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
Barron, David J.	United States Court of Appeals for the First Circuit	08/12/2022
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**
United States Circuit Judge, Active	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2021 **to** 12/31/2021
7. Chambers or Office Address		
John J. Moakley United States Courthouse 1 Courthouse Way, Suite 7710 Boston, MA 02210		

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.	Visiting Professor	[redacted] Law School
2.	Member	American Society of International Law (ASIL) Judicial Adivsory Board
3.	Member	[redacted] College Visiting Committee
4.	Member	American Academy of Arts and Sciences
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. 2021	[redacted] University - teaching income	$29,595.00
2. 2021	LEG, Inc. dba West Academic - book royalties	$8,827.00
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	[redacted] University - salary
2. 2021	Juliette Kayyem Solutions, LLC - consulting fees
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.	[redacted] University	Tuition assistance	M
2.			
3.			
4.			
5.			

Name of Person Reporting	Date of Report
Barron, David J.	08/12/2022

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.	Calamos Convertible (CICVX) (X)	B	Dividend	K	T					
2.	Energy Select Sector SPDR ETF (XLE) (X)	A	Dividend	K	T					
3.	Fidelity Massachusetts Municipal Money Market Fund	A	Dividend	J	T					
4.	Fidelity Select Biotechnology Portfolio	E	Dividend	N	T					
5.	Fidelity Government Money Market Fund		None	J	T					
6.	Fidelity Select Banking Portfolio	A	Dividend	J	T					
7.	Fidelity Municipal Money Market Fund		None	J	T					
8.	Fidelity 500 Index Fund (X)		None	J	T					
9.	Fidelity Cash Account		None	J	T					
10.	Financial Select Sector SPDR ETF (XLF) (X)		None	J	T					
11.	Industrial Select Sector SPDR ETF (XLI) (X)		None	K	T					
12.	Invesco Equal Weight S&P 500 ETF (RSP) (X)	A	Dividend	L	T					
13.	Invesco QQQ Trust ETF (QQQ) (X)	A	Dividend	K	T					
14.	iShares Core S&P Mid-Cap ETF (IJH) (X)	A	Dividend	K	T					
15.	iShares Core S&P Small-Cap ETF (IJR) (X)	A	Dividend	K	T					
16.	iShares Russell 1000 Value ETF (IWD) (X)	A	Dividend	K	T					
17.	Kraneshares TR QUADR ATIC INT RATE VOLAT& INFLATHED (IVOL) (X)		None			Buy	07/21/21	J		

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
Barron, David J.	08/12/2022

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		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)	
18.						Sold	09/28/21	J		N/A
19.	TIAA Traditional Annuity	A	Interest	K	T					
20.	TIAA CREF Inflation-Linked Bond Fund	B	Dividend	K	T					
21.	TIAA CREF Stock Fund	F	Dividend	N	T					
22.	Vamguard S&P 500 ETF (VOO) (X)	A	Dividend	L	T					
23.	Vanguard Federal Money Market Fund	B	Dividend	K	T					
24.	Vanguard Inst Target Ret 2030 Institutional	F	Dividend	O	T					
25.	Vanguard Total Bond Mkt Inst Index Fund	A	Dividend	J	T					
26.	Vanguard Total Bond Mkt Inst Index Fund Plus	A	Dividend	L	T					
27.	Vanguard Target Retire 2035 Trust II Fund	C	Dividend	K	T					
28.	Vanguard Tot Intl Stock 1x Inst Fund	B	Dividend	K	T					
29.	Vanguard Inst Index Fund Inst Plus	B	Dividend	K	T					
30.	Vanguard Extended Mkt Index Inst Fund	B	Dividend	J	T					
31.	Vanguard Target Retirement 2040 Fund	E	Dividend	M	T					
32.	Vanguard Inst Target Ret 2035 Fund	F	Dividend	N	T					
33.	WCM Focused Growth International (WCMIX) (X)	C	Distribution	L	T					
34.	Juliette Kayyem Solutions LLC Individual 401(K) (H)									

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
Barron, David J.	08/12/2022

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)	
35. - Vanguard Target Retirement 2040 Fund (VFORX)	E	Dividend	N	T					
36. The Girls, LLC (H)									
37. - AMGEN INC (AMGN) common stock	C	Dividend	L	T					
38. - APPLE INC. (AAPL) common stock	B	Dividend	M	T					
39. - BANK OF AMERICA CORP. (BAC) common stock	B	Dividend	M	T					
40. -CARRIER GLOBAL CORP (CARR) common stock	A	Dividend	J	T					
41. -EXPEDITORS INTL WASH INC (EXPD) common stock	B	Dividend	M	T					
42. -JPMORGAN CHASE & CO (JPM) common stock	B	Dividend	L	T					
43. -ISHARES NASDAQ BIOTECH ETF (IBB)	A	Dividend			Merged (with line 44)	06/01/21	L		
44. -ISHARES BIOTECH ETF (IBB)	A	Dividend	L	T					
45. -ISHARES SELECT DIVIDEND ETF (DVY)	B	Dividend	L	T					
46. -OTIS WORLDWIDE CORP (OTIS) common stock	A	Dividend	J	T					
47. -RAYTHEON TECHNOLOGIES CORP (Formerly UNITED TECHNOLOGIES)	A	Dividend	K	T					
48. -MORGAN STANLEY PRIVATE BANK CASH ACCOUNT	A	Interest	L	T					
49. -ZEMCAR INC dba Grip Mobility common stock		None	K	U					
50. Juliette Kayyem Solutions, LLC - See explanation in Part VIII		None	N	T					
51. U.S. Government Securities - Series EE Bonds	A	Interest	J	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
Barron, David J.	08/12/2022

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)	
52. FOK Holdings LLC (H) - See explanation in Part VIII									
53. - Rental Property, Hellertown, PA (value) See explanation in Part VIII	G	Rent	P1	V					
54. - Rental Property, Lebanon, PA (value) - See explanation in Part VIII	G	Rent	P1	V					
55. - Rental Property, Punxutawney, PA (value) - See expl. in Part VIII	G	Rent	P1	V					
56. [redacted] Irrevocable Trust (H)									
57. -INHBRX Inc. common stock - See explanation in Part VIII		None	N	T					
58. ARMORED THINGS Inc. common stock		None	J	U					
59. EVOLV TECHNOLOGIES, INC. (X)		None	K	T					
60. INHIBRX Inc. common stock	H1	Distribution	P2	U	Sold (part)	07/01/21	O	G	
61.					Sold (part)	09/15/21	N	G	
62.					Sold (part)	11/15/21	N	G	
63. ZEMCAR INC dba Grip Mobility common stock		None	P1	U					
64. Bank of America, cash accounts	A	Interest	L	T					
65. Jefferies LLC, cash account (X)	A	Interest	M	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
Barron, David J.	08/12/2022

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

Part VII:

Line 50: In accord with the advice of the Financial Disclosure Office, no income is reported for Juliette Kayyem Solutions LLC in column B, given the nature of its holdings. The total value of assets of the LLC is reflected by the valuation in Column C.

Line 52: On advice of the Financial Disclosure Office, the liabilities of this entity are not listed in Part VI in light of the nature of the reportable interest of the LLC being a future interest.

Lines 53-55: Fair market value of the real estate properties was determined by comparable sales prices in each area.

Line 57: This line has been added because the name of the fund was inadvertently left off the 2020 report.

Name of Person Reporting	Date of Report
Barron, David J.	08/12/2022

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/ David J. Barron

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 G-330
One Columbus Circle, N.E.
Washington, D.C. 20544