

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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) BOUDIN, MICHAEL (NMI)	2. Court or Organization U.S. COURT OF APPEALS, 1ST CIR	3. Date of Report 07/20/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. CIRCUIT JUDGE - ACTIVE	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2011 to 12/31/2011
7. Chambers or Office Address U.S. COURTHOUSE 1 COURTHOUSE WAY, SUITE 7710 BOSTON, MASSACHUSETTS 02210		
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. Insert signature on last page.		

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. Emeritus Member of the Council	American Law Institute
2. Trustee or Co-trustee	Trust #2 and Trust #3
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. [N/A]	Vested pension plan account at former law firm, Covington & Burling
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. 2011	Harvard Law School - teaching	\$21,000.00
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. 2011	Professorship at Harvard Law School ☐
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. University of Virginia	02/23/2011 to 02/24/2011	Charlottesville, VA	Lecture	Transportation, meals and lodging
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.	Harvard University	Education loan	M
2.	Bank of America	Mortgage Wellfleet, MA	M
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. C & B PENSION PLAN (see note 1)	G	Int./Div.	P1	T					
2. - Ranier Small/Mid cap Equity (Y) (see note 1)									
3. - Morgan Stanley Inst. Mid Cap Growth (X) (see note 1)									
4. - Schwab Stable Value Instl Class II									
5.									
6. TIAA-CREF RETIREMENT PLAN (see note 2)	C	Int./Div.	L	T					
7. - TIAA Traditional									
8. - CREF Stock									
9. - T-C Lfeyle. Idx. 2010-Inst. (X) (see note 2)									
10.									
11. Vanguard Target Retirement 2005 Account	A	Int./Div.	J	T					
12. Bank of America Cash Account Boston, MA	A	Interest	M	T					
13. TD BankNorth Cash Account Orleans, MA	A	Interest	M	T					
14.									
15. UBS FINANCIAL SERVICES, INC. (UBS)									
16. RMA Government Portfolio (UBS)	A	Dividend	N	T					
17. Prudential Muni Fund (UBS)	A	Interest	J	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	

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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)
18. UBS US Allocation Fund C (UBS)	B	Dividend	M	T					
19. UBS Bank USA deposit account (UBS)	A	Interest	M	T					
20.									
21. MORGAN STANLEY (MS)									
22. Standard & Poor's Dep. Rcpts (MS)	C	Dividend			Sold	11/03/11	M	E	
23. Active Assets Tax Free Trust Account (cash equiv.) (MS)	A	Interest	O	T					
24. Sentinel Short Maturity Gov't (MS)	B	Dividend	M	T					
25. MFS Investors Growth ST (MS)	A	Dividend	K	T					
26. Legg Mason WA MGD Muni (MS)	B	Interest	M	T	Buy	11/03/11	M		
27. Massachusetts State Bonds (12) (MS)	B	Interest			Redeemed (part)	06/03/11	K	A	
28. Massachusetts State Bonds (12) (MS)	B	Interest			Redeemed	10/17/11	K	A	
29. Davis New York Venture (MS)	A	Dividend			Sold	11/03/11	M	E	
30. Oppenheimer LTD Term Munic	D	Dividend	M	T					
31. Virginia Beach, VA Bonds (18) (MS)	C	Interest	L	T					
32.									
33. HARVARD&UPENN RETIREMENT PLANS at TIAA-CREF(S)(see note 3)	F	Int./Div.	P1	T					
34. - TIAA Traditional Fund									

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		

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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)

35. - CREF Stock									
36. - CREF Global									
37. - CREF Growth (X) (see note 3)									
38. - TIAA Real Estate (X) (see note 3)									
39. - CREF Money Market (X) (see note 3)									
40.									
41. HARVARD RETIREMENT PLAN at VANGUARD (see note 4)	D	Dividend	N	T					
42. -Index 500 Fund (Y) (see note 4)									
43. -Windsor Fund (Y) (see note 4)									
44. -Windsor II Fund (Y) (see note 4)									
45. -Vanguard Target Retirement 2010 (X) (see note 4)					Redeemed (part)	11/01/11	M		
46. -Vanguard Target Retirement 2010 (X) (see note 4)					Redeemed (part)	11/15/11	M		
47.									
48. VANGUARD ROLLOVER IRA	D	Dividend	N	T					
49. -Prime Money Mkt Fund VMMXX					Buy	11/01/11	M		
50. -Prime Money Mkt Fund VMMXX					Buy (add'l)	11/15/11	M		
51. -Prime Money Mkt Fund VMMXX					Distributed (part)	11/04/11	M		

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	
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52. -Prime Money Mkt Fund VMMXX					Distributed (part)	11/22/11	M		
53. -Prime Money Mkt Fund VMMXX					Distributed (part)	12/01/11	K		
54. -Prime Money Mkt Fund VMMXX					Distributed (part)	12/02/11	L		
55. -Dividend Growth Fund VDIGX					Buy	11/01/11	L		
56. -Emerging Mkts Stk Idx Adm VEMAX					Buy	12/01/11	K		
57. -Equity Income Fund Adm VEIRX					Buy	11/22/11	L		
58. -Mid-Cap Index Fund Adm VIMAX					Buy	11/01/11	L		
59. -Matthews Asian Div FD MAPIX					Buy	11/04/11	L		
60. -Matthews Asian Div FD MAPIX					Buy (add'l)	12/02/11	K		
61. -Matthews China FD INV CL MCHFX					Buy	11/04/11	K		
62. -Matthews China FD INV CL MCHFX					Buy (add'l)	12/02/11	K		
63.									
64. HARVARD RETIREMENT PLANS at FIDELITY (see note 5)	A	Dividend	K	T					
65. -Magellan Fund (Y) (see note 5)									
66. -Income Fund					Sold	02/18/11	K		
67. -Growth and Income Fund					Sold	02/18/11	K		
68. -Fidelity FID Frdm Indx 2010 W (					Buy	02/18/11	K		

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69. -Fidelity FID Frdm Indx 2010 W					Sold (part)	12/06/11	K		
70. -Fidelity Cash Reserves (FDRXX)					Buy	12/06/11	K		
71.									
72. DWS (Scudder) Cash Investment Trust MMF	A	Dividend	J	T					
73. BankAmerica Cash Account, Boston, MA	A	Interest	K	T					
74. Bank of Hawaii Cash Account	A	Interest	J	T					
75.									
76. Rental House, Wellfleet, MA	E	Rent	P1	W					
77. , Wellfleet, MA rent house)	D	Rent	P1	W					
78. Kauai, Hawaii, land	D	Rent	O	W					
79. Rental House, Cambridge, MA	D	Rent	O	W					
80.									
81. MERRILL LYNCH									
82. General Electric stock	A	Dividend	J	T					
83. CMA Money fund	A	Dividend	J	T					
84.									
85. TRUST #2	A	Dividend	M	T					

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86. - UBS US Allocation Fund Class C									
87. - RMA Government Portfolio									
88.									
89. TRUST #3	A	Dividend	O	T					
90. -RMA Govrenment Portfolio									

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

MICHAEL BOUDIN

NOTES FOR PART VII - Investments and Trusts

Note 1: C&B PENSION PLAN: My Covington & Burling and TIAA-CREF retirement plans involve tax-deferred income which is not fully calculated. I have therefore estimated "income" at 5% of year-end asset value. Morgan Stanley Inst. Mid Cap Growth is substituted for Rainier Small/Mid Cap Equity during the 4th quarter of 2011. Charles Schwab which manages the C & B Pension Plan shifted the funds formerly held in Rainer fund to the Morgan Stanley fund.

Note 2: TIAA-CREF RETIREMENT PLAN: T-C Lifecycle, Idx. 2010-Inst.: This new category of asset appears for the first time on the TIAA-CREF 3rd quarter statement in 2011 as "employer contribution".

Note 3: HARVARD & UPENN RETIREMENT PLANS at TIAA-CREF: The plans invest all assets in TIAA and CREF Annuities. CREF Growth, TIAA Real Estate and CREF Money Market are not new assets; they are 3 additional TIAA CREF asset class funds contained within the TIAA and CREF annuities that were inadvertently not broken out on prior reports.

Note 4: HARVARD RETIREMENT PLANS at VANGUARD: The Vanguard Target Retirement 2010 is not a new asset. Asset transfers within the Harvard Retirement Plans at Vanguard were inadvertently not reported on prior year reports. In 2010 all the assets within the Vanguard 500 Index Fund, Vanguard Windsor Fund and the Vanguard Windsor II Fund were transferred into the The Vanguard Target Retirement 2010. In addition, in 2010 all the assets within the Vanguard Growth and Income Fund and Vanguard Selected Value Fund were transferred into the The Vanguard Target Retirement 2010. The Vanguard Growth and Income Fund and Vanguard Selected Value Fund contained assets that were inadvertently not reported on prior year reports. As of 1/1/2011 the only asset was the Vanguard Target Retirement 2010.

Note 5: HARVARD RETIREMENT PLANS at FIDELITY: Magellan Fund was inadvertently carried forward on prior year reports. The Magellan Fund was sold on May 8, 1997 for \$9,996 in proceeds with a \$1,025 gain on sale.

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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/ MICHAEL (NMI) BOUDIN

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