AO 10
Rev. 1/2011

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2010

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)	2. Court or Organization	3. Date of Report
Rothstein, Barbara J.	Federal Judicial Center	08/04/2010
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)	5a. Report Type (check appropriate type)	6. Reporting Period
US District Court Judge	☐ Nomination, Date ☐ Initial ☑ Annual ☐ Final 5b. ☐ Amended Report	01/01/2010 to 12/31/2010
7. Chambers or Office Address	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations.	
Federal Judicial Center Washington, D.C. 20002	Reviewing Officer______________ Date__________	

***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. Sign on last page.*

I. POSITIONS. *(Reporting individual only; see pp. 9-13 of filing instructions.)*

☑ NONE *(No reportable positions.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.		
2.		
3.		
4.		
5.		

II. AGREEMENTS. *(Reporting individual only; see pp. 14-16 of filing instructions.)*

☑ NONE *(No reportable agreements.)*

	DATE	PARTIES AND TERMS
1.		
2.		
3.		

Name of Person Reporting	Date of Report
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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.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 2010	West Services, Royalties	$4,497.00
2. 3/11/10	World Learning, Consultant Fee	$5,670.00
3. 6/12/10	World Learning, Consultant Fee	$3,000.00
4. 6/15/10	The Rutter Group, faculty compensation	$500.00
5. 7/19/10	The Aspen Institute, faculty compensation	$2,000.00

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. 2010	Medical Faculty Associates, Wages
2. 2010	Self Employed Consultant Fees
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.	Sedona Conference	January 27-31, 2010	Phoenix, AZ	Speaker, Panel Participant	Lodging
2.	World Learning	March 6-11, 2010	Pristina, Kosovo	Consultant & Participant, Kosovo Constitutional Court Work Project	Transportation, Lodging, Meals
3.	Pepperdine Dispute Resolution Symposium	April 14-16, 2010	Malibu, CA	Speaker; Panel Participant	Transportation, Lodging
4.	World Learning	June 6-12, 2010	Pristina, Kosovo	Participant, Kosovo Constitutional Court Work Project	Transportation, Lodging

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5.	The Aspen Institute	July 13-19, 2010	Aspen, CO	Speaker, Panel Participant	Transportation, Lodging, Meals
6.	American Conference Institute	July 21-22, 2010	New York, NY	Speaker, Panel Participant	Transportation
7.	Yale Law School	November 16-17, 2010	New Haven, CT	Speaker, Panel Participant	Transportation, 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.)*

	SOURCE	DESCRIPTION	VALUE
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.)*

	CREDITOR	DESCRIPTION	VALUE 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 (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	D. (5) Identity of buyer/seller (if private transaction)
1.	Amcol Common	A	Dividend	J	T					
2.	El Paso Corp.	A	Dividend	J	T					
3.	EQT Corporation (frmrly Equitable Resources Comm)	A	Dividend	K	T					
4.	Motorola Inc Common		None	K	T					
5.	New York Muni Income	A	Interest	J	T					
6.	American Euro Pacific Growth Fnd C	A	Dividend	L	T					
7.	American New World Fnd C	A	Dividend	L	T					
8.	Vanguard Inter Term T/E Inv Cl	A	Dividend	L	T	Buy	07/06/10	L		
9.	US Bancorp Account	A	Interest	J	T					
10.	Capital One Bank (frmrly Chevy Chase Bank)	A	Interest	K	T					
11.	NA Properties Ltd Partnership	B	Distribution	J	U					
12.	Rental House Redmond,WA (1999 $172,000)	E	Rent	M	R					
13.	New Horizon Capital III, LP	A	Distribution	M	U					
14.	Rental Townhouse Strasburg, VA (2009 $135,000)	D	Rent	M	R					
15.	America Movil Ads	B	Dividend	M	T					
16.	Bank One Capital Trust VI	B	Interest	K	T					
17.	Elan Corp. Common		None	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 =$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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Rothstein, Barbara J.	08/04/2010

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)	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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. Emulex Corp. Common		None	J	T					
19. Microsoft Corp. Common	C	Dividend	M	T					
20. 3M Company	B	Dividend	L	T					
21. XCel Energy	A	Dividend	J	T					
22. PPL Corp.	A	Dividend	J	T					
23. Life Technologies Corp		None	K	T					
24. Costco Wholesale Corp. Common	A	Dividend	L	T					
25. Western Asset HI Inc.	B	Dividend	K	T					
26. Starbucks Common	C	Dividend	N	T					
27. Telefonos De Mexico Common	B	Dividend	K	T					
28. Telmex International		None			Sold	06/10/10	K	E	
29. Nuveen Quality Preferred Income FD	A	Interest	J	T					
30. Bancorpsouth Cap Tr. Preferred	B	Interest	K	T					
31. 3Com Corp Common		None			Sold	04/12/10	K	D	
32. Home Depot Inc. Common	A	Dividend	K	T					
33. General Electric Co. Common	B	Dividend	K	T					
34. Morgan Stanley Cap. Trust	B	Dividend	K	T					

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	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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		
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35. CHS Cooperatives Preferred	B	Dividend	K	T					
36. CEPS Gov't&Agency Funds		None			Closed	01/01/10	M		
37. Associated Bank	A	Interest	L	T	Open	01/01/10	L		
38. Deutsche Bank	A	Interest	L	T	Open	01/01/10	L		
39. East West Bank	A	Interest	L	T	Open	01/01/10	L		
40. Citizens Bank	A	Interest	L	T	Open	01/10/10	L		
41. CMS Energy	A	Dividend	J	T					
42. Pioneer Floating Rate Trust (PHD)	B	Dividend	K	T					
43. Eaton Vance Enhanced Equity Income Fund	B	Dividend	K	T					
44. Eaton Vance Enhanced Equity Income Fd II	D	Interest	M	T					
45. RMR RE Fund (frmrly RMR Preferred Dividend Fund)	A	Dividend	J	T					
46. Dreyfus Premier Greater China Fund		None	K	T					
47. Eaton Vance Greater China Fund Cl A	A	Dividend	K	T					
48. Visa Inc	A	Dividend	M	T					
49. IBM	B	Dividend	M	T					
50. NJF Dividend Interest Premium Strategy Fund	B	Dividend	K	T					
51. Dell, Inc		None	J	T					

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52. ETrade Money Market Funds	A	Interest	L	T					
53. Cybersource Corp. Common		None			Sold	07/22/10	K	D	

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

Name of Person Reporting	Date of Report
Rothstein, Barbara J.	08/04/2010

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 WILFULLY 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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