

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) Rothstein, Barbara J.	2. Court or Organization US Courts	3. Date of Report 06/08/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) US District Court Judge	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 US District Court Washington, D.C. 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.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Co-Trustee	Family Trust
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.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 8

Name of Person Reporting

Rothstein, Barbara J.

Date of Report

06/08/2018

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. 2016	Medical Faculty Associates, Wages
2. 2016	Self Employed Consultant Fees
3. 2016	Required Minimum Distribution, Retirement Plan
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. Center for Civil Justice	12/16/16	New York, NY	Advisory Board Meeting	Transportation, Meals
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 8

Name of Person Reporting

Rothstein, Barbara J.

Date of Report

06/08/2018

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.	JP Morgan Chase	Mortgage on Rental #1, Redmond, WA (Part VII Line 11)	L
2.	Wells Fargo Bank	Mortgage on Rental #2, Strasburg VA (Part VII Line 13)	L
3.	Wells Fargo Bank	Mortgage on Rental #3, Strasburg VA (Part VII Line 14)	L
4.	City National Bank	Mortgage on Rental #4, Strasburg VA (Part VII Line 15)	L
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 8

Name of Person Reporting

Rothstein, Barbara J.

Date of Report

06/08/2018

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. EQT Corporation	A	Dividend	L	T					
2. American Euro Pacific Growth Fnd C	A	Dividend	M	T					
3. American New World Fnd C	A	Dividend	L	T					
4. Vanguard Inter Term T/E Inv Cl	B	Dividend	L	T					
5. US Bancorp Account	A	Interest	J	T					
6. Capital One Bank	A	Interest	K	T					
7. NA Properties Ltd Partnership	A	Interest	J	U					
8. Rental House Redmond, WA (1999 \$172,000)	E	Rent	M	R					
9. New Horizon Capital III, LP	A	Interest	L	U					
10. Rental Townhouse Strasburg, VA (2009 \$135,000)	D	Rent	M	R					
11. Rental House Strasburg, VA (2012 \$150,000)	C	Rent	M	R					
12. Rental House, Strasburg, VA (2013, \$150,000)	B	Rent	M	R					
13. America Movil Ads	B	Dividend	L	T					
14. Emulex Corp. Common					Sold	05/11/15			Misreported in 2015- sold
15. 3M Company	C	Dividend	M	T					
16. XCel Energy	A	Dividend	K	T					
17. PPL Corp.	A	Dividend	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 = \$250,000,001 - \$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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 8

Name of Person Reporting

Rothstein, Barbara J.

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18. Costco Wholesale Corp. Common	B	Dividend	M	T					
19. Western Asset HI Inc.	B	Dividend	K	T					
20. Starbucks Common	E	Dividend	P1	T					
21. Nuveen Quality Preferred Income FD	A	Interest	J	T					
22. Home Depot Inc. Common	C	Dividend	M	T					
23. General Electric Co. Common	B	Dividend	L	T					
24. Morgan Stanley Cap. Trust	B	Int./Div.			Redeemed	08/18/16	K	A	
25. CHS Cooperatives Preferred	B	Dividend	K	T					
26. BB&T Bank BDF					Closed	01/01/16	M		
27. The Bank of East Asia, Limited	A	Interest			Closed	03/01/16	M		
28. State Bank of India	A	Interest	M	T	Open	03/01/16	M		
29.					Closed	06/01/16	M		
30. Cadence Bank	A	Interest	M	T	Open	06/01/16	M		
31. Associated Bank	A	Interest			Closed	09/30/16	L		
32. New York Community Bank	A	Interest			Closed	06/01/16	L		
33. Tristate Capital Band	A	Interest	L	T	Open	06/01/16	L		
34.					Closed	09/30/16	L		

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FINANCIAL DISCLOSURE REPORT

Page 6 of 8

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Rothstein, Barbara J.

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35. Branch Banking and Trust Co.	A	Interest	M	T	Open	09/30/16	M		
36.					Closed	11/30/16	M		
37. Chemical Bank	A	Interest	M	T	Open	09/30/16	M		
38. Bremer Bank	A	Interest	M	T	Open	09/30/16	M		
39. Branch Banking and Trust	A	Interest	M	T	Open	09/30/16	M		
40.					Closed	11/30/16	M		
41. CMS Energy	A	Dividend	J	T					
42. Prothema Corp.		None	J	T					
43. Pioneer Floating Rate Trust (PHD)	A	Dividend	J	T					
44. Eaton Vance Enhanced Equity Income Fund	C	Dividend	K	T					
45. RMR RE Fund	A	Dividend	J	T					
46. Eaton Vance Greater China Fund Cl A	A	Dividend	K	T					
47. Allianz	C	Dividend	K	T					
48. Nordstrom Inc	C	Dividend	L	T					
49. JP Morgan Tr II Money Market Fund	A	Dividend	K	T					
50.									

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FINANCIAL DISCLOSURE REPORT

Page 7 of 8

Name of Person Reporting

Rothstein, Barbara J.

Date of Report

06/08/2018

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

Part VII, Line 14:

Reporting Error in 2015. This stock was sold 5/11/2015. There was a loss on this sale.

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

Rothstein, Barbara J.

Date of Report

06/08/2018

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/ **Barbara J. Rothstein**

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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