

UNITED STATES DISTRICT COURT

DISTRICT OF MARYLAND

CHAMBERS OF
ANDRE M. DAVIS
UNITED STATES DISTRICT JUDGE

U.S. COURTHOUSE
101 W. LOMBARD STREET
BALTIMORE, MARYLAND 21201
(410) 962-0801
[REDACTED]

August 7, 2009

The Honorable Bobby R. Baldock
Chair
Judicial Conference of the United States
Committee on Financial Disclosure
One Columbus Circle, N.E.
Washington, D.C. 20544

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Dear Judge Baldock

Thank you for your letter dated July 14, 2009, identifying certain entries in my 2009 Financial Disclosure Report which call for my attention. As set forth below, this letter amends my report as needed.

Part VII, page 16, line 214 is amended to delete the word "part" in column D(1);

Part VII, page 14, line 180, is amended by the inclusion of the word sold in column D(1);
and

Part VII, page 18, line 250, is amended to include the following note in column A: "This is an income beneficiary asset."

Very truly yours

[REDACTED]
Andre M. Davis
United States District Judge

Davis, Andre M

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2008

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) Davis, Andre M.	2. Court or Organization District Court of Maryland	3. Date of Report 06/15/2009
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) District Judge	5a. Report Type (check appropriate type) ☐ Nomination, Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2008 to 12/31/2008
7. Chambers or Office Address U S Courthouse 101 W. Lombard Street Baltimore, MD 21201	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. Member	University of MD School of Law Board of Visitors
2. Member	University of MD School of Law Dean Search Committee
3. Instructor	University of MD School of Law
4. Instructor	National Judicial College
5. Lecturer	Pass the Marland Bar, Inc.
6. Director	Open Society Institute-Baltimore
7. Member of the Board	Baltimore Urban Debate League, Inc.
8. Member of the Board	Community Law in Action, Inc.

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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.	

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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. 12/24/2008	State of MD	\$3,750.00
2. 3/1/2008	Pass the Maryland Bar, Inc.	\$1,008.00
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. 12/31/2008	Fusion Partnerships, Inc.
2. 12/31/2008	Self Employed Education Consultant
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. National Judicial College	April 14-18, 2008	Sedona, AZ	CLE Course/NJC	Transportation, Lodging, and Food
2.				
3.				
4.				
5.				

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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. Sovereign Bank	Mortgage on Rental Property/ Eastham, MA	0
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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

1. Citibank Accounts	B	Interest	K	T					
2. Capital One Accounts	A	Interest	J	T					
3. Bank of America Accounts	B	Interest	L	T					
4. Superior Bank of N.E.	A	Interest			Merged (with line 2)	3/31			
5. Western Asset Money Market	A	Distribution			Closed	8/31	J		
6. Smith Barney Money Market Account	A	Distribution			Closed	3/31	J		
7. Berkshire Hathaway Class B Stock		None			Sold (part)	4/3	K	D	
8. --		None			Buy (add'l)	5/22	K		
9. --		None			Sold (part)	11/6	K		
10. --		None			Sold	12/15	K		
11. China Mobile, Ltd. Common Stock	A	Dividend			Buy	1/31	J		
12. --					Buy	2/19	J		
13. --					Buy	4/1	J		
14. --					Sold	8/6	K		
15. CountryWide Fin. Common Stock		None			Buy (add'l)	1/7	J		
16. --					Sold	1/11	K		
17. Ebay Common Stock		None			Sold	2/20	K		

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	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)					

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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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
18 Google Common Stock		None	K	T	Buy (add'l)	1/23	J		
19 --					Buy (add'l)	4/28	J		
20. --					Buy (add'l)	8/22	I		
21. --					Buy (add'l)	10/2	J		
22. --					Sold (part)	2/20	K		
23. --					Sold (part)	3/3	J	B	
24. --					Sold (part)	7/18	J	B	
25. --					Sold (part)	10/29	K		
26. Legg Mason Common Stock	A	Dividend	K	T	Buy (add'l)	11/6	J		
27. --					Buy (add'l)	11/11	J		
28. --					Buy (add'l)	12/15	J		
29. --					Sell	1/11	K		
30. Level 3 Communications Common Stock		None			Buy (add'l)	6/3	J		
31. --					Buy (add'l)	6/5	J		
32. --					Sold (part)	5/22	J	A	
33. --					Sell	8/22	K		
34. MBIA Common Stock		None			Sold	1/7	J		

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	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)					

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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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
35. Roper Indus. Common Stock		None	K	T	Buy	10/30	J		
36. --					Buy (add'l)	11/6	J		
37. --					Sold (part)	12/4	J		
38. Sirius Sat. Radio Common Stock		None			Buy (add'l)	3/6	J		
39. --					Buy (add'l)	8/25	J		
40. --					Sold (part)	10/30	J		
41. --					Sold	11/18	J		
42. Sprint Nextel Common Stock		None			Buy	1/18	J		
43. --					Sold	3/11	J		
44. Stifel Financial Common Stock		None			Buy	5/22	K		
45. --					Buy	6/2	J		
46. --					Buy	6/5	J		
47. --					Sold	7/31	K	C	
48. Sun Microsystems Common Stock		None			Buy	1/23	J		
49. --					Buy	2/7	J		
50. --					Sold (part)	5/29	J		
51. --					Sold	6/3	J	A	

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	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 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 S = Assessment W = Estimated	D = \$5,001 - \$15,000 H2 = 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
2. Value Codes (See Columns C1 and D3)					
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value				

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52. Suntech Power Hldgs Common Stock		None	K	T	Buy	3/6	K		
53. --					Buy (add'l)	4/15	J		
54. --					Buy (add'l)	4/16	J		
55. --					Buy (add'l)	4/28	J		
56. --					Buy (add'l)	10/3	K		
57. --					Buy (add'l)	10/29	J		
58. --					Buy (add'l)	12/4	J		
59. --					Sold (part)	2/22	K	A	
60. --					Sold (part)	4/3	K		
61. --					Sold (part)	5/22	K		
62. Whole Foods Common Stock		None			Buy	8/6	J		
63. --					Sold	8/26	J		
64. Yahoo Common Stock		None			Buy (add'l)	1/23	J		
65. --					Sold	2/1	J	D	
66. AES Corp. Common Stock		None	K	T	Buy	3/8	J		
67. --					Buy (add'l)	3/11	J		
68. --					Buy (add'l)	7/8	J		

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 \$5,000,000	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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69. Apartment Investment & Management Co Class A Common Stock	A	Dividend	J	T	Buy	12/4	J		
70. Bank of America Common Stock		None	J	T	Buy	1/11	K		
71. --					Buy (add'l)	5/29	K		
72. --					Buy (add'l)	12/15	J		
73. --					Sold (part)	2/7	K	B	
74. --					Sold (part)	6/2	K		
75. Clean Energy Fuels Corp. Common Stock		None	J	T	Buy	2/21	K		
76. --					Buy (add'l)	2/22	J		
77. --					Buy (add'l)	5/20	J		
78. --					Buy (add'l)	10/29	J		
79. --					Buy (add'l)	12/4	J		
80. --					Sold (part)	4/28	J	C	
81. --					Sold (part)	6/5	K		
82. --					Sold (part)	8/22	J	B	
83. General Electric Common Stock		None	K	T	Buy	10/2	K		
84. Hewlett Packard Common Stock	A	Dividend	K	T	Buy	5/21	K		
85. --					Buy (add'l)	5/22	J		

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86. --					Sold	8/15	I		
87. Johnson & Johnson Common Stock		None	K	T	Buy	12/15	K		
88. JP Morgan Chase Common Stock	A	Dividend			Buy	5/29	K		
89. --					Buy (add'l)	6/22	J		
90. --					Buy (add'l)	6/3	J		
91. --					Sold	8/6	K		
92. Merck Common Stock		None	K	T	Buy	10/2	K		
93. Qwest Communications Common Stock		None	J	T	Buy	11/18	J		
94. --					Buy (add'l)	12/4	J		
95. Starbucks Common Stock		None	J	T	Buy	8/15	J		
96. --					Buy (add'l)	8/25	J		
97. --					Buy (add'l)	12/15	J		
98. --					Sold (part)	11/11	J		
99. Verizon Common Stock		None	K	T	Buy	11/11	K		
100. Amazon Common Stock		None			Buy	2/19	K		
101. --					Buy (add'l)	2/20	J		
102. --					Buy (add'l)	2/28	J		

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

P3 = \$25,000,001 - \$50,000,000

Q = Appraisal

R = Cost (Real Estate Only)

S = Assessment

T = Cash Market

3. Value Method Codes

(See Column C2)

U = Book Value

V = Other

W = Estimated

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103. --					Sold	4/22	K	C	
104. American International Group Common Stock		None			Buy	5/9	K		
105. --					Sold	5/21	K		
106. Amgen Common Stock		None			Buy	2/20	K		
107. --					Buy (add'l)	4/11	J		
108. --					Buy (add'l)	4/23	J		
109. --					Sold	7/7	K	C	
110. Apple Common Stock		None			Buy	1/23	K		
111. --					Buy (add'l)	1/29	J		
112. --					Buy (add'l)	1/31	J		
113. --					Sold (part)	4/11	K	B	
114. --					Sold	4/23	K	D	
115. Applied Materials Inc. Common Stock	A	Dividend			Buy	4/3	K		
116. --					Buy (add'l)	4/4	J		
117. --					Sold	10/2	K		
118. Aqua America Common Stock		None			Buy	3/6	K		
119. --					Sold	3/25	K	A	

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 \$5,000,000	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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Davis, Andre M.

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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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
120. Babcock & Brown Wind Partners Common Stock		None			Buy	4/15	J		
121. --					Sold	5/9	J	A	
122. Bristol Myers Squibb Common Stock	A	Dividend			Buy	6/4	J		
123. --					Sold	7/21	J	A	
124. Calpine Corp. Common Stock		None			Buy	3/11	K		
125. --					Buy (add'l)	7/30	K		
126. --					Sold (part)	5/22	K	C	
127. --					Sold	8/25	K	A	
128. Chesapeake Energy Corp. Common Stock		None			Buy	7/30	K		
129. --					Sold	8/22	K	B	
130. EMC Corp. -Mass. Common Stock		None			Buy	4/3	J		
131. --					Sold	5/9	K		
132. Eastman Kodak Common Stock	A	Dividend			Buy	5/22	J		
133. --					Sold	7/31	J		
134. First Solar Inc. Common Stock		None			Buy	10/29	J		
135. --					Sold	12/4	J	A	
136. FedNatMortgageAsso Common Stock		None			Buy	8/22	J		

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	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 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 S = Assessment W = Estimated	D = \$5,001 - \$15,000 H2 = 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
2. Value Codes (See Columns C1 and D3)					
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value				

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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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code I (A-H)	(5) Identity of buyer/seller (if private transaction)
137. --					Buy (add'l)	8/27	J		
138. --					Sold	8/27	J	C	
139. Fed Home Loan Mtg Corp Common Stock		None			Buy	8/6	J		
140. --					Buy (add'l)	8/18	J		
141. --					Buy (add'l)	8/21	J		
142. --					Sold	8/27	J		
143. Frontier Comms Corp/Citizens Comms Co. Common Stock	A	Dividend			Buy	3/6	K		
144. --					Sold	8/15	K	C	
145. Foster Wheeler Ltd Common Stock		None			Buy	2/27	K		
146. --					Buy (add'l)	3/6	K		
147. --					Buy (add'l)	3/31	J		
148. --					Buy (add'l)	4/23	J		
149. --					Buy (add'l)	5/29	K		
150. --					Buy (add'l)	5/30	J		
151. --					Buy (add'l)	7/18	J		
152. --					Sold (part)	5/14	L	D	
153. --					Sold (part)	8/5	J		

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

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

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

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

S = Assessment

W = Estimated

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

H2 = 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

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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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
154. --					Sold	11/6	J		
155. Home Depot Common Stock		None			Buy	7/11	J		
156. --					Sold	8/18	K	C	
157. Human Genome Common Stock		None			Buy	2/20	J		
158. --					Buy (add'l)	3/6	J		
159. --					Buy (add'l)	4/23	K		
160. --					Sold (part)	5/9	J		
161. --					Sold	6/12	K		
162. Intel Corp. Common Stock		None			Buy	10/2	K		
163. --					Sold	10/30	K		
164. Motorola Common Stock	A	Dividend			Buy	2/19	J		
165. --					Buy (add'l)	3/4	J		
166. --					Sold	3/25	J		
167. Pfizer Common Stock		None			Buy	5/22	J		
168. --					Buy (add'l)	6/2	J		
169. --					Sold	6/4	J		
170. St Joe Company Common Stock		None			Buy	5/22	J		

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

P3 = \$25,000,001 - \$50,000,000

P4 = More than \$50,000,000

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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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)
171. --					Buy (add'l)	5/27	J		
172. --					Sold	8/15	J		
173. Garmin Ltd Common Stock		None			Buy	6/3	K		
174. --					Sold	7/30	K		
175. Lines 176 to 241 report CLOSED-END and EXCHANGE TRADED FUNDS									
176. Adams Express Co.	A	Dividend			Buy	2/19	J		
177. --					Sold (part)	5/30	J		
178. --					Sold	10/30	K		
179. Claymore Exch-Traded Fund Tr BNY BRIC ETF		None			Buy	2/1	K		
180. --						2/20	K	A	
181. DWS RREEF Real Estate Fund II	A	Dividend			Sold	1/16	K		
182. DWS RREEE Real Estate Fund, Inc.	A	Dividend			Sell	2/7	K	B	
183. Eaton Vance Tax Advantaged Global Oppty Fund	A	Dividend			Sell	2/7	K	A	
184. First Tr Exchange Traded Fund Biotechno logy		None			Sell	2/20	K		
185. India Fund	A	Distribution	K	T	Buy	4/28	J		
186. --					Buy (add'l)	8/22	K		
187. --					Buy (add'l)	8/27	J		

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 \$5,000,000	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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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)
188. --					Buy (add'l)	10/29	J		
189. --					Buy (add'l)	10/30	J		
190. --					Buy (add'l)	12/5	J		
191. IShares Silver Trust		None	L	T	Buy	4/1	J		
192. --					Buy (add'l)	4/3	J		
193. --					Buy (add'l)	4/11	J		
194. --					Buy (add'l)	4/28	J		
195. --					Buy (add'l)	8/26	J		
196. --					Sold (part)	1/7	K	B	
197. --					Sold (part)	1/16	K	B	
198. --					Sold (part)	3/4	L	D	
199. --					Sold (part)	10/31	J		
200. IShares Dow Jones US Home Constr. Index Fund		None			Buy	1/7	J		
201. --					Sold (part)	1/30	K		
202. --					Sold	8/25	J	A	
203. IShares MSCI Japan Index Fund		None			Sold (part)	4/1	J		
204. --					Sold	4/11	K		

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	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 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 S = Assessment W = Estimated	D = \$5,001 - \$15,000 H2 = 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
2. Value Codes (See Columns C1 and D3)					
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value				

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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.)

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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)
205. iShares S & P Global Clean Energy	A	Dividend	J	T	Buy	10/30	J		
206. --					Buy	12/15	J		
207. Market Vectors ETR		None			Buy	4/25	K		
208. --					Buy (add'l)	4/30	J		
209. --					Sold (part)	5/29	K	A	
210. --					Sold	6/3	K	B	
211. Morgan Stanley China A Shares Fund	A	Dividend	K	T	Buy	10/30	J		
212. --					Buy (add'l)	12/4	J		
213. MQuarie First Global Infrs. Utils.Div. & Inc. Fund (X)		None			Sold (part)	1/16	L		
214. --					Sold (part)	1/25	J		
215. Powershares Wilderhill Clean Energy Portfo lio		None	J	T	Buy	10/31	J		
216. --					Sold (part)	10/2	J		
217. --					Sold (part)	10/3	J		
218. Powershares QQQ Trust Series 1	A	Dividend	K	T	Buy	12/4	K		
219. Powershares Ex Traded FD Dynamic Clean Tech Port Trust		None	K	T					
220. Powershares Golden Dragon Halter USX Ch ina Portfolio (X)	A	Dividend	J	T	Buy	4/28	J		
221. --					Buy (add'l)	10/29	J		

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 \$5,000,000	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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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)
222. --					Buy (add'l)	12/5	J		
223. --					Sold (part)	9/22	J		
224. Royce Micro Cap Trust	A	Dividend	K	T	Buy	1/18	J		
225. --					Buy (add'l)	12/8	J		
226. Royce Focus Trust, Inc.	A	Dividend	J	T	Buy	3/6	K		
227. --					Buy (add'l)	12/4	J		
228. --					Buy (add'l)	12/8	J		
229. Select Sector SPDR Utilities	A	Dividend	K	T	Buy	3/25	K		
230. --					Buy (add'l)	3/31	J		
231. --					Sold (part)	12/4	J		
232. Select Sector SPDR TRX Financial		None			Buy	7/31	K		
233. --					Buy (add'l)	8/27	J		
234. --					Sold	9/22	K		
235. Sun America Focused Alpha Large Cap Fund		None			Sold	1/16	K		
236. --					Buy	5/24	K		
237. Templeton Dragon Fund		None	K	T	Buy	9/22	K		
238. Vanguard Growth Fund ETF	A	Dividend			Buy	8/15	K		

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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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)
239. --					Buy (add'l)	8/22	J		
240. --					Buy (add'l)	8/25	J		
241. --					Sold	12/4	K		
242. Lines 243 to 248 report MUTUAL FUNDS									
243. Davis NY Venture Fund Class C	A	Dividend	K	T	Buy	10/29	J		
244. --					Buy (add'l)	12/5	K		
245. Europacific Growth Fund Class A	C	Distribution	K	T					
246. Legg Mason Opportunity Trust	C	Distribution	K	T					
247. Legg Mason Value Trust	C	Distribution	J	T					
248. T Rowe Price Growth Fund	A	Distribution	J	T	Buy	4/15	J		
249. Rental Property--Eastham, MA (X)	D	Rent	P1	W					
250. Trust No. 1	E	Distribution	P1	W					

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	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)					

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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