

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) Baker, James E.	2. Court or Organization USCAAF	3. Date of Report 11/13/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Associate Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2012 to 12/31/2012
5b. ☒ Amended Report		
7. Chambers or Office Address 450 E Street, NW Washington DC 20442-0001		
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, Chair	
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.		

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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. 1/12-12/12	Georgetown Law School	\$25,455.00
2. 2012	Cambridge University Press Book Royalties	\$1,327.00
3. 3-4/2012	Washington University	\$1,500.00
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. 6/12-12/12	Freelance Writing
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. Utrecht University	2/21-25	Utrecht, Netherlands	Speaker	travel, lodging and meals
2. Washington University	3/29-4/2	St Louis, KS	Teaching	travel, lodging and meals
3. UVA Law School	6/4-5	Charlottesville, VA	Speaker	travel, lodging and meals
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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

1.

2.

3.

4.

5.

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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. American Express Co.	A	Dividend	J	T					
2. Berkshire Hathaway Class B		None	L	T	Sold (part)	09/04/12	K	E	
3.					Sold (part)	09/21/12	K	E	
4. Coca Cola	A	Dividend	J	T					
5. Costco Wholesale	A	Dividend	J	T					
6. Disney Walt Co.	A	Distribution	J	T					
7. Dover Corp	A	Dividend	J	T					
8. Gannett Co. Inc.	A	Dividend	J	T					
9. Johnson & Johnson	A	Dividend	J	T					
10. Proctor & Gamble	D	Dividend	M	T					
11. Progressive Corp		None	J	T					
12. AT&T	A	Dividend	J	T					
13. USX Marathon Group	A	Dividend	J	T					
14. Wells Fargo & Company	A	Dividend	J	T					
15. Vanguard U.S. Growth Fund	A	Dividend	K	T					
16. Vanguard Star Fund	B	Dividend	L	T					
17. AARP Employee 401 K Plan	D	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 \$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	

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18. T Rowe Price Stable Fund	A	Dividend	K	T					
19. T Rowe Price/Blue Chip	B	Dividend	J	T					
20. T Rowe Price/MidCap Growth	B	Dividend	K	T					
21. Lincoln Financial Group Fixed Annuity, 403 (b)	A	Dividend	J	T					
22. Capitol One	A	Interest	J	T					
23. Smuckers	A	Dividend	J	T			J		* quarterly - below \$1000
24. Fidelity VCIP 529 (X)	A	Dividend	K	T			J		* monthly - below \$1000
25. Fidelity VCIP 529 (X)	A	Dividend	K	T			J		* monthly - below \$1000
26. Fidelity Magellan IRA	A	Dividend	J	T					
27. Fidelity Freedom 2040 IRA	A	Dividend	K	T					
28. Fidelity Contrafund IRA	A	Dividend	L	T					
29. Fidelity Cash Reserves	A	Dividend	J	T					
30. James Pond Realty Trust West Tisbury, MA	A	Rent	N	W					*
31. DWS High Yield Tax	A	Dividend	J	T					
32. Fidelity Management Trust Fidelity Cash Reserves	A	Distribution	J	T					
33. Teachers Insurance and Annuity Association	B	Distribution	L	T					
34. Ameriprise Financial Inc Com	A	Dividend	J	T					

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35. Fidelity Short-Intermediate Muni Inc.	A	Dividend	K	T					
36.					Buy	01/11/12	J		
37.					Buy	1/13/12	J		
38.					Buy	1/17/12	J		
39.					Sold (part)	5/25/12	J	A	
40.					Sold (part)	8/12/12	J	A	
41.					Sold (part)	11/30/12	J	A	
42. Str. Adv. Intl Fund	B	Dividend	L	T					
43.					Sold (part)	3/23/12	J	A	
44.					Buy	5/25/12	J		
45.					Sold (part)	9/06/12	J	A	
46.					Sold (part)	11/30/12	J	A	
47. Franklin Gold and Metals	A	Dividend	J	T	Buy	1/11/12	J		
48.					Buy	3/23/12	J		
49. Pimco Comm. Real Ret. Admin C1		None			Sold (part)	1/11/12	J	A	
50.					Sold	1/13/12	J		
51. Fid. Strategic Advisors Value Fund	B	Dividend	K	T	Sold (part)	1/11/12	J	A	

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52. Str. Adv. Sm-Mid Cap Fund	A	Dividend	J	T	Sold (part)	03/23/12	J	A	
53. Str. Adv. US Oppty Fund	A	Dividend	K	T	Sold (part)	01/11/12	J	A	
54.					Buy	5/25/12	J		
55.					Buy	11/30/12	J		
56. Fid. Strat. Advs. Core Fund	B	Dividend	K	T	Sold (part)	1/11/12	J	A	
57.					Sold (part)	3/23/12	J	A	
58.					Sold (part)	09/06/12	J	A	
59. Strat. Advs. Growth Fund	B	Dividend	K	T	Sold (part)	1/11/12	J	A	
60.					Sold (part)	3/23/12	J	A	
61.					Sold (part)	11/30/12	J	A	
62. Strat. Advs. Emerg. Markets	A	Dividend	J	T					
63. Fid. Muni Income	B	Dividend	L	T	Buy	3/23/12	J		
64.					Sold (part)	5/25/12	J	A	
65.					Buy	9/6/12	J		
66. Fimm MMKT Post Inst C1	A	Dividend	J	T	Buy	1/11/12	J		
67.					Sold (part)	2/28/12	J		
68.					Buy	3/23/12	J		

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69.					Buy	5/25/12	J		
70.					Sold (part)	6/5/12	J		
71.					Sold (part)	08/21/12	J		
72.					Buy	09/6/12	J		
73.					Buy	11/30/12	J		
74.					Sold (part)	12/4/12	J		
75. TRowe Price Tax Free Inc Fund Ad.	A	Dividend	J	T	Buy	3/23/12	J		
76.					Sold (part)	5/25/12	J	A	
77. Arden Alt. Strat. Cl. 1		None	J	T	Buy	11/30/12	J		

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

The jurisdiction of the United States Court of Appeals for the Armed Forces is limited to appellate issues of law arising out of the application of the Uniform Code of Military Justice. See, 10 U.S.C. sections 802, 867. Therefore, the possibility of a financial conflict holding of either my spouse or myself is remote to non-existent.

Part VII.

41. As reported on schedule K-1, this reflects rent, interest and dividends.

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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/ **James E. Baker**

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