

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) Barnett, Mark A.	2. Court or Organization U.S. Court of International Trade	3. Date of Report 05/14/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) 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 U.S. Court of International Trade One Federal Plaza New York, NY 10278-0001		
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Treasurer	
2. At Large Member, Board of Directors	Federal Judges Association
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 10

Name of Person Reporting

Barnett, Mark A.

Date of Report

05/14/2020

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. 2019	Capitol Counsel LLC
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. Federal Judges Association	4/15/-16/2019	Dallas, TX	Board of Directors Meeting	transportation, food, lodging
2.				
3.				
4.				
5.				

Name of Person Reporting	Date of Report
Barnett, Mark A.	05/14/2020

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.	Citi Bank	Credit Card	K
2.	RPI	Tuition Agreement	None
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 10

Name of Person Reporting

Barnett, Mark A.

Date of Report

05/14/2020

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. Brokerage Account #1 (H)									
2. - SEI Tax-Managed Large Cap Fund	D	Dividend	L	T					
3. - SEI Tax-Managed Small Cap Fund	A	Dividend	K	T					
4. - SEI International Equity Fund	A	Dividend	K	T					
5. - SEI Emerging Markets Equity Fund	A	Dividend	J	T					
6. - SEI Intermediate-Term Muni Fund	B	Dividend	L	T	Sold (part)	11/25/19	J	A	
7. - SEI High Yield Bond Fund	A	Dividend	J	T					
8. - SEI International Fixed Income Fund	A	Dividend	J	T					
9. - SEI Emerging Markets Debt Fund	A	Dividend	J	T					
10. - SEI Government Fund	A	Dividend	J	T	Buy (add'l)	11/26/19	J		
11. Brokerage Account #2 (H)									
12. - SEI Tax-Managed Large Cap Fund	C	Dividend	K	T					
13. - SEI Tax-Managed Small Cap Fund	A	Dividend	J	T					
14. - SEI International Equity Fund	A	Dividend	J	T					
15. - SEI Emerging Markets Equity Fund	A	Dividend	J	T					
16. - SEI Intermediate-Term Muni Fund	B	Dividend	L	T	Sold (part)	09/23/19	J	A	
17. - SEI High Yield Bond Fund	A	Dividend	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

Page 5 of 10

Name of Person Reporting

Barnett, Mark A.

Date of Report

05/14/2020

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. - SEI International Fixed Income Fund	A	Dividend	K	T					
19. - SEI Emerging Markets Debt Fund	A	Dividend	J	T					
20. - SEI Government Fund (X)	A	Dividend	J	T	Buy (add'l)	09/24/19	J		
21. Brokerage Account #3 (H)									
22. - SEI Large Cap Value Fund	B	Dividend	L	T					
23. - SEI Large Cap Growth Fund	C	Dividend	L	T	Sold (part)	11/25/19	J		
24. - SEI Small Cap Growth Fund	A	Dividend	J	T					
25. - SEI Small Cap Value Fund	A	Dividend	J	T					
26. - SEI International Equity Fund	A	Dividend	K	T					
27. - SEI Emerging Markets Equity Fund	A	Dividend	K	T					
28. - SEI Core Fixed Income Fund	C	Dividend	L	T					
29. - SEI High Yield Bond Fund	A	Dividend	J	T					
30. - SEI International Fixed Income Fund	A	Dividend	K	T					
31. - SEI Emerging Markets Debt Fund	A	Dividend	J	T					
32. - SEI GovernmentFund	A	Dividend	J	T	Buy (add'l)	11/26/19	J		
33. Brokerage Account #4 (H)									
34. - SEI Core Fixed Income Fund	B	Dividend	L	T	Sold (part)	09/23/19	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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 10

Name of Person Reporting

Barnett, Mark A.

Date of Report

05/14/2020

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. - SEI Government Fund (X)	A	Dividend	J	T	Buy (add'l)	09/24/19	J		
36. - SEI Large Cap Growth Fund	C	Dividend	K	T					
37. - SEI Large Cap Value Fund	B	Dividend	K	T					
38. - SEI Small Cap Value Fund	A	Dividend	J	T					
39. - SEI Small Cap Growth Fund	A	Dividend	J	T					
40. - SEI International Equity Fund	A	Dividend	K	T					
41. - SEI Emerging Markets Equity Fund	A	Dividend	J	T					
42. - SEI High Yield Bond Fund	A	Dividend	J	T					
43. - SEI International Fixed Income Fund	A	Dividend	J	T					
44. - SEI Emerging Markets Debt Fund	A	Dividend	J	T					
45. Brokerage Account #5 (H)									
46. - SEI Core Fixed Income Fund	A	Dividend	J	T					
47. - SEI Large Cap Growth Fund (X)	A	Dividend	J	T					
48. - SEI Large Cap Value Fund (X)	A	Dividend	J	T					
49. 529 Account #1 (H)									
50. - Virginia Education Savings Trust, 2018 Portfolio		None	L	T	Sold (part)	01/28/19	J		
51.					Sold (part)	02/26/19	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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 10

Name of Person Reporting

Barnett, Mark A.

Date of Report

05/14/2020

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)
52.					Sold (part)	03/26/19	J		
53.					Sold (part)	07/26/19	J		
54.					Sold (part)	08/26/19	J		
55.					Sold (part)	09/26/19	J		
56.					Sold (part)	10/28/19	J		
57. 529 Account #2 (H)									
58. - Virginia Education Savings Trust, 2027 Portfolio		None	L	T					
59. - Virginia Education Savings Trust, Aggressive Portfolio		None	K	T	Buy (add'l)	01/08/19	J		
60. Janus Forty Fund	B	Dividend	K	T	Sold (part)	01/07/19	J	A	
61.					Sold (part)	03/06/19	J	A	
62.					Sold (part)	05/29/19	J	A	
63.					Sold (part)	10/18/19	J	A	
64. Congressional Federal Credit Union Accounts	B	Interest	M	T					
65. Brokerage Acct. # 6 (H)									
66. - Vanguard Target Retirement 2030		None	M	T	Buy (add'l)	07/24/19	J		
67. HOA account at BB&T Bank		None	J	T					
68. Nationwide Fund (H)									

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)					

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)
69. - Nationwide Dynamic US Growth (X)	D	Dividend	M	T					
70. - Nationwide Government Inv. (X)	A	Dividend	J	T					
71.									

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

FINANCIAL DISCLOSURE REPORT

Page 9 of 10

Name of Person Reporting Barnett, Mark A.	Date of Report 05/14/2020
---	---

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

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

Barnett, Mark A.

Date of Report

05/14/2020

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/ **Mark A. Barnett**

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