AO 10
Rev. 1/2022

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
Rothstein, Barbara J.	US Courts	03/14/2023
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 Judge (Senior)	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☑ Amended Report	01/01/2021 **to** 12/31/2021
7. Chambers or Office Address		
United States Courthouse 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 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.	Co-Trustee	Trust #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.	2021	GW Medical Faculty Associates, Wages
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.	Wells Fargo Bank	Mortgage on Rental #2, Strasburg, VA (Part VII, Line 7)	L
2.	Wells Fargo Bank	Mortgage on Rental #3, Strasburg, VA (Part VII, Line 8)	L
3.	City National Bank	Mortgage on [redacted] Property, Strasburg, VA (Part VII, Line 35)	M
4.			
5.			

Name of Person Reporting	Date of Report
Rothstein, Barbara J.	03/14/2023

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		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)	
1.	Capital One Bank	A	Interest	K	T					
2.	NA Properties LTD Partnership	A	Interest	J	U					
3.	New Horizon Capital III, LP	D	Int./Div.	K	U					
4.	PNH Seaboard Station, LLC	A	Interest	L	U					
5.	RWP, LLC	C	Int./Div.	J	U					
6.	Wilderness Explorer, LLC	B	Interest	L	U					
7.	Rental House, Strasburg, VA (2009) $135,000)	C	Rent	M	R					
8.	Rental House, Strasburg, VA (2012) $150,000)	B	Rent	M	R					
9.	America Movil ADS	C	Dividend	M	T					
10.	XCel Energy	A	Dividend	K	T					
11.	PPL Corp	A	Dividend	J	T					
12.	Costco Wholesale Corp Common	D	Dividend	N	T					
13.	Western Asset HI Inc	B	Dividend	K	T					
14.	Nuveen Quality Pfd Income Fd	A	Interest	J	T					
15.	Home Depot Common	D	Dividend	N	T					
16.	General Electric Common	A	Dividend	K	T					
17.	CHS Cooperative	B	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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☐ NONE *(No reportable income, assets, or transactions.)*

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18. CMS Energy	A	Dividend	J	T					
19. Prothena Corp		None	J	T					
20. Pioneer Floating Rate Trust (PHD)	A	Dividend	J	T					
21. Eaton Vance Enhanced Equity Income Fund	A	Dividend	K	T					
22. RMR RE Fund	A	Dividend	J	T					
23. Eaton Vance Greater China Fund Cl A	D	Dividend	L	T					
24. Nordstrom Inc	A	Dividend	K	T					
25. Blue Apron Holdings		None	J	T					
26. Argan	C	Dividend			Sold	09/03/21	K	B	
27. Applied Materials	B	Dividend			Sold	09/03/21	N	G	
28. Regeneron Pharmaceuticals, Inc		None	N	T					
29. Dell Technologies	A	Dividend	J	T					
30. Wetinghouse Air Brake Technologies	A	Dividend	J	T					
31. America Funds New Worls	C	Dividend	L	T					
32. Virtus David	B	Dividend	K	T					
33. D A Davidson		None	K	T					
34. Lord Fairfax Equestrian Center, LLC		None	N	W					

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35. Commercial Rental, Strasburg, VA (2021) $115,000)	D	Rent	M	R	Buy	03/07/21	M		
36. Verizon Communications	C	Dividend	L	T	Buy	07/07/21	L		
37. Verizon Communications	A	Dividend			Buy (add'l)	09/03/21	L		
38.					Sold	09/01/21	L		
39. Upstart Holdings, Inc		None	M	T	Buy	06/21/21	M		
40. Nuveen Core Plus Impact Fund	A	Dividend	K	T	Buy	04/28/21	K		
41. Twilio, Inc		None			Buy	09/01/21	N		
42.					Sold	09/21/21	N		
43. Apple, Inc	C	Dividend	N	T	Buy	07/29/21	N		
44. Wharf Du Jour, LLC		None	M	T	Buy	11/03/21	M		
45.									
46.									
47.									
48.									
49.									
50.									
51.									

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52.									
53.									

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

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/ Barbara J. Rothstein

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
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Washington, D.C. 20544