

**FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2018**

*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) Bates, John D.	2. Court or Organization U.S. District Court for the District of Columbia	3. Date of Report 06/13/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) District Judge - Article III (senior)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2018 to 12/31/2018
	5b. ☐ Amended Report	
7. Chambers or Office Address 333 Constitution Avenue NW Washington, DC 20001		
IMPORTANT NOTES: <i>The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</i>		

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. 2018	University of Arizona, Rogers School of Law, income for teaching	\$4,000.00
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. 2018	Maret School, Washington DC
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.				

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Bates, John D.	06/13/2019

V. GIFTS. (Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)

☒ NONE (No reportable gifts.)

SOURCE	DESCRIPTION	VALUE
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.)

CREDITOR	DESCRIPTION	VALUE CODE
1.		
2.		
3.		
4.		
5.		

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Name of Person Reporting

Bates, John 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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)

1. Wells Fargo Account	A	Interest	J	T					
2. Morgan Stanley - IRA - C:									
3. -- Auto Data Proc - Common	A	Dividend	K	T					
4. -- Bank of Amer. - Preferred	C	Dividend	L	T	Buy (add'l)	07/17/18	K		
5. -- Adobe Sys. - Common		None	L	T					
6. -- Apple Inc. - Common	B	Dividend	L	T					
7. -- Brighthouse Financial - Common		None			Sold	04/27/18	J	A	
8. -- Cisco Sys. Common	B	Dividend	L	T	Buy (add'l)	10/15/18	K		
9. -- Chevron Corp. Common	B	Dividend	K	T					
10. -- CINN Financial Corp. Common	B	Dividend	L	T					
11. -- Illinois Tool Works Common	B	Dividend	L	T					
12. -- DowDuPont (formerly Dow Chem) Common	B	Dividend	K	T	Buy (add'l)	10/15/18	J		
13.					Buy (add'l)	12/06/18	J		
14. -- Clearbridge Energy MLP Fund	C	Dividend	K	T					
15. -- Enterprise Prod. - Common	B	Dividend	K	T					
16. -- Micro FCS		None			Sold	10/15/18	J	A	
17. -- HP Inc. - Common	A	Dividend	K	T	Buy (add'l)	12/06/18	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 \$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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☐ NONE (No reportable income, assets, or transactions.)

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18. -- Hewlett Packard Enter. - Common	A	Dividend	K	T	Buy (add'l)	12/06/18	J		
19. -- Home Depot - Common	B	Dividend	L	T					
20. -- JP Morgan Chase & Co. - Common	B	Dividend	L	T					
21. -- Johnson & Johnson - Common	B	Dividend	L	T					
22. -- L3 Technologies - Common	A	Dividend			Sold	10/15/18	K	D	
23. -- Marriott Int'l - Common	A	Dividend	K	T	Sold (part)	04/27/18	J	D	
24. -- McDonalds - Common	A	Dividend	K	T					
25. -- MetLife - Common	B	Dividend	K	T	Buy (add'l)	10/15/18	J		
26.					Buy (add'l)	12/06/18	J		
27. -- Morgan Stanley - Common	A	Dividend	J	T					
28. -- Vodaphone Group - Common	B	Dividend	K	T	Buy (add'l)	10/15/18	J		
29.					Buy (add'l)	12/06/18	J		
30. -- Omnicon - Common	A	Dividend			Sold	11/09/18	K	D	
31. -- Pfizer - Common	B	Dividend	K	T					
32. -- Pepsi Co. - Common	C	Dividend	L	T					
33. -- Principal Fin'l - Common	B	Dividend	K	T	Buy (add'l)	10/15/18	J		
34.					Buy (add'l)	12/06/18	J		

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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	
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35. -- Procter & Gamble - Common	B	Dividend	L	T					
36. -- Apollo Inv. Corp.	B	Interest			Sold	07/17/18	K	A	
37. -- MS Liquid Asset Fund	B	Interest	N	T					
38. -- Verizon Common	B	Dividend	K	T					
39. -- First TR MLP & ENRG fund	C	Dividend	K	T					
40. --Ishares Russell 2000 ETF	A	Dividend	L	T					
41. --Blackrock - Common	B	Dividend	K	T	Buy (add'l)	10/15/18	J		
42.					Buy (add'l)	12/06/18	J		
43. --Occidental Petroleum - Common	C	Dividend	L	T					
44. -- Qwest Corp. Cap. Sec.	C	Interest	L	T	Buy (add'l)	07/17/18	K		
45. -- DXC Tech	A	Dividend			Sold	10/15/18	J	D	
46. Morgan Stanley - Joint:									
47. -- AXA Equitable Life Annuity		None	K	T					
48. -- Chevron - Common	A	Dividend	J	T					
49. -- Amer. Tower Corp. - Class	A	Dividend	J	T					
50. --Morgan Stanley Cash Fund	A	Interest	J	T					
51. -- Davita Inc. - Common		None	J	T					

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52. -- Electronics for Imaging - Common		None			Sold	11/09/18	J	B	
53. -- Gugg, Zacks Adv 43 Unit Inv. Trust	A	Dividend	K	T	Buy	09/17/18	K		
54. -- Gugg, Zacks Adv 39 Unit Inv. Trust	A	Dividend			Sold	09/17/18	K	A	
55. -- Fiserv Inc. Common		None	K	T	Sold (part)	02/06/18	J	C	
56.					Sold (part)	03/07/18	J	B	
57. -- Wells Fargo - Pref.	B	Dividend	K	T	Buy	03/09/18	K		
58. -- Qwest Corp - Common	A	Dividend			Redeemed	09/04/18	J	A	
59. -- Intuit Inc. - Common	A	Dividend	J	T	Sold (part)	11/09/18	J	C	
60. -- IShares Transporation Average ETF	A	Dividend			Sold	04/27/18	J	B	
61. -- Deutsche Bank - Common	A	Dividend			Redeemed	02/20/18	K	A	
62. -- Invesco Dynamic Biotech (formerly Powershares Ex-Traded Fund)	A	Dividend	J	T					
63. -- AT&T (formerly Time Warner) - Common	A	Dividend	J	T					
64. -- Time Warner - Common	A	Dividend			Sold (part)	02/06/18	J	B	
65.					Sold (part)	03/07/18	J	A	
66.					Redeemed	06/15/18	J	D	
67. -- United Health - Common	A	Dividend	K	T	Sold (part)	02/06/18	J	C	
68.					Sold (part)	03/07/18	J	B	

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69. -- Bank of America - Common	C	Dividend	K	T					
70. -- Unit AAM Navellier Unit Inv. Tr. 119	B	Dividend			Sold	09/17/18	K	A	
71. -- IShares Dow Jones US Health Care Providers Index Fund (X)	A	Dividend	J	T					
72. -- Invesco Dynamic Semiconductors (formerly Powershares Dynamic)	A	Dividend			Sold	11/06/18	J	A	
73. -- Invesco Dynamic Media (formerly Powershares Dynamic Media)	A	Dividend	J	T					
74. -- IShares NoAm Tech Software Index Fund (X)	A	Dividend	J	T					
75. Morgan Stanley - IRA - J:									
76. -- AT&T Inc. - Common	C	Dividend	K	T					
77. -- Lamb Weston Holdings	A	Dividend			Sold	10/26/18	J	C	
78. -- Centerpoint Energy - Common	B	Dividend	J	T	Buy (add'l)	03/20/18	J		
79. -- Colgate Palmolive - Common	B	Dividend	L	T					
80. -- Conagra Foods - Common	A	Dividend	J	T					
81. -- IShares TR-DJ Transp. Index Fund	A	Dividend	J	T	Buy (add'l)	10/26/18	J		
82. -- IShares TR Global Ind. Index Fund	A	Dividend	K	T					
83. -- IShares US Health Care Providers Index Fund	A	Dividend	K	T					
84. -- IBM - Common	B	Dividend	K	T					
85. -- Medtronic - Common	B	Dividend	L	T					

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86. -- Invesco Dynamic Semiconductors (formerly Powershares Dynamic)	A	Dividend	J	T					
87. -- Invesco Dynamic Media (formerly Powershares Dynamic Media)	A	Dividend	J	T					
88. -- Energy Select Sector SPDR	A	Dividend	K	T					
89. -- iShares NoAm Tech Software Index Fund	A	Dividend	K	T					
90. -- SPDR Index SHS FDS DJ Wilshire Int'l Real Estate	A	Dividend	K	T					
91. -- SPDR SER TR KBW CAP MKTS ETF	A	Dividend	J	T					
92. -- SPDR SER TR KBW BK ETF	A	Dividend	J	T					
93. -- United Tech Common	B	Dividend	L	T					
94. -- Vanguard Consumer Staples ETF	A	Dividend	K	T	Buy (add'l)	03/20/18	J		
95. -- Vanguard Health Care ETF	A	Dividend	K	T					
96. -- Vanguard Info Tech ETF	A	Dividend	K	T					
97. -- Vanguard Int'l Equity (European) ETF	A	Dividend	J	T					
98. -- iShares Russell 2000 ETF	A	Dividend	K	T					
99. -- Pepsico - Common	A	Dividend	K	T					
100. -- MS Liquid Asset Fund	A	Interest	K	T					
101. TIAA CREF Ret. Acct. (403(B) Plan Growth Annuity) - C		None	L	T					

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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: **s/ John D. Bates**

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

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