

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) KOLLAR-KOTELLY, COLLEEN	2. Court or Organization United States District Court	3. Date of Report 05/15/2010
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) District Judge - Active	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 U.S. District Court 333 Constitution Avenue, NW Washington, D.C. 20001	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. Director	Robert Shuker Scholarship Memorial Fund
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. 2009	D.C. Superior Court Retirement Plan
2.	
3.	

RECEIVED
MAY 19 9 48
U.S. DISTRICT COURT
WASHINGTON, D.C.

FINANCIAL DISCLOSURE REPORT

Page 2 of 9

Name of Person Reporting

KOLLAR-KOTELLY, COLLEEN

Date of Report

05/15/2010

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. 2009	D.C. Superior Court Retirement Fund	\$115,596.00
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	Self-Employed (Attorney)
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 9

Name of Person Reporting

KOLLAR-KOTELLY, COLLEEN

Date of Report

05/15/2010

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 9

Name of Person Reporting

KOLLAR-KOTELLY, COLLEEN

Date of Report

05/15/2010

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. [REDACTED]	E	Rent	M	W					
2. PNC National Bank		None	J	T					
3. Bank of America	A	Interest	J	T					
4. Fidelity Investments Mortgage Securities Fund (IRA)	A	Dividend			Distributed	01/09/09	K		
5. Capital Realty Investors II L.P.		None			Distributed	12/22/09	J		
6. DSM Poseidon L.L.C.		None	J	U					
7. Bank of New York Com. Stock	A	Dividend	K	T	Sold	02/25/09	K		
8. Bank of New York Com. Stock	A	Dividend	K	T	Buy	04/13/09	K		
9. Bank of New York Com. Stock	A	Dividend	K	T	Buy (add'l)	04/21/09	J		
10. General Electric Com. St.	A	Dividend	K	T	Buy (add'l)	07/31/09	J		
11. Schwab Money Market Fund	A	Dividend	L	T					
12. DR Horton Notes	A	Interest			Matured	02/01/09	K		
13. Sterling One Industrial LLC	E	Dividend	K	U					
14. Pfizer Com. St.	A	Dividend	K	T	Sold (part)	10/01/09	J		
15. Allied Capital Com. St.		None			Sold	10/28/09			
16. EMC Com. St.		None	K	T	Buy (add'l)	02/10/09	J		
17. EMC Com. St.		None	K	T	Sold (part)	07/21/09	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	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 9

Name of Person Reporting

KOLLAR-KOTELLY, COLLEEN

Date of Report

05/15/2010

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)
18. Apache Corp. Com. St.	A	Dividend	K	T	Buy (add'l)	03/16/09	J		
19. SPDR Gold Trust Com. St.		None	K	T	Sold (part)	12/11/09	J	D	
20. Citigroup Inc. Notes	B	Interest			Matured	07/29/09	K		
21. Watts Water Tech Com. St.	A	Dividend	K	T					
22. Pioneer Natural Resource Com. St.	A	Dividend	K	T	Buy (add'l)	01/05/09	J		
23. Pioneer Natural Resource Com. St.	A	Dividend	K	T	Sold (part)	09/28/09	J	B	
24. Pioneer Natural Resource Com. St.	A	Dividend	K	T	Sold (part)	10/29/09	J	B	
25. Wisdomtree Int'l.	A	Dividend	K	T	Buy (add'l)	05/06/09	J		
26. 3M Com. St.	A	Dividend	K	T	Buy (add'l)	03/17/09	J		
27. Schlumberger Com. St.	A	Dividend	K	T	Buy (add'l)	01/05/09	J		
28. Gilead Science Com. St.		None	K	T	Sold (part)	02/04/09	K	C	
29. Gilead Science Com. St.		None	K	T	Buy (add'l)	02/23/09	K		
30. Gilead Science Com. St.		None	K	T	Buy (add'l)	11/24/09	J		
31. Harris Corp. Com. St.	A	Dividend	K	T	Buy (add'l)	10/01/09	J		
32. Bear Stearns Notes	B	Interest	K	T					
33. Capital One USA Notes	A	Interest			Matured	04/09/09	K		
34. McDonalds Com. St.	B	Dividend	K	T	Sold	11/24/09	J	B	

1. Income Gain Codes: (See Columns B1 and I14)	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 I13)	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 6 of 9

Name of Person Reporting

KOLLAR-KOTELLY, COLLEEN

Date of Report

05/15/2010

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)
35. General Electric Capital Notes	B	Interest	L	T					
36. General Dynamics Com. St.	A	Dividend	K	T	Buy (add'l)	03/16/09	J		
37. Walt Disney Com. St.	A	Dividend	K	T	Buy (add'l)	03/10/09	J		
38. Norfolk Southern Com. St.	A	Dividend	K	T	Buy (add'l)	06/02/09	J		
39. New York Community Bank Notes	B	Interest			Matured	07/17/09	K		
40. Caterpillar Financial Notes	A	Interest	J	T					
41. New South Fed. Bank Notes	B	Interest			Matured	09/17/09	K		
42. First Bank of Tennessee Notes	B	Interest	L	T					
43. ABB Limited Com. St.	A	Dividend	K	T	Buy (add'l)	01/05/09	J		
44. Fleet Boston Notes	B	Interest			Matured	12/01/09	K		
45. Morgan Stanley Bank Notes	B	Interest			Matured	12/29/09	K		
46. Goldman Sachs Notes	B	Interest	K	T	Buy	01/23/09	K		
47. National Rural Utility Notes	A	Interest	K	T	Buy	01/23/09	K		
48. Viacom Notes	B	Interest	K	T	Buy	01/26/09	K		
49. CSX Notes	B	Interest			Buy	02/26/09	K		
50. CSX Notes	B	Interest			Sold	11/05/09	K	B	
51. Wilmington Trust bonds	A	Interest	K	T	Buy	09/18/09	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)					

FINANCIAL DISCLOSURE REPORT
Page 7 of 9

Name of Person Reporting KOLLAR-KOTELLY, COLLEEN	Date of Report 05/15/2010
--	-------------------------------------

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)
52. Dupont E.I. Nemour Com. St.	A	Dividend	K	T	Buy	04/20/09	K		
53. Freeport McMoran Copper Com. St.		None			Buy	05/21/09	K		
54. Freeport McMoran Copper Com. St.		None			Sold	07/21/09	K	C	
55. CVS Caremark Com. St.		None	K	T	Buy	11/11/09	K		
56. Dominion Resource Com. St.		None	K	T	Buy	12/04/09	K		
57. Harris Stratex Com. St.(Spinoff)		None			Spinoff (from line 31)	05/27/09	J		
58. Harris Stratex Com. St.		None			Sold	06/15/09	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 (See Columns C1 and D3)	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)	N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	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 8 of 9

Name of Person Reporting

KOLLAR-KOTELLY, COLLEEN

Date of Report

05/15/2010

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

FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

KOLLAR-KOTELLY, COLLEEN

Date of Report

05/15/2010

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