

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 11/07/2013
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 11/07/2013 ☐ Initial ☐ Annual ☐ Final	6. Reporting Period 01/01/2012 to 10/21/2013
	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.)

	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.		

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. 2011	University of Miami School of Law (teaching legal writing course)	\$10,000.00
2. 2012	University of Miami School of Law (teaching legal writing course)	\$10,000.00
3. 2013	University of Miami School of Law (teaching legal writing course)	\$5,000.00
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. 2012	Holland & Knight -- salary
2. 2013	Holland & Knight -- salary
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.				

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) 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	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 Instiutional 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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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
I12 =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.)

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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. ishares Silver Trust	A	Int./Div.							
39. Janus Twenty Fund	A	Int./Div.							
40. Molycorp		None							
41. Nortel Networks (common)		None	J	T					
42. Oracle (common)	A	Dividend							
43. Apple	A	Dividend	J	T					
44. Trust #1	A	Interest	M	T					
45. -MML VUL: MassMutual Life Blend (X)									
46. -MML VUL: Oppenheimer Main Street (X)									
47. -MML VUL: Janus Aspen Forty (X)									
48. -MML VUL: Oppenheimer Discovery Mid Cap Growth (X)									
49. -MML VUL: T. Rowe Price Mid-Cap Growth (X)									
50. -MML VUL: Oppenheimer Global (X)									

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

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(See Columns C1 and D3)

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P4 = More than \$50,000,000
S = Assessment
W = Estimated

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H2 = More than \$5,000,000
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P2 = \$5,000,001 - \$25,000,000
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E = \$15,001 - \$50,000

FINANCIAL DISCLOSURE REPORT Page 7 of 8	Name of Person Reporting	Date of Report
	Rosenbaum, Robin S.	11/07/2013

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 43 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 45 through 50 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. This asset was advertently described as not reportable in my 2013 Annual Report.

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

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Rosenbaum, Robin S.	11/07/2013

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		94	125	Notes payable to banks-secured			
U.S. Government securities				Notes payable to banks-unsecured			
Listed securities – see schedule		542	391	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		817	000	Chattel mortgages and other liens payable			
Real estate mortgages receivable				Other debts-itemize:			
Autos and other personal property		43	000	Thrift Savings Plan loan		26	184
Cash value-life insurance		21	481				
Other assets itemize:							
Thrift Savings Plan		868	478				
				Total liabilities		26	184
				Net Worth	2	360	291
Total Assets	2	386	475	Total liabilities and net worth	2	386	475
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							