

**FINANCIAL DISCLOSURE REPORT  
FOR CALENDAR YEAR 2011**

*Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)*

<b>1. Person Reporting (last name, first, middle initial)</b>  GOODWIN, JOSEPH R.	<b>2. Court or Organization</b>  US DISTRICT COURT, SOUTHERN WEST VIRGINIA	<b>3. Date of Report</b>  05/07/2012
<b>4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)</b>  US DISTRICT JUDGE-ACTIVE	<b>5a. Report Type (check appropriate type)</b> <input type="checkbox"/> Nomination <input type="checkbox"/> Date <input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final <b>5b.</b> <input type="checkbox"/> Amended Report	<b>6. Reporting Period</b>  01/01/2011 to 12/31/2011
<b>7. Chambers or Office Address</b>  300 VIRGINIA STREET EAST, SUITE 5009 PO BOX 2546 CHARLESTON, WV 25301		
<p align="center"><b>IMPORTANT NOTES:</b> <i>The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information. Insert signature on last page.</i></p>		

**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.		
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. 2011	OFFICE OF SECRETARY, EDUCATION (WAGES)
2. 2011	SELF-EMPLOYED (TRUSTEE FEES - TRUST #1)
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.				
2.				
3.				
4.				
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.			
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.)

1.	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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
		Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1.	DWS INTERMEDIATE TAX/AMT FREE FUND - S MUTUAL FUND	B	Interest	L	T					
2.	CHARLES SCHWAB INVESTMENT ACCOUNT									
3.	--CHARLES SCHWAB CASH ACCOUNT/MONEY MARKET	A	Interest	J	T					
4.	--ECA MARCELLUS TR I PUBLICLY TRADED PARTNERSHIP	B	Interest	M	T	Buy (add'l)	05/13/11	K		
5.		D	Distribution			Buy (add'l)	06/21/11	J		
6.		C	Royalty			Buy (add'l)	06/21/11	J		
7.						Buy (add'l)	06/21/11	J		
8.						Buy (add'l)	06/21/11	J		
9.						Buy (add'l)	06/21/11	K		
10.						Buy (add'l)	07/06/11	K		
11.						Buy (add'l)	08/05/11	J		
12.						Buy (add'l)	08/08/11	J		
13.						Buy (add'l)	08/08/11	J		
14.						Buy (add'l)	09/26/11	J		
15.						Buy (add'l)	12/14/11	J		
16.						Sold (part)	01/28/11	J	A	
17.						Sold (part)	02/14/11	J	A	

- 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      I12 = 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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GOODWIN, JOSEPH R.

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05/07/2012

**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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)

18.					Sold (part)	02/14/11	J	A	
19.					Sold (part)	02/14/11	J	A	
20.					Sold (part)	02/14/11	J	B	
21.					Sold (part)	03/25/11	K	C	
22.	--ONCOLYTICS BIOTECH INC F COMMON STOCK	None			Sold (part)	01/28/11	J	A	
23.					Sold (part)	01/28/11	J	A	
24.					Sold (part)	01/28/11	J	A	
25.					Sold (part)	01/28/11	J		
26.					Sold	01/28/11	J		
27.	--RESVERLOGIX CORP F COMMON STOCK	None			Sold (part)	01/26/11	J		
28.					Sold (part)	01/26/11	J		
29.					Sold	05/26/11	J		
30.	--BANK OF AMERICA CORP COMMON STOCK	None			Buy	02/25/11	J		
31.					Sold	02/25/11	J		
32.	--NANOSPHERE INC COMMON STOCK	None			Buy	07/05/11	J		
33.					Sold	07/21/11	J	A	
34.	--BERKSHIRE HATHAWAY B NEW CLASS B COMMON STOCK	None			Buy	02/25/11	K		

- |  |  |  |  |   |                         |
|--|--|--|--|---|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000<br>J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000<br>K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000<br>L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$50,000,000 | D = \$5,001 - \$15,000<br>I12 = More than \$5,000,000<br>M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | Q = Appraisal<br>U = Book Value  | R = Cost (Real Estate Only)<br>V = Other   | S = Assessment<br>W = Estimated  | T = Cash Market   |                         |
| 3. Value Method Codes<br>(See Column C2)         |  |  |  |   |                         |

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Name of Person Reporting <b>GOODWIN, JOSEPH R.</b>	Date of Report 05/07/2012
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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.)

35.	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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
		Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
						Buy (add'l)	03/02/11	K		
						Sold (part)	06/21/11	K		
						Sold (part)	06/21/11	J		
						Sold	07/06/11	K		
39.	--ARCELOR MITTAL NY NEW F COMMON STOCK	A	Dividend	J	T	Buy	09/16/11	J		
40.	--HALLIBURTON CO HLDG CO COMMON STOCK		None			Buy	09/15/11	J		
41.						Sold	09/15/11	J		
42.	--CISCO SYSTEMS INC CCOMMON STOCK	A	Dividend			Buy	05/23/11	J		
43.						Buy (add'l)	05/26/11	J		
44.						Sold (part)	07/06/11	J		
45.						Sold	07/06/11	J		
46.	CHARLES SCHWAB IRA ACCOUNT #1	A	Int./Div.	K	T					
47.		B	Distribution							
48.		B	Royalty							
49.	--CHARLES SCHWAB MONEY FUND									
50.	--ECA MARCELLUS TR I PUBLICY TRADED PARTNERSHIP					Buy (add'l)	06/13/11	J		
51.						Buy (add'l)	09/26/11	J		

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 H=\$1,000,001 - \$5,000,000 I1=\$1,000,001 - \$5,000,000 I2=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 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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)

52.					Sold (part)	02/14/11	J	A	
53.	--ONCOLYTICS BIOTECH INC F COMMON STOCK				Sold (part)	05/05/11	J		
54.					Sold	05/05/11	J		
55.	BB&T ACCOUNT #1	A	Interest	K	T				
56.	BB&T ACCOUNT #2	A	Interest	M	T				
57.	REAL ESTATE #2, RIPLEY, WEST VIRGINIA	D	Rent	K	W				
58.	REAL ESTATE #5, RIPLEY, WEST VIRGINIA		None	J	W				
59.	WEST VIRGINIA MEDIA PARTNERS, LP		None	J	U				
60.	TRUST #1	G	Royalty	N	U				
61.	--ROYALTY INTEREST #1, NICHOLAS COUNTY, WV								
62.	--ROYALTY INTEREST #2, NICHOLAS COUNTY, WV								
63.	--ROYALTY INTEREST #3, NICHOLAS COUNTY, WV								
64.	--ROYALTY INTEREST #4, NICHOLAS COUNTY, WV								
65.	--ROYALTY INTEREST #5, NICHOLAS COUNTY, WV								
66.	--ROYALTY INTEREST #6, NICHOLAS COUNTY, WV								
67.	--ROYALTY INTEREST #7, NICHOLAS COUNTY, WV								
68.	--ROYALTY INTEREST #8, NICHOLAS COUNTY, WV								

- |  |  |  |  |  |                         |
|--|--|--|--|--|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000<br>J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000<br>K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000<br>L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$50,000,000 | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000<br>M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | Q = Appraisal<br>U = Book Value  | R = Cost (Real Estate Only)<br>V = Other   | S = Assessment<br>W = Estimated  | T = Cash Market  |                         |
| 3. Value Method Codes<br>(See Column C2)         |  |  |  |  |                         |

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Name of Person Reporting <b>GOODWIN, JOSEPH R.</b>	Date of Report 05/07/2012
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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)

69. --ROYALTY INTEREST #9, NICHOLAS COUNTY, WV									
70. --ROYALTY INTEREST #10, NICHOLAS COUNTY, WV									
71. --ROYALTY INTEREST #10, RANDOLPH COUNTY, WV									
72. --ROYALTY INTEREST #11, RANDOLPH COUNTY, WV									
73. --ROYALTY INTEREST #12, RANDOLPH COUNTY, WV									
74. --ROYALTY INTEREST #13, RANDOLPH COUNTY, WV									
75. --ROYALTY INTEREST #14, RANDOLPH COUNTY, WV									
76. --ROYALTY INTEREST #15, BRAXTON COUNTY, WV									
77. --ROYALTY INTEREST #16, BRAXTON COUNTY, WV									
78. --ROYALTY INTEREST #17, BRAXTON COUNTY, WV									
79. --ROYALTY INTEREST #18, BRAXTON COUNTY, WV									
80. --ROYALTY INTEREST #19, BRAXTON COUNTY, WV									
81. --ROYALTY INTEREST #20, BRAXTON COUNTY, WV									
82. --ROYALTY INTEREST #21, BRAXTON COUNTY, WV									
83. --ROYALTY INTEREST #22, BRAXTON COUNTY, WV									
84. --ROYALTY INTEREST #23, BRAXTON COUNTY, WV									
85. --ROYALTY INTEREST #24, NICHOLAS COUNTY, WV									

- 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
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- 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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Name of Person Reporting <b>GOODWIN, JOSEPH R.</b>	Date of Report 05/07/2012
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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)	
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)	

86. --ROYALTY INTEREST #25, NICHOLAS COUNTY, WV									
--	--	--	--	--	--	--	--	--	--

- |  |  |  |  |  |                         |
|--|--|--|--|--|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000<br>J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000<br>K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000<br>L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$50,000,000 | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000<br>M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | Q = Appraisal<br>U = Book Value  | R = Cost (Real Estate Only)<br>V = Other   | S = Assessment<br>W = Estimated  | T = Cash Market  |                         |
| 3. Value Method Codes<br>(See Column C2)         |  |  |  |  |                         |

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Name of Person Reporting <b>GOODWIN, JOSEPH R.</b>	Date of Report 05/07/2012
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**VIII. ADDITIONAL INFORMATION OR EXPLANATIONS.** *(Indicate part of report.)*

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GOODWIN, JOSEPH R.

Date of Report

05/07/2012

**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/ JOSEPH R. GOODWIN**

**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