

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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) Barron, David J.	2. Court or Organization United States Court of Appeals for the First Circuit	3. Date of Report 08/13/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States Circuit Judge, Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2019 to 12/31/2019
7. Chambers or Office Address John J. Moakley United States Courthouse 1 Courthouse Way, Suite 7710 Boston, MA 02210		
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.		

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. Visiting Professor	
2. Member	American Society of International Law (ASIL) Judicial Advisory Board
3. Member	College Visiting Committee
4.	
5.	

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. 2019	- teaching income	\$28,050.00
2. 2019	LEG, Inc. dba West Academic - book royalties	\$7,238.76
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. 2019	- salary
2. 2019	Juliette Kayyem Solutions, LLC - consulting fees
3. 2019	CNN, national security, intellegience, and terrorism analyst - consulting fees
4. 2019	WGBH, consulting fees

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.	Vanderbilt Law School	January 31-February 3, 2019	Nashville, TN	Moot Court	Transportation, meals, hotel
2.	American Constitution Society	June 9, 2019	Washington, DC	Conference panel participant	Transportation, meals
3.	Martha's Vineyard Hebrew Center	July 18-20, 2019	Edgartown, MA	Guest speaker (spouse)	Transportation, meals, hotel
4.	University of Puerto Rico Law School	October 21-25, 2019	San Juan, PR	Guest teacher	Transportation, meals, hotel
5.	Marshall University	November 11-13, 2019	Huntington, WV	Guest speaker	Transportation, meals, hotel

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6.	American Society of International Law	November 21-22, 2019	Washington, DC	Board Meeting	Transportation, meals, hotel
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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.		Tuition Agreement	K
2.		Tuition Assistance	K
3.	Security First Mortgage Funding LLC (under Mars-B, Inc. LLC)	Mortgage on Rental Property, Barrington, RI (Part VII, Line 33)	L
4.	Morgan Stanley Bank, NA (under Alpha K Holdings LLC) (See Part VIII explanation)	Mortgages on rental props, Montevallo, AL and W. Allis, WI (Part VII, Lines 35 & 36)	O
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)	(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. CREF Inflation-Linked Bond Fund		None	K	T					
2. CREF Stock Fund		None	N	T					
3. Fidelity Massachusetts Municipal Money Market Fund	A	Dividend	J	T					
4. Fidelity Select Biotechnology Portfolio	E	Dividend	M	T					
5. Fidelity Government Money Market Fund		None	J	T					
6. Fidelity Select Banking Portfolio (See Explanation in Part VIII)	A	Dividend	J	T					
7. Fidelity Municipal Money Market Fund (See explanation in Part VIII)		None	J	T					
8. Fidelity Cash Account (X)	A	Interest	J	T					
9. TIAA Traditional Annuity	A	Interest	K	T					
10. Vanguard Federal Money Market Fund	A	Dividend	K	T					
11. Vanguard Inst Target Ret 2030 Fund	D	Dividend	O	T					
12. Vanguard Total Bond Mkt Index Inst Fund	B	Dividend	L	T					
13. Vanguard Target Retire 2035 Trust II Fund		None	K	T					
14. Vanguard Tot Intl Stock 1x Inst Fund	A	Dividend	J	T					
15. Vanguard Inst Index Fund Inst Plus	A	Dividend	K	T					
16. Vanguard Extended Mkt Index Inst Fund	A	Dividend	J	T					
17. Vanguard Target Retirement 2040 Fund	C	Dividend	M	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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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. Vanguard Inst Target Ret 2035 Fund	D	Dividend	O	T					
19. Vanguard Juliette Kayyem Solutions LLC Individual 401(K)	C	Dividend	M	T					
20. The Girls, LLC (H)									
21. - AMGEN INC (AMGN) common stock	C	Dividend	L	T					
22. - APPLE INC. (AAPL) common stock	C	Dividend	L	T					
23. - BANK OF AMERICA CORP. (BAC) common stock	C	Dividend	M	T					
24. -EXPEDITORS INTL WASH INC (EXPD) common stock	B	Dividend	M	T					
25. -JPMORGAN CHASE & CO (JPM) common stock	B	Dividend	L	T					
26. -ISHARES NASDAQ BIOTECH ETF (IBB) - See expl. in Part VIII	A	Dividend	L	T					
27. -ISHARES SELECT DIVIDEND ETF (DVY)	C	Dividend	L	T					
28. -UNITED TECHNOLOGIES CORP		None	K	T					
29. -MORGAN STANLEY PRIVATE BANK CASH ACCOUNT	A	Interest	M	T					
30. -ZEMCAR INC common stock		None	K	U					
31. Mars-B, Inc. LLC (H)									
32. - Non-reportable loan (listed for income purposes only- see Part VIII)	E	Interest							
33. - Rental Property, Barrington, RI (value) See explanation in Part VIII			M	V					
34. - Alpha-K Holdings LLC (H) - See explanation in Part VIII									

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	

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)
35. - Rental Property, Montevallo, AL(value) See expl. in Part VIII	E	Rent	N	V					
36. - Rental Property, W Allis, WI (value) - See explanation in Part VIII	E	Rent	M	V					
37. Juliette Kayyem Solutions, LLC - See explanation in Part VIII		None	N	W					
38. U.S. Government Securities - Series EE Bonds	A	Interest	J	T					
39. FOK Holdings LLC (H) - See explanation in Part VIII									
40. - Rental Property, Hellertown, PA (value) See explanation in Part VIII	G	Rent	P1	V					
41. - Rental Property, Lebanon, PA (value) - See explanation in Part VIII	G	Rent	P1	V					
42. - Rental Property, Punxsutawney, PA (value) - See expl. in Part VIII	G	Rent	P1	V					
43. ARMORED THINGS Inc. common stock (X)		None	J	U					
44. INHIBRX Inc. common stock		None	O	U					
45. ZEMCAR INC common stock		None	K	U					
46. Bank of America, cash accounts	A	Interest	J	T					

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

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

Part VI:

Line 4: Both properties are held under one mortgage and thus listed on the same line.

Part VII:

Line 26: In 2018, the shares of this stock were only partially sold. On the 2018 report, it was inadvertently reported that all of the shares of this ETF were sold.

Line 32: This is non-reportable income and is listed in Part VII for income purposes only.

Line 33: The income reflected for this property is in connection with Internal Revenue Code 467. Column B(2) is left blank on the advice of the Financial Disclosure Office.

Line 34: Alpha K Holdings LLC is owned by Mars B Inc. LLC. The real estate properties in Lines 35 and 36 are held by Alpha K Holdings LLC.

Lines 33, 35-36, and 40-42: Fair market value of the real estate properties was determined by comparable sales prices in each area.

Line 37: In accord with the advice of the Financial Disclosure Office, no income is reported for Juliette Kayyem Solutions LLC in column B, given the nature of its holdings. The total value of assets of the LLC is reflected by the valuation in Column C.

Line 39: On advice of the Financial Disclosure Office, the liabilities of this entity are not listed in Part VI in light of the nature of the reportable interest of the LLC being a future interest.

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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/ **David J. Barron**

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
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Washington, D.C. 20544