

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) Baker, James E.	2. Court or Organization USCAAF	3. Date of Report 07/20/2012
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 5b. ☐ Amended Report	6. Reporting Period 01/01/2011 to 12/31/2011
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 <i>NONE</i> 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. Trustee	
2. Trustee	Save Historic Arlington House (a 501(c)(3) NPS Friends Group)*
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. 1/28 - 2/4	Pittsburgh Law School	\$2,000.00
2. 5-12/11	Georgetown Law School	\$24,000.00
3. 5/11	Iowa Law School	\$955.00
4. 2011	Cambridge University Press Book Royalties	\$1,588.44

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. 6/11-12/11	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. University of Pittsburgh	1/28-2/4	Pittsburgh, PA	Teaching	travel, lodging and meals
2. Columbia Law School	2/21-22	New York City, NY	Speaker	travel, lodging and meals
3. Yale Law School	2/24-25	New Haven, CT	Speaker	travel, lodging and meals
4. UVA Law School	6/9-10	Charlottesville, VA	Speaker	travel, lodging and meals
5. University of Iowa College of Law	10/18-21	Iowa City, Iowa	Speaker	travel, lodging and meals

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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	W					
3. Coca Cola	A	Dividend	J	T					
4. Costco Wholesale	A	Dividend	J	T					
5. Disney Walt Co.	A	Distribution	J	T					
6. Dover Corp	A	Dividend	J	T					
7. Gannett Co. Inc.	A	Dividend	J	T					
8. Johnson & Johnson	A	Dividend	J	T					
9. Proctor & Gamble	D	Dividend	M	T					
10. Progressive Corp		None	J	T					
11. AT&T	A	Dividend	J	T					
12. USX Marathon Group	A	Dividend	J	T					
13. Wells Fargo & Company	A	Dividend	J	T					
14. Vanguard U.S. Growth Fund	A	Dividend	K	T					
15. Vanguard Star Fund	B	Dividend	L	T					
16. AARP Employee 401 K Plan	B	Dividend	L	T					
17. T Rowe Price Stable Fund	B	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 \$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/Blue Chip	A	Dividend	J	T					
19. T Rowe Price/MidCap Growth	A	Dividend	K	T					
20. Lincoln Financial Group Fixed Annuity, 403 (b)	A	Dividend	J	T					
21. Capitol One	A	Interest	J	T					
22. Smuckers	A	Dividend	J	T			J		* quarterly
23. Fidelity VCIP 529 (X)	A	Dividend	K	T			J		* monthly
24. Fidelity VCIP 529 (X)	A	Dividend	K	T			J		* monthly
25. Fidelity Magellan IRA	A	Dividend	J	T					
26. Fidelity Freedom 2040 IRA	B	Dividend	K	T					
27. Fidelity Contrafund IRA	A	Dividend	L	T					
28. Fidelity Cash Reserves	A	Dividend	J	T					
29. James Pond Realty Trust West Tisbury, MA	B	Rent	O	W					*
30. DWS High Yield Tax	A	Dividend	J	T	Sold (part)	07/21/11	J		
31.					Sold (part)	08/12/11	J		
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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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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35. Fidelity Short-Intermediate Muni Inc.	B	Dividend	K	T	Buy	04/28/11	J		
36.					Sold (part)	08/12/11	J	A	
37. Str. Adv. Intl Fund	B	Dividend	L	T	Sold (part)	04/28/11	J	A	
38.					Buy	07/19/11	J		
39.					Buy	08/12/11	J		
40.					Buy	09/14/11	J		
41. Franklin Gold and Metals	A	Dividend	J	T					
42.									
43.									
44. Pimco Comm. Real Ret. Admin C1	B	Dividend	J	T	Sold (part)	08/12/11	J	A	
45. Fid. Strategic Advisors Value Fund	B	Dividend	K	T	Sold (part)	04/28/11	J	A	
46.					Sold (part)	09/14/11	J		
47. Str. Adv. Sm-Mid Cap Fund	A	Dividend	J	T	Sold (part)	04/28/11	J	A	
48.					Buy	08/12/11	J		
49.					Sold (part)	09/14/11	J	A	
50. Str. Adv. US Oppty Fund	A	Dividend	J	T	Sold (part)	04/28/11	J	A	
51.					Buy	08/12/11	J		

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52. Fid. Strat. Advs. Core Fund	B	Dividend	K	T	Sold (part)	04/28/11	J	A	
53.					Buy	08/12/11	J		
54.					Sold (part)	09/14/11	J	A	
55. Strat. Advs. Growth Fund	A	Dividend	K	T	Buy	04/28/11	J		
56.					Buy	08/12/11	J		
57.					Buy	09/14/11	J		
58. Strat. Advs. Value Fund (NC)									*
59. Strat. Advs. Emerg. Markets	A	Dividend	J	T	Buy	08/12/11	J		
60. Fid. Muni Income	B	Dividend	K	T	Buy	04/28/11	J		*
61.					Sold (part)	07/19/11	J		
62.					Sold (part)	08/12/11	J	A	
63.					Buy	09/14/11	J		
64. Fimm MMKT Post Inst C1	A	Dividend	J	T	Sold (part)	03/01/11	J		
65.					Buy	04/28/11	J		
66.					Sold (part)	05/24/11	J		
67.					Buy	07/21/11	J		
68.					Sold (part)	08/12/11	J		

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69.					Sold (part)	08/23/11	J		
70.					Buy	09/14/11	J		
71.					Sold (part)	12/21/11	J		
72. TRowe Price Tax Free Inc Fund Ad.	A	Dividend	J	T	Buy	04/28/11	J		
73.					Sold (part)	08/12/11	J	A	
74.									

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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 I

2. Resigned, June 2012.

Part VII.

All listed dividends are scheduled to automatically reinvest at variable times throughout the year.

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

58. Listed twice in last year's report on lines 114 and 137.

60. Listed twice in last year's report on lines 44 and 146.

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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