _____	_____
4. _____	_____
5. _____	_____

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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. _____	_____

FINANCIAL DISCLOSURE REPORT

Page 2 of 8

Name of Person Reporting

Rothstein, Barbara J

Date of Report

08/01/2008

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> (yours, not spouse's)
1.		
2.		
3.		
4.		

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*☐ NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2007	Medical Faculty Associates, Wages
2. 2007	Self Employed Consultant Fees
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. The Rutter Group	June 21-22	Seattle, WA	Conference speaker	Transportation, Lodging
2. American Law Institute-American Bar Assn	July 11-13	Santa Fe, New Mexico	Conference speaker	Transportation, Lodging
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 8

Name of Person Reporting

Rothstein, Barbara J

Date of Report

08/01/2008

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 4 of 8

Name of Person Reporting

Rothstein, Barbara J

Date of Report

08/01/2008

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. 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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

1. Amcol Common	A	Dividend	J	T					
2. El Paso Corp.	A	Dividend	J	T					
3. Equitable Resources Common	A	Dividend	K	T					
4. Motorola Inc Common	A	Dividend	L	T					
5. Oppenheimer Muni Bond Fd	D	Int./Div.	L	T					
6. Rochester Fund Muni's Cl.A	A	Int./Div.	L	T					
7. New York Muni Income	A	Int./Div.	J	T	buy	01/27	J		
8. US Bancorp Account	A	Interest	J	T					
9. Chevy Chase Bank Account	A	Interest	J	T					
10. Provident Bank		None			closed	02/07	J		
11. NA Properties Ltd Partnership	B	Rent	J	U					
12. Rental House Redmond,WA (1999 \$172,000)	E	Rent	M	R					
13. New Horizon Capital III, LP		None	K	T					
14. America Movil Ads	A	Dividend	M	T					
15. Bank One Capital Trust VI	B	Interest	K	T					
16. Elan Corp. Common		None	K	T					
17. Emulex Corp. Common		None	J	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$1,000,001 - \$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)					

FINANCIAL DISCLOSURE REPORT

Page 5 of 8

Name of Person Reporting

Rothstein, Barbara J

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08/01/2008

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18. Microsoft Corp. Common	C	Dividend	N	T					
19. 3M Company	B	Dividend	L	T					
20. XCel Energy	A	Dividend	J	T					
21. PPL Corp.	A	Dividend	K	T					
22. Applera Corp. Common	A	Dividend	K	T					
23. Costco Wholesale Corp. Common	A	Dividend	L	T					
24. Pimco Corporate Income Fund	C	Dividend	K	T					
25. Putnam Managed High Yield Tr.	B	Dividend	K	T					
26. Western Asset HI Inc.	B	Dividend	K	T					
27. Starbucks Common		None	M	T					
28. Telefonos De Mexico Common	B	Dividend	L	T					
29. Pennzoil Co Bonds	B	Dividend	K	T					
30. Nuveen Quality Preferred Income FD	A	Interest	J	T					
31. Bancorpsouth Cap Tr. Preferred	B	Interest	K	T					
32. 3Com Corp Common		None	J	T					
33. Home Depot Inc. Common	A	Dividend	K	T					
34. General Electric Co. Common	B	Dividend	K	T					

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FINANCIAL DISCLOSURE REPORT

Page 6 of 8

Name of Person Reporting

Rothstein, Barbara J

Date of Report

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35. Morgan Stanley Cap. Trust	B	Dividend	K	T					
36. CHS Cooperatives Preferred	B	Dividend	K	T					
37. CEPS Gov't&Agency Funds	D	Dividend	N	T					
38. CMS Energy		None	J	T					
39. Pioneer Floating Rate Trust (PHD)	C	Dividend	K	T					
40. Eaton Vance Enhanced Equity Fund	B	Dividend	K	T					
41. Eaton Vance Enhanced Equity Income Fd II	E	Interest	M	T					
42. RMR Preferred Dividend Fund	B	Dividend	J	T					
43. Unit FT Target Triad Port	A	Dividend			sell	09/06	L	D	
44. Dreyfus Premier Great China Fund	A	Dividend	K	T	buy	01/25	K		
45.					buy	12/21	J		
46. Eaton Vance Greater China Fund		None	K	T	buy	01/25	J		
47. Dell, Inc		None	J	T					
48. ETrade Money Market Funds	A	Interest	K	T					
49. Cybersource Corp. Common		None	J	T					

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FINANCIAL DISCLOSURE REPORT

Page 7 of 8

Name of Person Reporting

Rothstein, Barbara J

Date of Report

08/01/2008

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

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

Rothstein, Barbara J

Date of Report

08/01/2008

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

A large black rectangular redaction box covering the signature area.

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