

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

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) Rothstein, Barbara J.	2. Court or Organization US Courts	3. Date of Report 08/26/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) US District Judge (Senior)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2020 to 12/31/2020
7. Chambers or Office Address United States Courthouse 333 Constitution Avenue, NW Washington, DC 20001		
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. Co-Trustee	Trust
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. 2020	Medical Faculty Associates, Wages
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.				
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.)*

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

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1. JP Morgan Chase	Mortgage on Rental #1, Redmond, WA (Part VII Line 9)	None
2. Wells Fargo Bank	Mortgage on Rental #2, Strasburg, VA (Part VII, Line 10)	L
3. Wells Fargo Bank	Mortgage on Rental #3, Strasburg, VA (Part VII, Line 11)	L
4. City National Bank	Mortgage on Rental #4, Strasburg, VA (Part VII, Line 12)	None
5. City National Bank	Mortgage on ████████ Property, Strasburg, VA	M

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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. EQT Corporation		None			Sold	01/04/20	J	D	
2. Euro Pacific Growth Fnd C		None			Sold	01/04/20	L	D	
3. New World Fnd C		None			Sold	01/04/20	L	C	
4. Vanguard Int TM T/E		None			Sold	01/04/20	L	C	
5. Wells Fargo Bank	A	Interest	K	T					
6. Capital One Bank	A	Interest	K	T					
7. NA Properties Ltd Partnership	A	Interest	J	U					
8. New Horizon Capital III, LP	D	Int./Div.	K	U					
9. PNH Seaboard Station, LLC	A	Interest	L	U					
10. RWP, LLC	C	Int./Div.	J	U					
11. Wilderness Explorer, LLC	B	Interest	L	U					
12. Rental House, Redmond, WA (1999 \$172,000)	A	Rent			Sold	11/30/20	O	E	Emanuel & Jessica Alvarez
13. Rental Twnhouse, Strasburg, VA (2009 \$135,000)	B	Rent	M	R					
14. Rental House, Strasburg, VA (2012 \$150,000)	B	Rent	M	R					
15. Rental House, Strasburg, VA (2013 \$150,000)	A	Rent			Sold	08/13/20	N	G	Diana Hernandez Solis
16. America Movil Ads	C	Dividend	M	T					
17. 3M Company		None			Sold	01/06/20	M	G	

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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☐ 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. XCel Energy	A	Dividend	K	T					
19. PPL Corp	A	Dividend	J	T					
20. Costco Wholesale Corp Common	D	Dividend	N	T					
21. Western Asset HI Inc.	B	Dividend	K	T					
22. Starbucks Common		None			Sold	03/30/20	P1	H1	
23. Nuveen Quality Preferred Income FD	A	Interest	J	T					
24. Home Depot Inc. Common	D	Dividend	N	T					
25. General Electric Common	A	Dividend	K	T					
26. CHS Cooperatives Preferred	B	Dividend	K	T					
27. CMS Energy	A	Dividend	J	T					
28. Prothena Corp		None	J	T					
29. Pioneer Floating Rate Trust (PHD)	A	Dividend	J	T					
30. Eaton Vance Enhanced Equity Income Fund	A	Dividend	K	T					
31. RMR RE Fund	A	Dividend	J	T					
32. Eaton Vance Greater China Fund CI A	D	Dividend	L	T					
33. Allianz		None			Sold	01/04/20	K	E	
34. Nordstrom Inc	A	Dividend	K	T					

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	(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)
35. Blue Apron Holdings		None	J	T					
36. Argan	C	Dividend	K	T					
37. Applied Materials	B	Dividend	L	T					
38. Regeneron Pharmaceuticals Inc.		None	N	T	Buy	07/16/20	N		
39. Dell Technologies, Inc.		None	J	T	Buy	01/04/20	J		
40. Westinghouse Air Brake Technologies	A	Dividend	J	T	Buy	01/04/20	J		
41. America Funds New World	A	Dividend	L	T	Buy	01/04/20	L		
42. Virtus Divid	B	Dividend	K	T	Buy	01/04/20	K		
43. Davidson - Cash		None	O	T					

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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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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/ Barbara J. Rothstein**

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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