

AO 10 Rev. 1/2013		FINANCIAL DISCLOSURE REPORT NOMINATION FILING		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 Eleventh Circuit Court of Appeals		3. Date of Report 01/06/2014	
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Circuit Judge		5a. Report Type (check appropriate type) ☒ Nomination Date 01/06/2014 ☐ Initial ☐ Annual ☐ Final		6. Reporting Period 01/01/2013 to 12/21/2013	
		5b. ☐ Amended Report			
7. Chambers or Office Address 299 E. Broward Blvd., Room 310-A 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.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Trustee	Trust #1
2.		
3.		
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.	

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. 2013	University of Miami School of Law (teaching legal writing course)	\$5,000.00
2. 2012	University of Miami School of Law (teaching legal writing course)	\$10,000.00
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. 2013	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. Exempt				
2.				
3.				
4.				
5.				

Name of Person Reporting

Rosenbaum, Robin S.

Date of Report

01/06/2014

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

☐ NONE *(No reportable gifts.)*

<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
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.)*

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
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)	(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. Ameritrade Money Market	A	Interest	J	T	Exempt				
2. Astropower common		None	J	T					
3. Ballard Power Systems common		None	J	T					
4. Bank of America -- checking/savings	A	Interest	J	T					
5. Cisco Systems common	A	Dividend	J	T					
6. DiscoverBank Savings and Money Market Account	A	Interest	L	T					
7. Dodge & Cox Int'l Stock Fund	A	Int./Div.	J	T					
8. Domini Social Equity Fund	A	Int./Div.	J	T					
9. Eagle Small Cap Growth Fund	A	Int./Div.	J	T					
10. Ericsson L M Tel Co ADR	A	Dividend	J	T					
11. Emagin, Inc. common		None	J	T					
12. Fidelity Cash Reserves	A	Dividend	J	T					
13. Fidelity Contrafund	A	Int./Div.	J	T					
14. Fidelity Contrafund	A	Int./Div.	K	T					
15. Fidelity Low Priced Stock fund	A	Dividend	J	T					
16. Fidelity Municipal Money Market	A	Interest	J	T					
17. Fidelity Retirement Money Market	A	Dividend	J	T					

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

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. Fidelity Unique NH 2015 Portfolio	A	Int./Div.	J	T					
19. Fidelity Unique NH 2018 Portfolio	A	Int./Div.	K	T					
20. Fidelity Unique NH Bank Deposit Portfolio	A	Int./Div.	M	T					
21. Intel Corp.	A	Dividend	J	T					
22. J2 Global Communications, Inc. common	A	Dividend							
23. Janus Twenty Fund	A	Dividend	J	T					
24. Janus Global Research Fund (previously Janus Worldwide Fund)	A	Dividend	J	T					
25. JDS Uniphase Corp. common		None	J	T					
26. MassMutual VUL: Oppenheimer Capital Appreciation Fund	A	Interest	J	T					
27. MassMutual Variable Universal Life: Oppenheimer Midcap Fund	A	Interest	J	T					
28. Parnassus Fund	A	Int./Div.	K	T					
29. PIM Total Return Institutional Bond Fund- Holland& Knight401k	A	Int./Div.	J	T					
30. Rhythms Netconnections common		None	J	T					
31. T. Rowe Price College Savings Plan Portfolio 2018-529account	A	Int./Div.	L	T					
32. T. Rowe Price 529 College Plan Money Market Portfolio	A	Interest	M	T					
33. T. Rowe Price Blue Chip Growth Fund	A	Int./Div.	J	T					
34. TZ Limited common		None	J	T					

1. Income Gain Codes:
(See Columns B1 and D4)

2. Value Codes
(See Columns C1 and D3)

3. Value Method Codes
(See Column C2)
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P1 = \$1,000,001 - \$5,000,000
P4 = More than \$50,000,000
S = Assessment
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D = \$5,001 - \$15,000
H2 = More than \$5,000,000
M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000
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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.)

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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				
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35. Universal Display Corp. (common)		None	J	T					
36. Vanguard Institutional Index Fund	A	Int./Div.	J	T					
37. Ameritrade Money Market	A	Interest	J	T					
38. Apple	A	Dividend	J	T					
39. Trust #1	A	Interest	M	T					
40. -MML VUL: MassMutual Life Blend (X)									
41. -MML VUL: Oppenheimer Main Street (X)									
42. -MML VUL: Janus Aspen Forty (X)									
43. -MML VUL: Oppenheimer Discovery Mid Cap Growth (X)									
44. -MML VUL: T. Rowe Price Mid-Cap Growth (X)									
45. -MML VUL: Oppenheimer Global (X)									

1. Income Gain Codes:
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E = \$15,001 - \$50,000

Name of Person Reporting	Date of Report
Rosenbaum, Robin S.	01/06/2014

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

A portion of Line 18 was transferred to Lines 19 and 20. No gain is reported as these three lines are part of the same 529 college savings account.
Lines 37 through 38 are or were held by my mother, but I am listed as joint tenant on her account. This has been the case for several years. I derive no income or other benefits from my mother's investments.

Lines 39 through 45 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.

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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
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		87	303	Notes payable to banks-secured			
U.S. Government securities				Notes payable to banks-unsecured			
Listed securities – see schedule		531	476	Notes payable to relatives			
Unlisted securities				Notes payable to others			
Accounts and notes receivable:				Accounts and bills due			
Due from relatives and friends				Unpaid income tax			
Due from others				Other unpaid income and interest			
Doubtful				Real estate mortgages payable-add schedule			
Real estate owned – personal residence		812	000	Chattel mortgages and other liens payable			
Real estate mortgages receivable				Other debts-itemize:			
Autos and other personal property		40	000	Thrift Savings Plan loan		25	604
Cash value-life insurance		22	436				
Other assets itemize:							
Thrift Savings Plan		892	538				
				Total liabilities		25	604
				Net Worth	2	360	149
Total Assets	2	385	753	Total liabilities and net worth	2	385	753
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							
Other special debt							