

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2009

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

1. Person Reporting (last name, first, middle initial) Rothstein, Barbara J.	2. Court or Organization Federal Judicial Center	3. Date of Report 07/31/2010
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 5b. ☐ Amended Report	6. Reporting Period 01/01/2009 to 12/31/2009
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.)

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

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

☒ NONE (No reportable agreements.)

DATE	PARTIES AND TERMS
1. _____	_____
2. _____	_____
3. _____	_____

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

A. Filer's Non-Investment Income

☒ NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1.		
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. 2009	Medical Faculty Associates, Wages
2. 2009	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. Duke Law Journal's Conference	January 5-6, 2009	Raleigh-Durham, NC	Speaker, Panel Participant	Transportation, Lodging
2. ALI-ABA ROLI Board Meeting	February 11-13, 2009	Boston, MA	Meeting	Transportation, Meals, Lodging
3. 2009 Byrne Judicial Clerkship Institute	March 19-21, 2009	Malibu, CA	Speaker, Panel Participant	Transportation
4. The Rutler Group	June 4, 2009	Seattle, WA	Speaker, Panel Participant	Transportation, Meals
5. Aspen Institute	July 10-16, 2009	Aspen, CO	Speaker, Panel Participant	Lodging, Meals
6. ROLI Board Meeting	July 31, 2009	Chicago, IL	Meeting	Transportation, Lodging, Meals

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7.	Sedona Conference Judicial Advisory	August 27-29, 2009	New York, NY	Meeting	Transportation, Lodging, Meals
8.	The State Department/Fordham University - Judicial Training for Judges in Africa	September 19-October 2, 2009	Uganda, Rwanda, Kenya	Participant	Transportation, Lodging, Meals
9.	WSTLA Legal Education Seminars, Inc.	October 7-9, 2009	Seattle, WA	Speaker	Transportation, Lodging, Meals
10.	4th IOJT Conference	October 23-30, 2009	Sydney, Australia	Participant	Transportation, Lodging, Meals

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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. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
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	J	T					
5. New York Muni Income	A	Int./Div.	J	T					
6. American Euro Pacific Growth Fnd C	A	Dividend	K	T					
7. American New World Fnd C	A	Dividend	K	T					
8. US Bancorp Account	A	Interest	J	T					
9. Chevy Chase Bank Account	A	Interest	J	T					
10. NA Properties Ltd Partnership	B	Distribution	J	U					
11. Rental House Redmond, WA (1999 \$172,000)	E	Rent	M	R					
12. New Horizon Capital III, LP	D	Distribution	M	U					
13. Rental Townhouse Strasburg, VA (2009 \$135,000)	D	Rent	M	R					
14. America Movil Ads	B	Dividend	M	T					
15. Bank One Capital Trust VI	B	Interest	K	T					
16. E.Ian Corp. Common		None	J	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 = \$25,000,001 - \$50,000,000	H = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	
3. Value Method Codes (See Column C2)					

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VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code I (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
18. Microsoft Corp. Common	C	Dividend	M	T					
19. 3M Company	B	Dividend	L	T					
20. XCEL Energy	A	Dividend	J	T					
21. PPL Corp.	A	Dividend	J	T					
22. Life Technologies Corp		None	K	T					
23. Costco Wholesale Corp. Common	A	Dividend	L	T					
24. Western Asset III Inc.	B	Dividend	K	T					
25. Starbucks Common	C	Dividend	M	T					
26. Telefonos De Mexico Common	B	Dividend	K	T					
27. Telmex International	A	Dividend	K	T					
28. Pennzoil Co Bonds	B	Dividend			Redeemed	11/16/09	J		
29. Nuveen Quality Preferred Income FD	A	Interest	J	T					
30. Bancorpsouth Cap Tr. Preferred	B	Interest	K	T					
31. 3Corn Corp Common		None	K	T					
32. Home Depot Inc. Common	A	Dividend	K	T					
33. General Electric Co. Common	B	Dividend	K	T					
34. Morgan Stanley Cap. Trust	B	Dividend	K	T					

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

A = \$1,000 or less
F = \$50,001 - \$100,000

B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000

C = \$2,501 - \$5,000
H1 = \$1,000,001 - \$5,000,000

D = \$5,001 - \$15,000
H2 = More than \$5,000,000

E = \$15,001 - \$50,000

2. Value Codes
(See Columns C1 and D3)

J = \$15,000 or less
N = \$250,001 - \$500,000

K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000

L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000

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

3. Value Method Codes
(See Column C2)

P3 = \$25,000,001 - \$50,000,000
Q = Appraisal
U = Book Value

R = Cost (Real Estate Only)
V = Other

P4 = More than \$50,000,000
S = Assessment
W = Estimated

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☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
35. CHS Cooperatives Preferred	B	Dividend	K	T					
36. CEPS Gov't&Agency Funds	A	Dividend	M	T					
37. CMS Energy	A	Dividend	J	T					
38. Pioneer Floating Rate Trust (PHD)	B	Dividend	J	T					
39. Eaton Vance Enhanced Equity Income Fund	B	Dividend	K	T					
40. Eaton Vance Enhanced Equity Income Fd II	E	Interest	M	T					
41. RMR Preferred Dividend Fund	A	Dividend	J	T					
42. Dreyfus Premier Greater China Fund		None	K	T					
43. Eaton Vance Greater China Fund Cl A	A	Dividend	K	T					
44. Visa Inc	A	Dividend	M	T					
45. IBM	B	Dividend	M	T					
46. NJF Dividend Interest Premium Strategy Fund	B	Dividend	K	T					
47. Dell, Inc		None	J	T					
48. ETrade Money Market Funds	A	Interest	K	T					
49. Cybersource Corp. Common		None	K	T					

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

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

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IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

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