

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) Bates, John D.	2. Court or Organization U.S. District Court for the District of Columbia	3. Date of Report 5/8/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) District Judge - Article III (senior)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address 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.		
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. 2016	Georgetown University Law Center, income for teaching	\$12,000.00
2. 2016	University of Arizona, Rogers School of Law, income for teaching	\$3,500.00
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. 2016	Maret School, Washington DC
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.)*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. Wells Fargo Account	A	Interest	J	T					
2. Morgan Stanley Smith Barney - IRA - C:									
3. -- Auto Data Proc - Common	A	Dividend	K	T					
4. -- Bank of Amer. - Preferred	B	Dividend	K	T					
5. -- Adobe Sys. - Common		None	K	T					
6. -- Apple Inc. - Common	A	Dividend	K	T					
7. -- Bank of Amer. - Common	A	Dividend			Sold	11/17/16	J	A	
8. -- Cisco Sys. Common	B	Dividend	K	T					
9. -- Chevron Corp. Common	B	Dividend	L	T					
10. -- CINN Financial Corp. Common	B	Dividend	L	T					
11. -- Illinois Tool Works Common	B	Dividend	L	T	Sold (part)	11/10/16	K	D	
12. -- Dow Chem Common	B	Dividend	K	T					
13. -- Clearbridge Energy MLP Fund	C	Dividend	K	T	Buy	11/17/16	K		
14. -- Enterprise Prod. - Common	B	Dividend	K	T					
15. -- Fiserv Inc. - Common		None			Sold	11/10/16	J	D	
16. -- HP Inc. - Common	A	Dividend	J	T					
17. -- Hewlett Packard Enter. - Common	A	Dividend	K	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	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
(See Column C2)	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
	U = Book Value	V = Other	W = Estimated		

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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. -- Home Depot - Common	B	Dividend	L	T	Sold (part)	04/04/16	J	D	
19. -- JP Morgan Chase & Co. - Common	B	Dividend	L	T					
20. -- Johnson & Johnson - Common	B	Dividend	K	T					
21. -- L3 Communications - Common	A	Dividend	K	T					
22. -- Marriott Int'l - Common	A	Dividend	K	T					
23. -- McDonalds - Common	A	Dividend	K	T	Sold (part)	03/31/16	J	C	
24. -- MetLife - Common	A	Dividend	J	T					
25. -- Morgan Stanley - Common	A	Dividend	J	T					
26. -- Vodaphone Group - Common	A	Dividend	J	T					
27. -- Omnicon - Common	A	Dividend	K	T					
28. -- Pfizer - Common	B	Dividend	K	T					
29. -- Pepsi Co. - Common	C	Dividend	M	T					
30. -- Principal Fin'l - Common	A	Dividend	J	T					
31. -- Procter & Gamble - Common	B	Dividend	L	T					
32. -- Apollo Inv. Corp.	B	Interest	K	T	Buy	11/17/16	J		
33. -- Maiden Hldgs. NA	C	Interest	K	T	Buy	11/17/16	J		
34. -- CSX Corp. - Common	A	Dividend	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	

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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				
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35. -- MS Liquid Asset Fund	A	Interest	N	T					
36. -- Verizon Common	B	Dividend	K	T					
37. -- First TR MLP & ENRG fund	C	Dividend	K	T	Buy	11/17/16	J		
38. --Ishares Russell 2000 ETF	A	Dividend	L	T					
39. --Blackrock - Common	A	Dividend	K	T					
40. --Occidental Petroleum - Common	B	Dividend	K	T					
41. -- Qwest Corp. Cap. Sec.	B	Interest	K	T	Buy	11/17/16	J		
42. Morgan Stanley Smith Barney - Joint:									
43. -- AXA Equitable Life Annuity		None	K	T					
44. -- Chevron - Common	A	Dividend	J	T	Buy	11/10/16	J		
45. -- Amer. Tower Corp. - Class A	A	Dividend	J	T					
46. -- Barclays Bank - Preferred	B	Dividend	K	T					
47. --Morgan Stanley Cash Fund	A	Interest	K	T					
48. -- Davita Inc. - Common		None	J	T					
49. -- Electronics for Imaging - Common		None	J	T					
50. -- Energy Transfer Pms LP - Common	A	Dividend			Sold	02/05/16	J	A	
51. -- Gugg, Zacks Adv 30 Unit Inv. Trust	A	Dividend			Sold	07/28/16	K	A	

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
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52. -- Gugg, Zacks Adv 34 Unit Inv. Trust	A	Dividend	K	T	Buy	07/28/16	K		
53. -- Fiserv Inc. Common		None	K	T					
54. -- Halliburton Co. Hldgs. - Common	A	Dividend			Sold	10/20/16	J	B	
55. -- Qwest Corp - Common	A	Dividend	J	T	Sold (part)	09/15/16	J	A	
56. -- Intuit Inc. - Common	A	Dividend	J	T	Sold (part)	11/20/16	J	C	
57. -- IShares Transportation Average ETF	A	Dividend	J	T	Buy	11/10/16	J		
58. --Deutsche Bank - Common	B	Dividend	K	T	Buy	07/28/16	K		
59. -- Powershares Ex-Traded Fund Dynamic Biotech & Genome	A	Dividend	J	T					
60. -- Time Warner - Common	A	Dividend	K	T					
61. -- Unum Group - Common	A	Dividend			Sold	05/06/16	J	D	
62. -- United Health - Common	A	Dividend	K	T	Sold (part)	05/06/16	J	D	
63. -- United Health - Common	A	Dividend	K	T	Sold (part)	11/10/16	J	D	
64. -- Bank of America - Common	A	Dividend	K	T	Buy	07/28/16	K		
65. -- Western Union - Common	A	Dividend			Sold	08/10/16	J	A	
66. -- Wash. Sub. San. Dt. MD Bond	A	Interest			Redeemed	06/27/16	L	A	
67. -- Unit AAM Navellier Unit Inv. Tr.	B	Dividend	K	T	Sold (part)	04/25/16	J	A	
68. -- Unit AAM Navellier Unit Inv. Tr.	B	Dividend	K	T	Sold (part)	06/27/16	J	A	

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69. -- Unit AAM Navellier Unit Inv. Tr.	B	Dividend	K	T	Sold (part)	12/27/16	J	A	
70. Morgan Stanley Smith Barney - IRA - J:									
71. -- AT&T Inc. - Common	C	Dividend	L	T					
72. -- Lamb Weston Holdings	A	Dividend	J	T	Buy	11/09/16	J		
73. -- Lamb Weston Holdings	A	Dividend	J	T	Sold (part)	11/14/16	J	A	
74. -- Centerpoint Energy - Common	A	Dividend	J	T					
75. -- Colgate Palmolive - Common	B	Dividend	L	T					
76. -- Conagra Foods - Common	A	Dividend	J	T					
77. -- Hain Celestial Group - Common		None			Sold	05/04/16	J	C	
78. -- iShares TR-DJ Transp. Index Fund	A	Dividend	J	T					
79. -- iShares TR Global Ind. Index Fund	A	Dividend	K	T					
80. -- iShares Dow Jones US Health Care Providers Index Fund	A	Dividend	J	T					
81. -- IBM - Common	B	Dividend	K	T					
82. -- Medtronic - Common	B	Dividend	L	T					
83. -- Powershares Dynamic Semiconductors	A	Dividend	J	T					
84. -- Powershares Dynamic Media Portfolio	A	Dividend	J	T					
85. -- Select Spector SPDR Energy	A	Dividend	K	T					

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86. -- iShares NoAm Tech Software Index Fund	A	Dividend	K	T					
87. -- SPDR Index SHS FDS DJ Wilshire Int'l Real Estate	A	Dividend	J	T					
88. -- SPDR SER TR KBW CAP MKTS ETF	A	Dividend	J	T					
89. -- SPDR SER TR KBW BK ETF	A	Dividend	J	T					
90. -- SPDR SER TR KBW INS ETF	A	Dividend	J	T					
91. -- United Tech Common	B	Dividend	L	T					
92. -- Vanguard Consumer Staples ETF	A	Dividend	K	T					
93. -- Vanguard Health Care ETF	A	Dividend	J	T					
94. -- Vanguard Info Tech ETF	A	Dividend	K	T					
95. -- Vanguard Int'l Equity (European) ETF	A	Dividend	J	T					
96. -- iShares Russell 2000 ETF	A	Dividend	K	T					
97. --Pepsico - Common	A	Dividend	K	T					
98. -- MS Liquid Asset Fund	A	Interest	L	T					
99. TIAA CREF Ret. Acct. (403(B) Plan Growth Annuity) - C		None	L	T					

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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/ **John D. Bates**

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