AO 10
Rev. 1/2021

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2021

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
Bates, John D.	U.S. District Court for the District of Columbia	08/08/2022
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**
District Judge - Article III (senior)	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2021 **to** 12/31/2021
7. Chambers or Office Address		
333 Constitution Avenue NW Washington, DC 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.)*

	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.		

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.		
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.					
2.					
3.					
4.					
5.					

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.			

Name of Person Reporting	Date of Report
Bates, John D.	08/08/2022

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	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		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)
1. Account #1 (H)									
2. Morgan Stanley (cash)	A	Interest	J	T					
3. AT&T Inc (T)	B	Dividend	K	T					
4. Carrier Global Corporation (CARR)	A	Dividend	K	T					
5. Centerpoint Energy Inc (CNP)	A	Dividend	J	T					
6. Colgate Palmolive Co (CL)	B	Dividend	L	T					
7. Conagra Brands Inc (CAG)	A	Dividend	J	T					
8. Intl Business Machines Corp (IBM)	B	Dividend	K	T					
9. Medtronic PLC SHS (MDT)	B	Dividend	L	T					
10. Pepsi Inc Co (PEP)	A	Dividend	K	T					
11. Raytheon Technologies Corp (RTX)	A	Dividend	K	T					
12. Energy Sel Sect SPDR RD (XLE)	B	Dividend	K	T					
13. Invesco Dynamic Semiconductors (PSI)	A	Dividend	K	T					
14. Isares N American Tech Soft (IGV)		None	K	T					
15. Ishares Russell 2000 ETF (IWM)	A	Dividend	K	T					
16. Ishares S&P Gbl Ind ETF (EXI)	A	Dividend	K	T					
17. Ishares Transportation Ave ETF (IYT)	A	Dividend	K	T					

1 Income Gain Codes: (See Columns B1 and D4) — 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; 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

3 Value Method Codes (See Column C2) — Q =Appraisal; R =Cost (Real Estate Only); S =Assessment; T =Cash Market; U =Book Value; V =Other; W =Estimated

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Bates, John D.	08/08/2022

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	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		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. Ishares US Healthcare Prov ETF (IHF)	A	Dividend	K	T					
19. SPDR DJ Willshire Intl Real Est (RWX)	A	Dividend	K	T					
20. SPDR S&P Bank ETF (KBE)	A	Dividend	K	T					
21. Vanguard Consm Stples Et ETF (VDC)	A	Dividend	K	T					
22. Vanguard FTSE Europe ETF (VGK)	A	Dividend	K	T					
23. Vanguard Health Care ETF (VHT)	A	Dividend	K	T					
24. Vanguard Info Tech ETF (VGT)	A	Dividend	K	T					
25. Account#2 (H)									
26. Morgan Stanley (cash)	A	Interest	N	T					
27. Adobe Inc. (ADBE)		None	M	T					
28. Apple Inc. (AAPL)	B	Dividend	M	T					
29. Automatic Data Processing, Inc. (ADP)	B	Dividend	K	T					
30. BlackRock, Inc. (BLK)	B	Dividend	L	T					
31. CenterPoint Energy, Inc. (CNP)	A	Dividend	K	T					
32. Chevron Corporation (CVX)	B	Dividend	L	T					
33. Cincinnati Financial Corporation (CINF)	B	Dividend	L	T					
34. Cisco Systems, Inc. (CSCO)	B	Dividend	L	T					

1 Income Gain Codes: (See Columns B1 and D4)	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
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35. Conagra Brands, Inc. (CAG)	B	Dividend	K	T					
36. Dow Inc. (DOW)	B	Dividend	K	T					
37. Enterprise Products Partners L.P. (EPD)	C	Distribution	L	T					
38. HP Inc. (HPQ)	A	Dividend	K	T					
39. The Home Depot, Inc. (HD)	C	Dividend	M	T					
40. Illinois Tool Works Inc. (ITW)	B	Dividend	M	T					
41. Johnson & Johnson (JNJ)	B	Dividend	L	T					
42. JPMorgan Chase & Co. (JPM)	C	Dividend	M	T					
43. Marriott International, Inc. (MAR)	A	Dividend	L	T					
44. McDonald's Corporation (MCD)	B	Dividend	L	T					
45. MetLife, Inc. (MET)	B	Dividend	K	T					
46. Morgan Stanley (MS)	A	Dividend	K	T					
47. Occidental Petroleum Corporation (OXY)	A	Dividend	K	T					
48. PepsiCo, Inc. (PEP)	B	Dividend	L	T					
49. Pfizer Inc. (PFE)	C	Dividend	M	T	Buy (add'l)	02/23/21	K		
50. Principal Financial Group, Inc. (PFG)	B	Dividend	K	T					
51. The Procter & Gamble Company (PG)	B	Dividend	L	T					

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52. Verizon Communications Inc. (VZ)	B	Dividend	K	T					
53. Bank of America Corp. (BAC)	B	Dividend			Redeemed	04/26/21	L		
54. Northern Trust Corporation (NTRS)	C	Dividend	L	T					
55. ClearBridge MLP and Midstream Fund Inc (CEM)	B	Dividend	K	T					
56. First Trust MLP and Energy Income Fund (FEI)	B	Dividend	K	T					
57. iShares Russell 2000 ETF (IWM)	A	Dividend	M	T					
58. Nuveen Preferred Securities Income Fund (JPS)	C	Dividend	L	T					
59. Ford Motor Co. Bond (F.B.)	C	Interest	L	T					
60. AT&T Inc. Bond (TBC)	C	Interest	L	T					
61. Goldman Sachs (cash)	A	Interest	M	T					
62. Account #3 (H)									
63. CREF Growth R2		None	L	T					
64. CREF Equity Index R2		None	L	T					
65. Account #4 (H)									
66. American Tower REIT Com (AMT)	A	Dividend			Sold	05/26/21	K	E	
67. AT&T Inc (T)	A	Dividend			Sold	05/26/21	J	B	
68. Davita Inc (DVA)		None			Sold	05/26/21	J	D	

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69. Fiserv Inc Com (FISV)		None			Sold	05/26/21	K	E	
70. Intuit Inc (INTU)	A	Dividend			Sold	05/26/21	K	E	
71. Unitedhealth GP INC (UNH)	A	Dividend			Sold	05/26/21	K	D	
72. Invesco Dynamic Biotechnology (PBE)		None			Sold	05/26/21	J	C	
73. Ishares N American Tech Soft (IGV)		None			Sold	05/26/21	J	C	
74. Ishares US Healthcare Prov ETF (IHF)		None			Sold	05/26/21	J	E	
75. Account #5 (H)									
76. Equitable Financial Eq/Equity 500 Index		None	K	T	Distributed (part)	08/03/21	J		

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

Account #5 is an Equitable Financial Variable Annuity. Reportable underlying assets are listed in Part VII.

Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value, per page 42 of the filing instructions.

Name of Person Reporting	Date of Report
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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/ John D. Bates

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