

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

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) Robart, James L.	2. Court or Organization U.S. Dist Court, W.D. of WA	3. Date of Report 05/06/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Dist. Judge (active)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2012 to 12/31/2012
7. Chambers or Office Address 700 Stewart Street, 14th Floor Seattle, WA 98101		
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 Emeritus	Whitman College
2. Trustee	Foundation # 1
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 10

Name of Person Reporting

Robart, James L.

Date of Report

05/06/2013

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.		
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.)*

DATE	SOURCE AND TYPE
1. 2012	Paintings sold for cash.
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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. American Conference Institute	January 26-27, 2012	New York, New York	Litigating Disability Claims	Airfare, Lodging, Taxi, and Parking
2. American Conference Institute	January 30 - February 2, 2012	Miami, Florida	Long-Term Care Litigation CLE	Airfare, Lodging, Taxi, and Parking
3. American Conference Institute	March 29 - 30, 2012	Houston, Texas	Maritime Litigation CLE	Airfare, Lodging, Taxi, and Parking
4. American Conference Institute	April 24-25, 2012	Chicago, Illinois	Chemical Products Liability CLE	Airfare, Lodging, Taxi, and Parking
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 10

Name of Person Reporting

Robart, James L.

Date of Report

05/06/2013

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.	Bank of America	Credit Card	J
2.	Bank of America	Credit Card	J
3.	Whitman College	Multi-year pledge	M
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 10

Name of Person Reporting

Robert, James L.

Date of Report

05/06/2013

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. Key Bank	A	Interest	J	T					
2. Key Bank	A	Interest	J	T					
3. Oak Harbor, WA Island Cnty Rental Property (2012 - \$264,700)	A	Rent	O	S					
4. Seattle, WA King Cnty Rental Property (2012 - \$204,000)	D	Rent	M	S					
5. Bank of Washington Common Stock		None	J	T					
6. BROKERAGE ACCOUNT #1									
7. -- Starbucks Common Stock	C	Dividend	P1	T	Donated (part)				
8. -- Schwab Money Fund	A	Interest	M	T					
9. -- Silver Standard Common Stock		None	J	T					
10. -- Gabriel Technologies Corp.		None	J	T					
11. -- MSCI Em. Mkts I-Shares	E	Dividend	O	T					
12. -- MSCI EAFE Index Fund	D	Dividend	M	T					
13. -- S&P 600 I-Shares	D	Dividend	O	T					
14. -- Vanguard REIT Fund	D	Dividend	N	T					
15. -- S&P 500 IShares	D	Dividend	O	T					
16. -- Boston Priv. Fin. Hldg.	A	Dividend	L	T					
17. Chevron Common Stock	D	Dividend	M	T					

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	N = \$250,001 - \$500,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

FINANCIAL DISCLOSURE REPORT

Page 5 of 10

Name of Person Reporting

Robert, James L.

Date of Report

05/06/2013

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. Vanguard GNMA Mutual Fund	B	Dividend	M	T					
19. BROKERAGE IRA #1									
20. --Gov't FHLBB Notes	B	Interest			Matured	01/15/12	L		
21. -- Resolution Trust Strips		None			Matured	01/15/12	K		
22. -- Fed Nat Mortg. Notes	B	Interest			Matured	05/18/12	L		
23. -- MSCI EAFE Index I-Shares	D	Dividend	P1	T					
24. -- S&P Small Cap 600 IShares	E	Dividend	P1	T	Buy (add'l)	01/03/12	O		
25. -- SW Bank of St. Louis CD	C	Interest	L	T					
26. -- Costco Corp. Notes	A	Interest			Matured	03/15/12	L		
27. -- Nat. City Bank CD	C	Interest	L	T					
28. -- First Bank of Puerto Rico CD	C	Interest	L	T					
29. -- GE Capit. Notes	C	Interest	L	T					
30. -- Banco Pop. Corp. N.A. CD	C	Interest	L	T					
31. -- GE Money Bank CD	C	Interest	L	T					
32. -- U.S. Treasury Strips		None			Matured	11/15/12	K	E	
33. -- S&P 500 I-Shares	D	Dividend	N	T					
34. -- Schwab Money Fund	A	Interest	K	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 6 of 10

Name of Person Reporting

Robart, James L.

Date of Report

05/06/2013

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. -- Capmark Bank CD	C	Interest	L	T					
36. -- SallieMae Bank CD	C	Interest	L	T					
37. -- U.S. TIPS	C	Interest	N	T	Buy (add'l)	04/19/12	M		
38.					Sold (part)	07/16/12	M	C	
39. -- Vanguard REIT	D	Dividend	O	T					
40. -- Emrg. Mkt. I-Share	C	Dividend	O	T	Buy (add'l)	02/13/12	M		
41. -- General Mills Notes	C	Interest	L	T					
42. -- Bank of America Notes	C	Interest	M	T					
43. -- Morgan Stanley Notes	D	Interest	M	T					
44. --CISCO Systems Note	D	Interest	M	T					
45. -- Discover Bank CD	B	Interest	M	T					
46. --Goldman Sachs Notes	C	Interest	M	T					
47. --Pfizer Notes	A	Interest	M	T	Buy	12/26/12	M		
48. --GE Cap. Fin. Co.	B	Interest	M	T	Buy	01/03/12	L		
49. --Goldman Sachs BK CD	A	Interest	M	T	Buy	07/17/12	M		
50. BROKERAGE IRA #2									
51. -- U.S. Treasury Strips		None			Matured	11/15/12	K	E	

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 \$5,000,000	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

Robart, James L.

Date of Report

05/06/2013

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)

52. -- Janus Balanced Mut. Fund	A	Dividend	K	T					
53. -- T.R. Price New Asia Mut. Fund	C	Dividend	K	T					
54. -- Schwab Money Fund	A	Interest	J	T					
55. -- MSCI EAFE Index Fund	A	Dividend	K	T					
56. -- S&P 500 I-Shares	A	Dividend	M	T					
57. -- MSCI Em. Mkts I Share	A	Dividend	L	T					
58. -- S&P Small Cap 600 I Shares	A	Dividend	L	T					
59. FOUNDATION # 1									
60. -- Boeing Common Stock	B	Dividend	K	T					
61. -- Exxon Mobil Common Stock	B	Dividend	K	T					
62. -- IBM Common Stock	B	Dividend	L	T					
63. -- 3M Common Stock	B	Dividend	K	T					
64. -- RBC Prime Money Fund	C	Dividend	M	T					
65. -- Eagle Mid Cap Fund		None			Sold	01/10/12	M		
66. -- Fidelity Lev. Co. Fund		None			Sold	01/10/12	M	E	
67. -- Keeley Sm. Cap. Fund	A	Dividend	M	T					
68. -- Russell Emerg. Mkts FD	A	Dividend	L	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 8 of 10

Name of Person Reporting

Robart, James L.

Date of Report

05/06/2013

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)
69. -- Thornberg Int'l Value FD		None			Sold	01/10/12	M		
70. -- Thornberg Int'l Growth FD		None			Sold	01/10/12	M	E	
71. -- Eaton Vance Strag Income FD	D	Interest	M	T	Buy (add'l)	01/10/12	K		
72. -- Pimco Bd. Fund	C	Interest	M	T					
73. -- J.P. Morgan Strag Income Bd. Fund	D	Interest	M	T					
74. -- Praxair	B	Dividend	L	T					
75. -- iShares Med Devices	A	Dividend	L	T					
76. -- iShares Tech Index	A	Dividend	K	T					
77. -- iShares Consumer Serv Index	A	Dividend	L	T					
78. -- J.P. Morgan Large Cap Fund	B	Dividend	N	T					
79. --UIT First Trust Global		None			Sold	01/10/12	M	D	
80. --Pimco All Assets Fund	D	Dividend	M	T					
81. --Principial Mid-Cap Fund	C	Dividend	N	T	Buy	01/10/12	N		
82. Henderson Glb. Equ.	E	Dividend	M	T	Buy	01/10/12	N		
83. Vanguard Intl. Tax Managed Fund	E	Dividend	O	T					
84. TREASURY DIRECT ACCOUNT									
85. -- 6/30/13 Note	C	Interest	L	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 \$5,000,000	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 9 of 10

Name of Person Reporting

Robart, James L.

Date of Report

05/06/2013

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

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

Robart, James L.

Date of Report

05/06/2013

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/ **James L. Robart**

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