



UNITED STATES DISTRICT COURT
NORTHERN DISTRICT OF ILLINOIS
219 SOUTH DEARBORN STREET
CHICAGO, ILLINOIS 60604

CHAMBERS OF
ROBERT M. DOW, JR.
JUDGE

TELEPHONE
312-435-5665

July 1, 2009

Honorable Bobby Baldock
Chair, Committee on Financial Disclosure
One Columbus Circle, N.E.
Washington, DC 20544

RECEIVED
2009 JUL -9 A 9:47
FINANCIAL
DISCLOSURE OFFICE

Re: Calendar Year 2008 Filing – Response to Letter of June 24, 2009

Dear Judge Baldock:

Thank you for your letter dated June 24, 2009, in which you provided advice to assist me in preparing future reports and set forth a number of matters as to which the Committee requires additional information to close my 2008 report. As you requested, this letter responds to the numbered paragraphs of your June 24 letter. In addition, with this letter I submit to the Committee the original and three copies of an amended 2008 report that incorporates all of the changes set forth below.

- 1) In Part VII, page 16, line 214, page 17, lines 222, 233, and 238, page 18, lines 248 and 255, and page 19, line 260, I inadvertently omitted in my initial report income information as to the assets listed. For each of those assets, no income was received. I overlooked the guidance on page 45 of the filing instructions to enter “NONE” in Column B(2) for those assets. The enclosed amended report corrects that oversight on my part.
- 2) In Part VII, page 17, line 236, for “Unit Corp,” I listed in my initial report income amount code “A” in Column B(1) and left Column B(2) blank. No income was received in 2008 for that asset. Accordingly, in the amended report, I have left Column B(1) blank and changed Column B(2) to “NONE” per the guidance in your letter and on pages 45 and 46 of the filing instructions.
- 3) In Part VII, page 17, line 226, for “Marathon Oil Corp,” I listed in my initial report no income in Column B(1), but listed “Dividend” as income type in Column B(2). A small amount of income was received in the form of dividends on that asset in 2008. Accordingly, in the amended report, I have changed Column B(1) to “A” and

Baldock_Bobby

left Column B(2) as it was in the initial report per the instructions in your letter and on pages 45 and 46 of the filing instructions.

I thank you for your letter and the guidance in it and I appreciate your calling to my attention the need to provide the additional information that was inadvertently omitted from my initial 2008 report. Please contact me if you require anything further to close my 2008 report.

Sincerely,



United States District Judge



CHIEF JUDGE'S CHAMBERS

Michael P. Mills
UNITED STATES DISTRICT COURT
NORTHERN DISTRICT OF MISSISSIPPI
911 JACKSON AVENUE, SUITE 137
OXFORD, MISSISSIPPI 38655-3622

TELEPHONE (662) 234-1538

June 23, 2009

Judge Bobby R. Baldock
Chair
Committee on Financial Disclosure
Judicial Conference of the United States
One Columbus Circle, N.E.
Washington, DC 20544

Re: Calendar Year 2008 Filing
Michael P. Mills,
Chief U.S. District Judge

Dear Judge Baldock,

I received your letter dated June 5, 2009 requesting additional information in regard to Part III A., line 2 and Part VII, page 4, line 9 of the 2008 FDR. I have added the information requested.

Please advise if I should provide more information or can be of any further assistance in these regards.

Sincerely yours,

MPM/lpm

RECEIVED
JUN 29 A 10:56
FINANCIAL
DISCLOSURE OFFICE

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) Mills, Michael P.	2. Court or Organization Northern District of Mississippi	3. Date of Report <i>Amended</i> 6/23/2009
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Chief U.S. District Judge-Active	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 911 Jackson Avenue, Room 137 Federal Building Oxford, Mississippi 38655	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.	

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2009 JUN 29 A 10:56
FINANCIAL
DISCLOSURE OFFICE

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

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.	
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 6

Name of Person Reporting

Mills, Michael P.

Date of Report

Amended
6/23/2009**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. 01/01/08	Allstate Life Insurance Annuity	\$999.96
2. 1/1/08	Adjunct Law Professor, University of Mississippi	\$19,999.99
3. 2008	Gross Book Sales	\$10,874.00
4. 2008	MS Public Employee Pension Fund - Vested	\$58,491.67
5. 2008	MS State Legislative Retirement Plan - Vested	\$2,859.55
6.		

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. 2008	CPA - Smith, Turner & Reeves - Salary
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.				
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 6

Name of Person Reporting

Mills, Michael P.

Date of Report
Amended
6/23/2009**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. Bancorp South	Unsecured Note	K
2.		
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 6

Name of Person Reporting

Mills, Michael P.

Date of Report
Amended
6/23/2009

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. JR Pounds-Stovall Unit, Monroe Co., MS	A	Royalty	J	W					
2. Pruet Production Co. Dobbs Monroe Co., MS	A	Royalty	J	W					
3. Pursue Energy Prod. Unit, Monroe Co., MS	A	Royalty	J	W					
4. Hunt Oil Co., Cooperwood #1	A	Royalty	J	W					
5. Microsoft Corp. Common Stock		None	J	T					
6. Yahoo, Inc., common stock		None	J	T					
7. Johnson and Johnson, common stock	A	Dividend	J	T					
8. Disney, Common Stock	A	Dividend	J	T					
9. 1/2 Interest in Property - Itawamba Co., MS (1993, \$50000.)		None	M	R					
10.									
11.									
12.									
13.									
14.									
15.									
16.									
17.									

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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 6

Name of Person Reporting

Mills, Michael P.

Date of Report

Amended
6/23/2009**VIII. ADDITIONAL INFORMATION OR EXPLANATIONS.** *(Indicate part of Report.)*

FINANCIAL DISCLOSURE REPORT

Page 6 of 6

Name of Person Reporting

Mills, Michael P.

Date of Report

Amended
6/23/2009

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



**SELF INITIATED
AMENDMENT**

United States District Court
DISTRICT OF CONNECTICUT

Chambers of
Christopher F. Droney
U.S. District Judge

450 Main Street
Hartford, CT 06103-9998
860-240-2635

July 6, 2009

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

RECEIVED
2009 JUL 13 A 11:20
FINANCIAL
DISCLOSURE OFFICE

**RE: Honorable Christopher F. Droney, U.S.D.J., Connecticut
Calendar Year 2008 Filing**

Dear Judge Baldock:

Thank you for your letter of June 22, 2009. In accordance with the guidance in that letter, I would like to amend Part VII of my 2008 Financial Disclosure to add that I believe that the principal asset in the trust is undeveloped land located in Torrington, Connecticut.

Thank you for bringing this to my attention.

Very truly yours,

CFD:gs

10/10/2009 10:00 AM

CONFIDENTIAL

March 31, 2009

SELF INITIATED
AMENDMENT

On Line 4, Section VII, The Lord Abbett (Mutual LFund) was accurately reported sold in 2007 and was inadvertently listed in 2008.



Bobby R. Baldock
U.S. Circuit Judge
Tenth Circuit Court of Appeals

RECEIVED

2009 APR -2 P 12:01

FINANCIAL
DISCLOSURE OFFICE

**FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2008**

COPY

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) BALDOCK, Bobby R.	2. Court or Organization U.S. Court of Appeals-10th Cir	3. Date of Report 3/20/2009
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Circuit Judge - Senior	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 P.O. Box 2388 Roswell, New Mexico 88202-2388	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. _____	_____

RECEIVED
 2009 MAR 24 P 2:01
 FINANCIAL
 DISCLOSURE OFFICE

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 7

Name of Person Reporting

BALDOCK, Bobby R.

Date of Report

3/20/2009

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.	
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.				
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 7

Name of Person Reporting

BALDOCK, Bobby R.

Date of Report

3/20/2009

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. Pioneer Savings	Rental Property #1, Chaves County, NM	None
2. Pioneer Savings	Rental Property #2, Chaves County, NM	L
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 7

Name of Person Reporting

BALDOCK, Bobby R.

Date of Report

3/20/2009

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. Merrill Lynch IRA	D	Dividend	M	T					
2. -XCEL									
3. -Aim Weingarten Mutual Fund									
4. -Lord Abbett (Mutual L Fund) US Governme nt Securities									
5. -Lord Abbett (Mutual R Fund)									
6. -ING Small Cap (Mutual Fund)									
7. -Franklin Inves. Sec. TR Equity Income (Mu tual Fund)									
8. -Merrill Lynch Retirement Reserves									
9. -Merrill Lynch Cash Equivalent Accounts									
10. Hunker Commune (El Paso, Navajo, Wester n, Rex)	B	Royalty	J	W					
11. Lot in South Spring Acres, Roswell, NM		None	J	W					
12. Stock in South Spring Acres, Roswell, NM		None	J	W					
13. Minerals, Washita County, OK (BBX Oil C orp.)	C	Rent	J	W					
14. Silver and silver coins		None	J	T					
15. Gold coins		None	J	T					
16. Navajo, Hockley County, TX	B	Royalty	J	W					
17. Pioneer Savings Bank	C	Interest	L	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)

Q = Appraisal

U = Book Value

R = Cost (Real Estate Only)

V = Other

S = Assessment

W = Estimated

T = Cash Market

FINANCIAL DISCLOSURE REPORT

Page 5 of 7

Name of Person Reporting

BALDOCK, Bobby R.

Date of Report

3/20/2009

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. Working interest in Hodges - Hockley County, TX	B	Royalty	J	T					
19. Working interest in Jeffers-Hockley County, TX	A	Royalty	J	T					
20. Working interest in Pair- Hockley County, TX	A	Royalty	J	T					
21. Working interest in Reed-Hockley County, TX	A	Royalty	J	T					
22. Working interest in White-Hockley County, TX	A	Royalty	J	T					
23. Working interest in Terry-Hockley County, TX	A	Royalty	J	T					
24. Cash Value Life Insurance, Charlotte, NC (Money Market Acct.	A	Interest	J	T					
25. Oil & Gas Items:									
26. XTO Energy Production	A	Royalty	J	W					
27. BP Am Production Company	E	Royalty	K	W					
28. Conoco Phillips	E	Royalty	K	W					
29. Sunco Oil & Gas Production	A	Royalty	J	W					
30. Great Western Drilling Company	C	Royalty	K	W					
31. El Paso Production Company	C	Royalty	K	W					
32. Working interest in Mewbourn Oil, Eddy County, NM	B	Royalty	J	W					
33. Property #1, Chaves County, NM	D	Rent			Sold	7/14	M	E	Bobby G. Walker
34. Property #2, Chaves County, NM	A	Rent	L	W					

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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 7

Name of Person Reporting

BALDOCK, Bobby R.

Date of Report

3/20/2009

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

FINANCIAL DISCLOSURE REPORT

Page 7 of 7

Name of Person Reporting

BALDOCK, Bobby R.

Date of Report

3/20/2009

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.



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



Judge's Chambers
United States District Court
For the Southern District of Ohio
227 Potter Stewart U.S. Courthouse
Cincinnati, Ohio 45202

Susan J. Blott
Chief District Judge

(513) 564-7630
[REDACTED]

June 26, 2009

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

-- Re: 2008 Financial Disclosure

Dear Judge Baldock:

I am in receipt of your inquiry about my financial disclosure report submitted for 2008. The following comments address your issues noted in the report:

Part I line 1 Part VII page 12 line 146 - I am trustee for a trust for [REDACTED]. In the future I will note that I am trustee for another person's trust.

Part VII Page 4 lines 9 and 10 - The cash is held in a brokerage account and is uninvested cash held in a money market. As it is held by the broker, I will report it as cash and cash equivalents held by Johnson Investments in the future to make it clear.

Secondly, the following information is submitted as a response.

In Part VII, page 12, line 153 and page 14, lines 181 and 182 are the following comments:

- a. Chevron Corporation is held in two separate investment accounts and was reported together in 2007 on line 31. This year it was separated out for ease of tracking, there were not additional shares purchased.
- b. FPL Group was added in the year to the investment account and inadvertently the information was not included. It should be in Section D Column 1, BUY, Column 2 10-2, Column 3 Code K.
- c. Johnson Disciplined Mid-Cap Funds on line 182 are held in two accounts and therefore have been separated for ease of reporting for purchase and sale.

Bobby R. Baldock, Chair
Page Two
June 23, 2009

The total holding was reported on line 60 in 2007 and line 60 and 182 for 2008.

In part VII, page 13, line 167 Kansas City Southern was acquired in [REDACTED] lots in 2008, one as a new issue, and then sold within the same year. The transactions on line 168, 188 and 189 are related. I was unable to enter both acquisition and sale in the same box. There is no holding at the end of the year 2008.

Thank you for reviewing my disclosure report. If you need additional information, please do not hesitate to call me at 513-564-7630.

Sincerely,

[REDACTED]

CHAMBERS OF
WALKER D. MILLER
SENIOR UNITED STATES DISTRICT JUDGE

901 19th St., A938
DENVER, CO 80294
303/844-2468


RECEIVED
2009 AUG -7 A 11:27
FINANCIAL
DISCLOSURE OFFICE

August 4, 2009

Judge Bobby R. Baldock, Chair
Judicial Conference of the United States
Committee on Financial Disclosure
One Columbus Circle, N.E.
Washington, DC 80244

Re: Calendar year 2008 filing

Dear Judge Baldock:

I have your letter concerning my 2008 Financial Disclosure Report indicating a need for additional information.

With regard to Item 6 under Part VII, listed as "Lot, Grand County, CO," I was indeed remiss in not completing the column D information. The report should have indicated that this was an asset I bought on March 14, 2008, for a Value Code M from private sellers, David and Pamela Shelpuk.

With regard to your other request concerning Item 43 under Part VII, listed as "New Frontier Stock," I believe your Committee is in error when advising you it was not in my prior report. A quick review of my 2007 Report discloses it was reported as Item 40 under Part VII.

Please consider this response an amendment to my 2008 report.


Walker D. Miller

WDM/jct

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) Miller, Walker D.	2. Court or Organization U.S. District Court, Colorado	3. Date of Report 05/13/2009
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Senior	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 901 19th St., A-938 Denver, CO 80294	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. _____	_____

RECEIVED
2009 MAY 19 A 10:08
FINANCIAL
DISCLOSURE OFFICE

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

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Name of Person Reporting

Miller, Walker D.

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05/13/2009

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. 2008	Colorado State University (salary)
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.				
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Miller, Walker D.

Date of Report

05/13/2009

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. New Frontier Bank	loan	L
2.		
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Miller, Walker D.

Date of Report

05/13/2009

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. John Hancock Pfd	A	Interest	J	T					
2. UBS Cash Fund	A	Interest	J	T					
3. UBS Retirement	A	Interest	J	T					
4. Capital Trust Retirement	A	Interest	J	T					
5. Pasture, Greeley, Colorado	B	Rent	O	W					
6. Lot, Grand County, CO		None	M	T					
7. UBS Money Market	A	Interest			Sold	4/25	J	A	
8. Franklin Income	A	Interest	J	T	Buy	4/25	J		
9. Delaware Diversified	A	Int./Div.	J	T	Buy	4/25	J		
10. Ivy Asset Fund	A	Int./Div.	J	T	Buy	4/25	J		
11. Oppenheimer Fund	A	Int./Div.	J	T	Buy	4/25	J		
12. TIAA-CREF Mutual Fund	B	Dividend	L	T					
13. TIAA Annuity	A	Dividend	K	T					
14. TIAA-CREF Retirement	B	Interest	L	T					
15. Denver Bond	A	Interest	J	T					
16. Colo. Univ. Hospital Bond	A	Interest	J	T					
17. Ft. Collins Water Bond	A	Interest	J	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	

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Miller, Walker D.

Date of Report

05/13/2009

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. University Colorado Hosp. Bond	A	Interest	J	T					
19. Colorado Water Bond	A	Interest			Redeemed	9/2	J	A	
20. Adams/Weld School Bond	A	Interest	K	T	Buy	9/26	K		
21. Denver COP Bond	B	Interest	K	T					
22. Denver Airport Bond	B	Interest	K	T					
23. Denver School Bond	B	Interest	K	T					
24. Denver Airport Bond	A	Interest	J	T					
25. Colo. Ed. & Cult. Bond	A	Interest	J	T					
26. Colo. Ed. & Cult. Bond	A	Interest	K	T					
27. Broomfield Bond	A	Interest	K	T					
28. Englewood Bond	B	Interest			Redeemed	12/1	K	A	
29. Garfield Pitkin School Bond	B	Interest	K	T	Buy	12/3	K		
30. Mesa County School Bond	A	Interest	K	T					
31. Colo Health Bond	B	Interest	K	T					
32. Denver School Bond	A	Interest	J	T					
33. Colorado Water Bond	A	Interest	K	T					
34. Jefferson County School Bond	A	Interest	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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Name of Person Reporting

Miller, Walker D.

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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. Foothills Park Bond	A	Interest	K	T					
36. Colo. Ed. & Cult. Bond	A	Interest	K	T					
37. Jefferson County School	A	Interest	K	T					
38. Stonegate Metro. Dist	A	Interest	K	T					
39. Denver Convention Center	A	Interest	K	T					
40. U.S. Treasury Notes	B	Interest	K	T					
41. UBS Retirement Fund	A	Interest	J	T					
42. Westernbank CD	A	Interest	K	T	Buy	7/24	K		
43. New Frontier Stock		None	J	W					
44. New Frontier Bank Acct.	A	Interest	K	T					
45. New Frontier CD	D	Interest	M	T					
46. Royalty Interest [REDACTED] CO.	E	Royalty	M	W					
47. Northwestern Mutual (whole life ins.)	A	Dividend	K	T					
48. Mutual of New York (whole life ins.)	A	Dividend	K	T					
49. Delaware Dividend	A	Dividend	J	T					
50. G.E. Cap. Corp.	A	Interest	K	T					
51. FHLMC	B	Interest			Sold	1/10	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 \$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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Name of Person Reporting

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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)
52. Washington Mutual	A	Interest			redemption	7/19	K	A	
53. Windsor Reservoir		None	K	T					
54. United Comm. CD	B	Interest			Sold	3/28	K	B	
55. Claymore Fund	A	Interest	J	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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Name of Person Reporting

Miller, Walker D.

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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



5/13/09

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



United States District Court

Southern District of Ohio
200 West Second Street
Room 910
Dayton, Ohio 45402

Chambers of
Thomas M. Rose
District Judge

(937) 512-1600

July 23, 2009

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

Re: Judge Thomas M. Rose Calendar Year 2008
Financial Disclosure Report
Your Letter of July 15, 2009

RECEIVED
2009 JUL 28 A 10:55
FINANCIAL
DISCLOSURE OFFICE

Dear Mr. Baldock:

This letter is in response to your July 23, 2009, requesting additional information regarding my annual financial disclosure report.

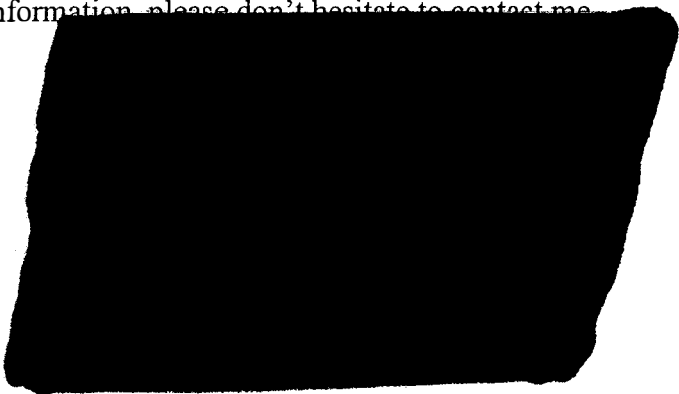
Specifically, your inquiry was to the entry of "Fairfield Cnty Hosp. Imp. Rev. Bonds" listed in Part VII, page 5, line 34.

After a review of my records, I discovered that this entry was correct as to "Income during reporting period", however, this asset was not sold during 2008. It was purchased on October 20, 2009 for \$15,290.96 and had a value at the end of the reporting period of \$13,627.35. The corrected Item should read as follows:

Part VII, page 5

A	B	C	D
(1)	(2)	(1) (2)	(1) (2) (3) (4) (5)
34	Fairfield Cnty Hosp Imp Rev Bonds A	Div J	T Buy 10/20 K

If you are in need of further information, please don't hesitate to contact me.



TMR/dje