

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) Barron , David J.	2. Court or Organization United States Court of Appeals for the First Circuit	3. Date of Report 8/12/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States 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 John J. Moakley United States Courthouse 1 Courthouse Way, Suite 7710 Boston, MA 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.		

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.	Visiting Professor	Harvard Law School
2.	Member	American Society of International Law (ASIL) Judicial Advisory Board
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. 2018	Harvard University - teaching income	\$27,699.96
2. 2018	LEG, Inc. dba West Academic - book royalties	\$6,795.33
3. 2018	Cornell University - book royalties	\$94.30
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. 2018	Harvard University, salary
2. 2018	Juliette Kayyem solutions, LLC
3. 2018	Zemcar, salary
4. 2018	CNN, national security, intelligence, and terrorism analyst, consulting fees

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. Rappaport Foundation	March 9-11, 2018	Stuart, FL	Lecture	Transportation, meals, hotel
2. Marquette University School of Law	April 8-10, 2018	Milwaukee, WI	Lecture	Transportation, meals, hotel
3. University of Georgia School of Law	September 26-30, 2018	Athens, GA	Guest teaching	Transportation, meals, hotel
4. George Mason University School of Law	October 11-12, 2018	Arlington, VA	Seminar	Transportation, meals, hotel
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.	Shady Hill School	Tuition Agreement	K
2.	Morgan Stanley (under The Girls LLC)	Margin Account	M
3.	Security First Mortgage Funding LLC (under Mars-B, Inc. LLC)	Mortgage on rental property, Barrington, RI (Part VII, Line 47)	K
4.	Morgan Stanley Bank N.A. (under Alpha-K Holdings LLC) (See part VIII explanation)	Mortgages on rental props, Montevallo, AL and W. Allis, WI (Part VII, Lines 49 and 50)	O
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. CREF Inflation-Linked Bond Fund		None	K	T					
2. CREF Stock Fund		None	M	T					
3. Fidelity Massachusetts Municipal Money Market Fund	A	Dividend	J	T					
4. Fidelity Select Biotechnology Portfolio	D	Dividend	M	T					
5. Fidelity Government Money Market Fund	A	Dividend	J	T					
6. Fidelity Select Banking Portfolio	B	Dividend	J	T					
7. Fidelity Municipal Money Market Fund		None	J	T					
8. TIAA Traditional Annuity	A	Interest	K	T					
9. Vanguard Federal Money Market Fund	A	Dividend	K	T					
10. Vanguard Inst Target Ret 2030 Fund	D	Dividend	N	T					
11. Vanguard Total Bond Mkt Index Inv Fund (See expl. in Part VIII)					Merged (with line 12)	10/03/16	J		
12. Vanguard Total Bond Mkt Index Inst Fund	B	Dividend	K	T					
13. Vanguard Target Retire 2035 Trust II Fund		None	K	T					
14. Vanguard Tot Intl Stock 1x Inst Fund	A	Dividend	J	T					
15. Vanguard Inst Index Fund	A	Dividend			Merged (with line 16)	07/20/18	J		
16. Vanguard Inst Index Fund Inst Plus	A	Dividend	J	T					
17. Vanguard Extended Mkt Index Inst Fund	A	Dividend	J	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	
	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)

18. Vanguard Target Retirement 2040 Fund	B	Dividend	L	T					
19. Vanguard Inst Target Ret 2035 Fund	C	Dividend	M	T					
20. Vanguard Juliette Kayyem Solutions LLC Individual 401(K) (X)	B	Dividend	K	T					
21. The Girls, LLC (H)									
22. - AMGEN INC (AMGN) common stock	D	Dividend	L	T	Sold (part)	05/29/18	L	E	
23. - APPLE INC. (AAPL) common stock	C	Dividend	L	T					
24. - BANK OF AMERICA CORP. (BAC) common stock	C	Dividend	M	T	Sold (part)	05/29/18	M	F	
25. -CHEVRON CORP (CVX) comon stock	A	Dividend			Sold	05/29/18	K	D	
26. -DENTSPLY SIRONA INC. (XRAY) common stock	A	Dividend			Sold	05/29/18	L	F	
27. -EXPEDITORS INTL WASH INC (EXPD) common stock	B	Dividend	M	T					
28. -GILEAD SCIENCE (GILD) common stock	A	Dividend			Sold	05/29/18	J		
29. -JPMORGAN CHASE & CO (JPM) common stock	B	Dividend	L	T					
30. -MICROSOFT CORP (MSFT) common stock	A	Dividend			Sold	05/29/18	K	E	
31. -ROCKWELL COLLINS INC (COL) common stock	B	Dividend			Redeemed	11/27/18	M	G	
32. -SCHLUMBERGER LTD (SLB) common stock	A	Dividend			Sold	05/29/18	K	A	
33. -WELLS FARGO & CO NEW (WFC) common stock	A	Dividend			Sold	05/29/18	K	C	
34. -ISHARES NASDAQ BIOTECH ETF (IBB)	A	Dividend	L	T	Sold	05/29/18	L	F	

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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. -ISHARES SELECT DIVIDEND ETF (DYY)	C	Dividend	L	T					
36. -POWERSHARES QQQ TR (QQQ)	A	Dividend		T	Sold	05/29/18	M	G	
37. -UNITED TECHNOLOGIES CORP (UTX) common stock		None	K	T	Buy	11/27/18	L		
38.					Sold (part)	11/28/18	L		
39. -MORGAN STANLEY PRIVATE BANK CASH ACCOUNT	A	Interest	K	T					
40. -INHIBRX LLC common stock		None	N	U					
41. -XENCOR INC preferred stock (See explanation in Part VIII)		None			Sold	10/18/17	K		
42. -QUANTUMSPHERE INC (QSIM) common stock		None			Sold	12/21/18	J		
43. -GENMARK DIAGNOSTICS (GNMK) common stock		None			Sold	10/11/18	M		
44. -ZEMCAR INC common stock		None	K	U					
45. Mars-B, Inc. LLC (H)									
46. - Non-reportable loan (listed for income purposes only- see Part VIII)	E	Interest							
47. - Rental Property, Barrington, RI (value) See explanation in Part VIII			O	V					
48. - Alpha-K Holdings LLC (H) - See explanation in Part VIII									
49. - Rental Property, Montevallo, AL(value) See explanation in Part VIII	E	Rent	N	V					
50. - Rental Property, W Allis, WI (value) - See explanation in Part VIII	E	Rent	N	V					
51. Juliette Kayyem Solutions, LLC - See explanation in Part VIII		None	N	W					

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52. U.S. Government Securities - Series EE Bonds	A	Interest	J	T					
53. FOK Holdings LLC (H) - See explanation in Part VIII									
54. - Rental Property, Hellertown, PA (value) See explanation in Part VIII	G	Rent	P1	V					
55. - Rental Property, Lebanon, PA (value) - See explanation in Part VIII	G	Rent	P1	V					
56. - Rental Property, Punxsutawney, PA (value) - See expl. in Part VIII	G	Rent	P1	V					
57. ZEMCAR INC common stock		None	K	U					
58. Bank of America, cash accounts	A	Interest	J	T					

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

Part VI:

Line 4: Both properties are held under one mortgage and thus listed on the same line.

Part VII:

Line 11: This transaction was inadvertently left off the 2016 report.

Line 41: The sale of this stock was inadvertently left off the 2017 report.

Line 46: This is non-reportable income and is listed in Part VII for income purposes only.

Line 47: The income reflected for this property is received in connection with Internal Revenue Code 467. Column B(2) is left blank on the advice of the Financial Disclosure Office.

Line 48: Alpha K Holdings LLC is owned by Mars B, Inc. LLC. The real estate properties in Lines 49 and 50 are held by Alpha-K Holdings LLC.

Lines 47, 49, 50 and 54-56: Fair market value of the real estate properties was determined by comparable sales prices in each area.

Line 51: In accord with the advice of the Financial Disclosure Office, no income is reported for Juliette Kayyem Solutions, LLC in Column B, given the nature of its holdings. The total value of assets of the LLC is reflected by the valuation in Column C.

Line 53: On advice of the Financial Disclosure Office, the liabilities of this entity are not listed in Part VI in light of the nature of the reportable interest in the LLC being a future interest.

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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/ **David J. Barron**

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
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Washington, D.C. 20544