

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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) Robart, James L.	2. Court or Organization U.S. Dist Court, W.D. of WA	3. Date of Report 05/04/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Dist. Judge (active)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2015 to 12/31/2015
7. Chambers or Office Address 700 Stewart Street, 14th Floor Seattle, WA 98101		
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 Emeritus	Whitman College
2. Trustee	Foundation # 1
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 10

Name of Person Reporting

Robart, James L.

Date of Report

05/04/2016

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.)*

DATE	SOURCE AND TYPE	INCOME (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.)*

DATE	SOURCE AND TYPE
1. 2015	Paintings sold for cash.
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.)*

	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.	American Conference Institute	January 15-16, 2015	Philadelphia, Pennsylvania	Asbestos Claims & Litigation CLE	Airfare, Lodging, Food, Transportation, and Parking
2.	US Department of State, Federal Trade Commission, India's National Judicial Academy	January 21-26, 2015	Bhopal, India	Conference on Intellectual Property Law	Airfare, Lodging, Food, and Transportation
3.	American Conference Institute	January 29-31, 2015	Miami, Florida	5th Annual forum on Preventing and Defending Long Term Care Litigation CLE	Airfare, Lodging, Food, Transportation, and Parking
4.	American Conference Institute	February 24-25, 2015	New York, NY	Construction Claims and Litigation CLE	Airfare, Lodging, Food, Transportation, and Parking

FINANCIAL DISCLOSURE REPORT

Page 3 of 10

Name of Person Reporting

Robart, James L.

Date of Report

05/04/2016

5.	Licensing Executives Society	March 11-14, 2015	Munich, Germany	IP Law Conference	Airfare, Lodging, Food, and Transportation
6.	American Conference Institute	March 16-17, 2015	Philadelphia, Pennsylvania	Bad Faith Claims & Litigation CLE	Airfare, Lodging, Food, Transportation, and Parking
7.	American Conference Institute	April 22-23, 2015	New Orleans, Louisiana	Environmental Law CLE	Airfare, Lodging, Food, Transportation, and Parking
8.	German Patent Office, Munich Technical University, and Munich IP Lawyers' Assoc.	June 14-20, 2015	Munich, Germany	Patent Law CLE	Airfare, Lodging, Food, and Transportation
9.	American Antitrust Institute	August 27-29, 2015	Palo Alto, California	Business Behavior & Competition Policy in the Courtroom/Antitrust CLE	Airfare, Lodging, Food, Transportation, and Parking
10.	AIPPI	October 10-14, 2015	Rio, Brazil	Standard Essential Patent ("SEP") Law CLE	Airfare, Lodging, Food, and Transportation
11.	Sedona Conference	October 18-22, 2015	Washington, D.C.	15th Annual Sedona Conference on Conference on Patent Litigation	Airfare, Lodging, Food, Transportation, and Parking
12.	American Conference Institute	October 26-29, 2015	New York, New York	ERISA Litigation, Labor Law Management & Consumer Lending CLE	Airfare, Lodging, Food, Transportation, and Parking

FINANCIAL DISCLOSURE REPORT

Page 4 of 10

Name of Person Reporting

Robart, James L.

Date of Report

05/04/2016

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.	Bank of America	Credit Card	J
2.	Bank of America	Credit Card	J
3.	Whitman College	Multi-year pledge	K
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 5 of 10

Name of Person Reporting

Robert, James L.

Date of Report

05/04/2016

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. Key Bank	A	Interest	K	T					
2. Key Bank	A	Interest	J	T					
3. Oak Harbor, WA Island Cnty Rental Property (2015 - \$200,000)	A	Rent	N	S					
4. Bank of Washington Common Stock		None	K	T					
5. BROKERAGE ACCOUNT #1									
6. -- Starbucks Common Stock	E	Dividend	P1	T	Donated (part)				
7. -- Schwab Money Fund	B	Interest	M	T					
8. -- MSCI Em. Mkts I-Shares	E	Dividend	O	T					
9. -- MSCI EAFE Index Fund	C	Dividend	N	T					
10. -- S&P 600 I-Shares	D	Dividend	O	T					
11. -- Vanguard REIT Fund	E	Dividend	O	T					
12. -- S&P 500 IShares	E	Dividend	O	T					
13. -- Boston Priv. Fin. Hldg.	C	Dividend	L	T					
14. Chevron Common Stock	D	Dividend	N	T					
15. BROKERAGE IRA #1									
16. -- MSCI EAFE Index I-Shares	E	Dividend	P1	T					
17. -- S&P Small Cap 600 IShares	F	Dividend	O	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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 10

Name of Person Reporting

Robart, James L.

Date of Report

05/04/2016

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. -- S&P 500 I-Shares	E	Dividend	O	T					
19. -- Schwab Money Fund	A	Interest	M	T					
20. -- U.S. TIPS					Matured (part)	04/15/15	M	D	
21.					Buy (add'l)	04/23/15	M		
22. -- Vanguard REIT	E	Dividend	O	T					
23. -- Emrg. Mkt. I-Share	D	Dividend	N	T					
24. -- General Mills Notes	C	Interest			Matured	03/17/15	L		
25. -- Bank of America Notes	C	Interest			Matured	08/01/15	M		
26.	D	Interest	M	T	Buy (add'l)	07/06/15	M		
27. -- Morgan Stanley Notes	D	Interest			Matured	10/15/15	M		
28. --CISCO Systems Note	D	Interest	M	T					
29. -- Discover Bank CD	B	Interest	M	T					
30. --Goldman Sachs Notes	C	Interest	M	T					
31. --Pfizer Notes	C	Interest	M	T					
32. --GE Cap. Bank CD	B	Interest	M	T					
33. --Goldman Sachs BK CD	C	Interest	M	T					
34. --Conoco Phillips Notes	D	Interest	M	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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 10

Name of Person Reporting

Robart, James L.

Date of Report

05/04/2016

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)

35. --GE Cap Retail CD	B	Interest			Matured	09/01/15	M		
36. --J.P. Morgan Chase	B	Interest	M	T					
37. --American Express Bank CD	B	Interest	M	T					
38. --Synchrony Bank CD	C	Interest	M	T					
39. Amgen Notes	C	Interest	M	T	Buy	10/07/15	M		
40. BP Capt. Mks.	C	Interest	M	T	Buy	01/05/15	M		
41. BROKERAGE IRA #2									
42. -- Janus Balanced Mut. Fund	B	Dividend	K	T					
43. -- T.R. Price New Asia Mut. Fund	A	Dividend	K	T					
44. -- Schwab Money Fund	A	Interest	J	T					
45. -- MSCI EAFE Index Fund	A	Dividend	K	T					
46. -- S&P 500 I-Shares	C	Dividend	M	T					
47. -- MSCI Em. Mkts I Share	B	Dividend	L	T					
48. -- S&P Small Cap 600 I Shares	B	Dividend	L	T					
49. --IBM	A	Dividend	J	T					
50. --Vanguard REIT	B	Dividend	K	T					
51. FOUNDATION # 1									

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	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	P3 = \$25,000,001 - \$50,000,000
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	P4 = More than \$50,000,000 S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 8 of 10

Name of Person Reporting

Robart, James L.

Date of Report

05/04/2016

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)

52. -- RBC Prime Money Fund	A	Dividend			Donated				
53. -- J.P. Morgan Strag Income Bd. Fund	A	Interest			Donated				
54. -- Principal Mid-Cap Fund	B	Dividend			Donated				
55. Vanguard Intl. Tax Managed Fund	E	Dividend	P1	T					
56. 7MB Tech. Corp.		None	K	T					
57. Builders Capital Part.	E	Dividend	N	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	

FINANCIAL DISCLOSURE REPORT

Page 9 of 10

Name of Person Reporting

Robart, James L.

Date of Report

05/04/2016

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

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

Robart, James L.

Date of Report

05/04/2016

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 L. Robart**

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