

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) Rosenbaum, Robin S.	2. Court or Organization U.S. Court of Appeals for the Eleventh Circuit	3. Date of Report 05/11/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Circuit Judge (Active)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
7. Chambers or Office Address U.S. Courthouse 299 E. Broward Blvd., Room 108 Fort Lauderdale, Florida 33301		
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. Trustee	Trust #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.		
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	Holland & Knight -- 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.	Federal Judges Association	04/15/19-04/16/19	Dallas, TX	Board Meeting	Transportation, hotel, food
2.	University of Tennessee	10/14/19-10/16/19	Knoxville, TN	Judged moot court competition; spoke with students	Transportation, hotel, food
3.	Emory University	10/20/19-10/21/19	Atlanta, GA	Judged moot court competition; spoke with students	Partial Transportation, hotel, food
4.	Washington University	11/13/19-11/15/19	St. Louis, MO	Judged moot court competition; spoke with students	Transportation, hotel, food
5.					

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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.		
2.		
3.		
4.		
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) 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. Ameritrade Money Market Account	A	Interest	J	T					
2. Astropower common		None	J	T					
3. Bank of America--check/savings	A	Interest	K	T					
4. Cisco Systems common	A	Dividend	K	T					
5. DiscoverBank Savings and Money Market Account & CDs	C	Interest	M	T					
6. Dodge & Cox Int'l Stock Fund	A	Int./Div.	K	T					
7. Domini Social Equity Fund - Domini Impact Equity	A	Int./Div.	K	T					
8. Ericsson L M Tel Co. ADR	A	Dividend	J	T					
9. Fidelity Cash Reserves - Government Money Market	A	Dividend	J	T					
10. Fidelity Contrafund (H&K 401k)	A	Int./Div.	L	T					
11. Fidelity Contrafund (IRA)	A	Int./Div.	L	T					
12. Fidelity Low Priced Stock Fund	A	Dividend	K	T					
13. Fidelity Municipal Money Market Fund	A	Interest	J	T					
14. Fidelity Retirement Government Money Market Fund	A	Dividend	K	T					
15. Fidelity Unique NH 2021 Portfolio Index	A	Int./Div.	K	T	Sold (part)	07/01/19	J	A	
16. -(another partial sale from Fidelity account listed above)					Sold (part)	07/16/19	J	A	
17. -(another partial sale from Fidelity account listed above)					Sold (part)	12/19/19	J	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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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)
18. Fidelity Unique NH Bank Deposit Portfolio	A	Int./Div.	L	T	Sold (part)	07/01/19	J	A	
19. -(another partial sale from Fidelity account listed above)					Sold (part)	07/16/19	K	A	
20. -(another partial sale from Fidelity account listed above)					Sold (part)	12/19/19	K	A	
21. Intel Corp.	A	Dividend	K	T					
22. Janus Henderson Forty Fund	A	Dividend	J	T					
23. Janus Global Research Fund (previously Janus Worldwide Fund)	A	Dividend	K	T					
24. Lumentum Holdings, Inc. common		None	J	T					
25. MassMutual VUL: Oppenheimer Capital Appreciation Fund		None	K	T					
26. MassMutual Variable Universal Life: Oppenheimer Midcap Fund		None	K	T					
27. NVIDIA common	A	Dividend	J	T					
28. Parnassus Fund	A	Int./Div.	L	T					
29. PRU Total Return bond Fund-Holland & Knight 401k	A	Int./Div.	K	T					
30. Rhythms Netconnections common		None	J	T	Closed		J		
31. Roku Inc. common		None	J	T	Buy	01/03/19	J		
32. T. Rowe Price 529 College Savings Plan Portfolio 2021	A	Int./Div.	K	T					
33. T. Rowe Price 529 College Savings Plan Money Market Portfolio	A	Int./Div.	M	T	Sold (part)	07/17/19	K	A	
34. -(another partial sale from T. Rowe Price 529 plan listed above)					Sold (part)	11/15/19	K	A	

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NONE (No reportable income, assets, or transactions.)

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35. T. Rowe PriceBlue Chip Growth Fund	A	Int./Div.	K	T					
36. T. Rowe Price Health Sciences Fund (UGMA) - Account 1	A	Int./Div.	J	T					
37. T. Rowe Price Health Sciences Fund (UGMA) - Account 2	A	Int./Div.	J	T					
38. Universal Display Corp. common	A	Dividend	L	T					
39. Vanguard Institutional Index Fund	A	None	K	T					
40. Viavi Solutions, Inc. common		None	J	T					
41. Wells Fargo Small Company Growth Fund-Holland & Knight 401k	A	Int./Div.	K	T					
42. Apple	A	Dividend	J	T					
43. Ameritrade Money Market Account	A	Interest	J	T					
44. Netflix		None	K	T					
45. Trust #1	A	Interest	N	T					
46. -MML VUL: MassMutual Life Blend		None	K	T					
47. -MML VUL: Oppenheimer Main Street		None	L	T					
48. -MML VUL: Janus Henderson Forty		None	K	T					
49. -MML VUL: Oppenheimer Discovery Mid Cap Growth		None	L	T					
50. -MML VUL: T. Rowe Price Mid-Cap Growth		None	L	T					
51. -MML VUL: Oppenheimer Global		None	L	T					

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

VII. Investments and Trusts

1. Lines 42-44 are held by [REDACTED], but I am listed as [REDACTED] tenant on her account. This has been the case for several years. I derive no income or other benefits from my [REDACTED] investments.
2. Lines 46-51 list the assets in Trust #1. I do not receive any income or other benefits from this trust or from serving as the trustee, nor am I a beneficiary of the trust.
3. Line 45 reflects the cumulative value of Trust #1. As I indicated in Note 2 above, lines 46-51 list the specific mutual-fund holdings that make up this Trust.
4. Rhythms Netconnection (line 30) went to zero value some time ago and no longer is listed on the Ameritrade statement account. I am unsure of what date this event occurred, but I no longer own such stock, which no longer exists.
5. Lines 16 and 17 list additional partial sales of the asset identified on line 15.
6. Lines 19 and 20 list additional partial sales of the asset identified on line 18.
7. Line 34 lists an additional partial sale of the asset identified on line 33.

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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/ **Robin S. Rosenbaum**

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