AO 10
Rev. 3/2023

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2023

*Report Required by the Ethics in Government Act of 1978 (5 U.S.C. app. §§ 13101-13111)*

| 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 | 05/15/2024 |
| **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** |
| U.S. District Judge (Senior) | ☐ Nomination Date<br>☐ Initial ☑ Annual ☐ Final<br>**5b.** ☐ Amended Report | 01/01/2023<br>**to**<br>12/31/2023 |
| **7. Chambers or Office Address** | | |
| 333 Constitution Avenue NW<br>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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 345 Trustees, Executors, Administrators, and Custodians; § 350 Power of Attorney; § 355 Outside Positions.)*

☑ NONE *(No reportable positions.)*

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

## II. AGREEMENTS. *(Reporting individual only; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 340 Agreements and Arrangements.)*

☑ NONE *(No reportable agreements.)*

| | DATE | PARTIES AND TERMS |
|---|---|---|
| 1. | | |
| 2. | | |
| 3. | | |

## III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 320 Income; § 360 Spouses and Dependent Children.)*

### 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 |
|---|---|---|
| 1. | | |
| 2. | | |
| 3. | | |
| 4. | | |

## IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.*

*(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*

☑ 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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable gifts.)*

| | SOURCE | DESCRIPTION | VALUE |
|---|---|---|---|
| 1. | | | |
| 2. | | | |
| 3. | | | |
| 4. | | | |
| 5. | | | |

## VI. LIABILITIES. *(Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 335 Liabilities; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable liabilities.)*

| | CREDITOR | DESCRIPTION | VALUE CODE |
|---|---|---|---|
| 1. | | | |
| 2. | | | |
| 3. | | | |
| 4. | | | |
| 5. | | | |

| Name of Person Reporting | Date of Report |
|---|---|
| **Bates, John D.** | 05/15/2024 |

## VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ 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) | |
|---|---|---|---|---|---|---|---|---|---|
| 1. Account #1 (H) | | | | | | | | | |
| 2. Morgan Stanley (cash) (Y) | | | | | | | | | |
| 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 | Buy (add'l) | 03/13/23 | J | | |
| 6. Colgate Palmolive Co (CL) | B | Dividend | K | T | Sold (part) | 03/13/23 | J | D | |
| 7. Conagra Brands Inc (CAG) | A | Dividend | J | T | | | | | |
| 8. Intl Business Machines Corp (IBM) | B | Dividend | K | T | | | | | |
| 9. Medtronic PLC SHS (MDT) | A | Dividend | K | T | | | | | |
| 10. Pepsico Inc (PEP) | A | Dividend | K | T | | | | | |
| 11. RTX Corporation (RTX) | A | Dividend | K | T | | | | | |
| 12. Invesco Dynamic Semiconductors (PSI) | A | Dividend | K | T | | | | | |
| 13. Ishares N American Tech Soft (IGV) | A | Dividend | K | T | | | | | |
| 14. Ishares Russell 2000 ETF (IWM) | A | Dividend | K | T | | | | | |
| 15. Ishares S&P Gbl Ind ETF (EXI) | A | Dividend | K | T | | | | | |
| 16. Ishares Transportation Ave ETF (IYT) | A | Dividend | K | T | | | | | |
| 17. Ishares US Healthcare Prov ETF (IHF) | 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

| Name of Person Reporting | Date of Report |
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☐ 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) | |
|---|---|---|---|---|---|---|---|---|---|
| 18. SPDR S&P Bank ETF (KBE) | A | Dividend | K | T | Buy (add'l) | 03/13/23 | J | | |
| 19. Vanguard Consm Stples Et ETF (VDC) | A | Dividend | K | T | | | | | |
| 20. Vanguard FTSE Europe ETF (VGK) | A | Dividend | K | T | Buy (add'l) | 03/13/23 | J | | |
| 21. Vanguard Health Care ETF (VHT) | A | Dividend | K | T | | | | | |
| 22. Vanguard Info Tech ETF (VGT) | A | Dividend | K | T | | | | | |
| 23. Invesco Prem US Govt Mny Inst (IUGXX) (cash eq.) | A | Dividend | K | T | Buy | 02/09/23 | K | | |
| 24. | | | | | Buy (add'l) | 12/29/23 | J | | |
| 25. Account #2 (H) | | | | | | | | | |
| 26. Morgan Stanley (cash) (Y) | | | | | | | | | |
| 27. Adobe Inc. (ADBE) | | None | M | T | | | | | |
| 28. Apple Inc. (AAPL) | B | Dividend | M | T | | | | | |
| 29. Automatic Data Processing, Inc. (ADP) | B | Dividend | L | T | | | | | |
| 30. BlackRock, Inc. (BLK) | B | Dividend | L | T | | | | | |
| 31. CenterPoint Energy, Inc. (CNP) | A | Dividend | K | T | | | | | |
| 32. Chevron Corporation (CVX) | C | Dividend | L | T | | | | | |
| 33. Cincinnati Financial Corporation (CINF) | B | Dividend | L | T | | | | | |
| 34. Cisco Systems, Inc. (CSCO) | B | Dividend | L | T | | | | | |

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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. Hewlett Packard Enterprise (HPE) | 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) | B | Dividend | M | T | | | | | |
| 43. Marriott International, Inc. (MAR) | A | Dividend | L | T | | | | | |
| 44. McDonalds 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 | L | T | | | | | |
| 48. PepsiCo, Inc. (PEP) | B | Dividend | L | T | | | | | |
| 49. Pfizer Inc. (PFE) | C | Dividend | L | T | | | | | |
| 50. Principal Financial Group, Inc. (PFG) | B | Dividend | L | T | | | | | |
| 51. The Procter & Gamble Company (PG) | B | Dividend | L | T | | | | | |

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|---|---|---|---|---|---|---|---|---|---|
| 52. Verizon Communications Inc. (VZ) | C | Dividend | K | T | | | | | |
| 53. Northern Trust Corporation (NTRS) | C | Dividend | L | T | | | | | |
| 54. ClearBridge MLP and Midstream Fund Inc (CEM) | B | Dividend | K | T | | | | | |
| 55. First Trust MLP and Energy Income Fund (FEI) | B | Dividend | K | T | | | | | |
| 56. iShares Russell 2000 ETF (IWM) | B | Dividend | L | T | | | | | |
| 57. Nuveen Preferred Securities Income Fund (JPS) | D | Dividend | L | T | Buy (add'l) | 03/17/23 | J | | |
| 58. Ford Motor Co. Bond (F.B.) | C | Interest | L | T | | | | | |
| 59. AT&T Inc. Bond (TBC) | C | Interest | L | T | | | | | |
| 60. Invesco Prem US Govt Mny Inst (GOVXX) (cash eq.) | D | Dividend | M | T | Buy | 02/10/23 | M | | |
| 61. | | | | | Buy (add'l) | 12/28/23 | K | | |
| 62. Federated Hermes Govt Obl AVR (IUGXX) (cash eq.) | D | Dividend | M | T | Buy | 02/10/23 | M | | |
| 63. | | | | | Buy (add'l) | 12/28/23 | K | | |
| 64. Account #3 (H) | | | | | | | | | |
| 65. CREF Growth R2 | | None | L | T | | | | | |
| 66. CREF Equity Index R2 | | None | L | T | | | | | |
| 67. Account #4 (H) | | | | | | | | | |
| 68. Equitable Financial Eq/Equity 500 Index | | None | K | T | | | | | |

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

Account #4 is an Equitable Financial Variable Annuity. The reportable underlying asset is 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.

| Name of Person Reporting | Date of Report |
|---|---|
| **Bates, John D.** | 05/15/2024 |

## 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. § 13141 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. § 13106)**

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite G-330
One Columbus Circle, N.E.
Washington, D.C. 20544