

FINANCIAL DISCLOSURE REPORT
NOMINATION FILING

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 09/24/2013
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 9/24/2013 ☐ Initial ☐ Annual ☐ Final	6. Reporting Period 01/01/2012 to 08/31/2013
	Sb. ☐ Amended Report	
7. Chambers or Office Address Criswold 307 Harvard Law School 1533 Massachusetts Avenue Cambridge, MA 02139		
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.	Board member	Massachusetts State College Building Authority
2.	Board member	Massachusetts Board of Higher Education
3.	Professor	Harvard Law School
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.		

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.)

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 2013	Harvard University --faculty member, salary	\$206,233.34
2. 2012	Harvard Univeristy -- faculty member, salary	\$279,800.00
3. 2011	Harvard University -- faculty member, salary	\$252,628.00
4. 2013	International Center for Sport Security, consulting fee	\$9,846.00
5. 2012	The Wylie Agency, book advance	\$21,000.00
6. 2012	West Services, book royalties	\$2,458.29
7. 2012	National Center for State Courts, honorarium	\$5,000.00
8. 2012	University of Kentucky, Kentucky Law Journal, honorarium	\$500.00
9. 2011	West Services, book royalties	\$1,599.95
10. 2011	CBMO-Tias-Nimbas Business School, consulting fee	\$20,495.00

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.)

DATE	SOURCE AND TYPE
1. 2013	The Boston Globe, salary
2. 2012	The Boston Globe, salary
3. 2013	Harvard University, salary
4. 2012	Harvard University, salary
5. 2013	Simon & Schuster, book advance
6. 2013	CNN, analyst, wages
7. 2013	International Center for Sport Security, Board member, wages
8. 2012	International Center for Sport Security, Board member, wages
9. 2012	MAC Consulting Services, consulting fee

10, 2012	Northeastern University, Honrarium, \$1000
11, 2012	xfact, inc., consulting fee

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.	exempt				
2.					
3.					
4.					
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. exempt		
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.		

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-I)	(5) Identity of buyer/seller (if private transaction)
1. CREF Inflation-Linked Bond Fund	A	Dividend	K	T	Exempt				
2. CREF Stock Fund	A	Dividend	M	T					
3. Fidelity Massachusetts Municipal Money Market Fund	A	Interest	J	T					
4. Fidelity Select Biotechnology Portfolio	A	Dividend	M	T					
5. Fidelity OTC Portfolio	A	Dividend	K	T					
6. TIAA Traditional Annuity	A	Dividend	K	T					
7. Vanguard Prime Money Market Fund	A	Interest	J	T					
8. Vanguard Target Retirement 2035 Fund	A	Dividend	N	T					
9. Vanguard Total Bond Market Index Fund	A	Dividend	K	T					
10. The Girls, LLC	F	Dividend	P1	T					
11. Mars-B, Inc.	A	Dividend	M	T					
12. Bank of America, cash accounts	A	Interest	L	T					
13. U.S.Government Securities -- Series EE Bonds	A	Interest	J	T					
14. New York Times Company Stock	A	Interest	K	T					
15. Vanguard Target Retirement 2035 Trust II	A	Interest	K	T					
16. Note -- Juliette Kayyem for MA		None	K	T					
17.									

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
P2 = More than \$50,000,000
S = Assessment
W = Estimated

D = \$5,001 - \$ 5,000
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

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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/ 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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544

FINANCIAL STATEMENT

NET WORTH

Provide a complete, current financial net worth statement which itemizes in detail all assets (including bank accounts, real estate, securities, trusts, investments, and other financial holdings) all liabilities (including debts, mortgages, loans, and other financial obligations) of yourself, your spouse, and other immediate members of your household.

ASSETS				LIABILITIES			
Cash on hand and in banks		74	188	Notes payable to banks-secured			
U.S. Government securities-Series EE bonds		2	800	Notes payable to banks-unsecured			
Listed securities - see schedule		810	396	Notes payable to relatives			
Unlisted securities - see schedule	1	520	000	Notes payable to others			
Accounts and notes receivable:				Accounts and bills due			
Due from relatives and friends				Unpaid income tax			
Due from others		30	000	Other unpaid income and interest			
Doubtful				Real estate mortgages payable - see schedule	1	101	953
Real estate owned - personal residence	1	730	000	Chattel mortgages and other liens payable			
Real estate mortgages receivable				Other debts-itemize:			
Autos and other personal property		50	000				
Cash value-life insurance							
Other assets itemize:							
				Total liabilities	1	101	953
				Net Worth	3	115	431
Total Assets	4	217	384	Total liabilities and net worth	4	217	384
CONTINGENT LIABILITIES				GENERAL INFORMATION			
As endorser, comaker or guarantor				Are any assets pledged? (Add schedule)	No		
On leases or contracts				Are you defendant in any suits or legal actions?	No		
Legal Claims				Have you ever taken bankruptcy?	No		
Provision for Federal Income Tax		30	000				
Other special debt							