

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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) Rosenbaum, Robin S.	2. Court or Organization U.S. Court of Appeals for the Eleventh Circuit	3. Date of Report 05/15/2019
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 01/01/2018 to 12/31/2018
7. Chambers or Office Address U.S. Courthouse 299 E. Broward Blvd., Room 108 Fort Lauderdale, Florida 33301		
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	Trust #1
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.		
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. 2017	Holland & Knight -- salary
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. Cornell University	4/12/18-4/15/18	Ithaca, New York	Moot court judge; fireside chat with students	Transportation, hotel, food
2. New York University/ Columbia University	2/23/18-2/25/18	Long Island, New York	Attended seminar sponsored by these universities	Transportation, hotel, food
3. New York University	2/26/18	New York City, New York	Spoke with students	Transportation, room, food
4. Northwestern University	3/1/18-3/3/18	Chicago, Illinois	Moot court judge	Transportation, hotel, food
5. Federal Bar Association (husband's reimbursement) (I did not attend)	9/12/18-9/15/18	New York City, New York	Attended national conference	Transportation, hotel

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6.	Federal Bar Association (husband's reimbursement) (1 did not attend)	4/25/18-4/28/18	Washington, DC	Attended leadership training	Transportation, hotel
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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.			
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. Ameritrade Money Market Account	A	Interest	J	T					
2. Astropower common		None	J	T					
3. Bank of America--check/savings	A	Interest	J	T					
4. Cisco Systems common	A	Dividend	J	T					
5. DiscoverBank Savings and Money Market Account	A	Interest	M	T					
6. Dodge & Cox Int'l Stock Fund	A	Int./Div.	K	T					
7. Domini Social Equity Fund - Domini Impact Equity	A	Int./Div.	J	T					
8. Ericsson L M Tel Co. ADR	A	Dividend	J	T					
9. Fidelity Cash Reserves - Government Money Market	A	Dividend	J	T					
10. Fidelity Contrafund (H&K 401k)	A	Int./Div.	L	T					
11. Fidelity Contrafund (IRA)	A	Int./Div.	L	T					
12. Fidelity Low Priced Stock Fund	A	Dividend	K	T					
13. Fidelity Municipal Money Market Fund	A	Interest	J	T					
14. Fidelity Retirement Government Money Market Fund	A	Dividend	K	T					
15. Fidelity Unique NH 2021 Portfolio Index	A	Int./Div.	K	T					
16. Fidelity Unique NH Bank Deposit Portfolio	A	Int./Div.	M	T					
17. Intel Corp.	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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18. Janus Henderson Forty Fund	A	Dividend	J	T					
19. Janus Global Research Fund (previously Janus Worldwide Fund)	A	Dividend	J	T					
20. Lumentum Holdings, Inc. common		None	J	T					
21. MassMutual VUL: Oppenheimer Capital Appreciation Fund		None	K	T					
22. MassMutual Variable Universal Life: Oppenheimer Midcap Fund		None	K	T					
23. NVIDIA common	A	Dividend	J	T					
24. Parnassus Fund	A	Int./Div.	K	T					
25. PRU Total Return bond Fund-Holland & Knight 401k	A	Int./Div.	K	T					
26. Rhythms Netconnections common		None	J	T					
27. T. Rowe Price 529 College Savings Plan Portfolio 2021	A	Int./Div.	K	T					
28. T. Rowe Price 529 College Savings Plan Money Market Portfolio	A	Int./Div.	M	T					
29. T. Rowe PriceBlue Chip Growth Fund	A	Int./Div.	K	T					
30. T. Rowe Price Health Sciences Fund (UGMA) - Account 1	A	Int./Div.	J	T					
31. T. Rowe Price Health Sciences Fund (UGMA) - Account 2	A	Int./Div.	J	T					
32. Universal Display Corp. common	A	Dividend	L	T					
33. Vanguard Institutional Index Fund	A	None	K	T					
34. Viavi Solutions, Inc. common		None	J	T					

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35. Wells Fargo Small Company Growth Fund-Holland & Knight 401k	A	Int./Div.	K	T					
36. Apple	A	Dividend	J	T	Buy (add'l)	06/08/18	J		
37. Ameritrade Money Market Account	A	Interest	J	T					
38. Facebook		None			Sold	03/26/18	K	D	
39. Netflix		None	J	T	Buy	03/26/18	K		
40. Trust #1	A	Interest	M	T					
41. -MML VUL: MassMutual Life Blend		None	K	T					
42. -MML VUL: Oppenheimer Main Street		None	K	T					
43. -MML VUL: Janus Henderson Forty		None	K	T					
44. -MML VUL: Oppenheimer Discovery Mid Cap Growth		None	K	T					
45. -MML VUL: T. Rowe Price Mid-Cap Growth		None	K	T					
46. -MML VUL: Oppenheimer Global		None	K	T					

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

VII. Investments and Trusts

1. Lines 36-39 are held by [REDACTED], but I am listed as joint tenant on [REDACTED] account. This has been the case for several years. I derive no income or other benefits from [REDACTED] investments.
2. Lines 41-46 list the assets in Trust #1. I do not receive any income or other benefits from this trust or from serving as the trustee, nor am I a beneficiary of the trust.
3. Line 40 reflects the cumulative value of Trust #1. As I indicated in Note 2 above, lines 41-46 list the specific mutual-fund holdings that make up this Trust.
4. On line 18, the Janus Forty Fund had previously been renamed the Janus Henderson Forty Fund. Line 18 now reflects the correct name.
5. On line 14, the Fidelity Retirement Money Market Fund was renamed the Fidelity Retirement Government Money Market Fund.

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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/ **Robin S. Rosenbaum**

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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