

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

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) Berrigan, Helen G.	2. Court or Organization Eastern District of Louisiana	3. Date of Report 06/20/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Article III Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2012 to 12/31/2012
7. Chambers or Office Address 500 Poydras Street, Room C-556 United States District Courthouse New Orleans, LA 70130		
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.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Member	Board of George & Jean Pugh Foundation: LSU Law School
2.	Member	LSU Board of Trustees
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. 2012	LSU Law School ; Teaching	\$1,500.00
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.	
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.)*

<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.)

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)
1. Citigroup-Common Stock	A	Dividend	J	T					
2. IBM - Common Stock	C	Dividend	M	T					
3. Tri-Continental Corp. Mutual Fund	A	Dividend	K	T					
4. Legg-Mason Partners Fund	A	Dividend	J	T					
5. T. Rowe Price Growth Stock Mutual Fund	A	Dividend	L	T					
6. Dreyfous Growth & Income Mutual Fund	A	Dividend	K	T					
7. Dreyfous Research Growth Fund - Class Z	A	Dividend	J	T					
8. Dreyfous New Leaders Fund - Class A	A	Dividend	L	T					
9. Liberty Financial Services N.O., LA Common Stock	C	Dividend	M	T					
10. Rental Property #1 New Orleans, LA (See VIII for date)	D	Rent	N	Q					
11. Exxon Corp. Common Stock	C	Dividend	M	T					
12. General Electric Common Stock	A	Dividend	K	T					
13. ONE OAK Common Stock	B	Dividend	L	T					
14. Westar Energy, Inc. - Common Stock	A	Dividend	J	T					
15. Fidelity Advison - High Yield Portfolio Class T	B	Dividend	K	T					
16. Van Kampen - Senio Loan Fund FDCL 1B	A	Dividend	K	T					
17. Command Money Fund (Wachovia Securites)	A	Interest	K	T					

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

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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		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)

18. Centinela Valley CA UN	A	Interest	K	T					
19. Harris County, TX Cultured	A	Interest	L	T					
20. International Paper Co. -- Common Stock	A	Dividend	J	T					
21. Bank of America Corp. -- Common Stock	A	Dividend	J	T					
22. Johnson & Johnson -- Common Stock	A	Dividend	K	T					
23. AT & T Common Stock	A	Dividend	J	T					
24. Coca Cola Common Stock	A	Dividend	J	T					
25. Dupont E.I. De Nemours -- Common Stock	A	Dividend	J	T					
26. Fifth Third Bankcorp -- Common Stock	A	Dividend	J	T					
27. Washington Mutual Inc. -- Common Stock	A	Dividend	J	T					
28. Capital Income Builder -- Class A	A	Dividend	K	T					
29. [REDACTED] Inc. PLC PS Plan	E	Int./Div.	N	T					
30. - AT&T, Inc. Common Stock	B	Dividend			Redeemed	02/15/12	J	A	
31. - Chevron Corp.	B	Dividend	K	T					
32. - Cleco Corp.	A	Dividend	K	T					
33. - Consolidated Edison, Inc	B	Dividend	K	T					
34. - Dominion Resources, Inc. VA New	A	Dividend	J	T					

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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35. - Fairpoint Communications	A	Dividend	J	T					
36. - Frontier Communications	A	Dividend	J	T					
37. - Kinder Morgan Energy Partners	B	Dividend	K	T					
38. - Penn Real Estate Investment Trust SBI	A	Dividend	J	T					
39. -Tanger Factory Outlet	A	Dividend	K	T					
40. - The Southern Company	A	Dividend	J	T					
41. - Verizon Communications	A	Dividend	J	T					
42. - Fidelity Advisor Series II High Yield	A	Dividend	K	T					
43. - Dryden High Yield LD, Inc. Class A	A	Dividend	J	T					
44. - Pioneer High Yield LD Class A	A	Dividend	J	T					
45. - Van Kampem Senior Loan Fund FD Class 1B	A	Dividend	J	T					
46. - Alliance Bernstein, Inc. FND	B	Dividend	K	T					
47. - American Strategic Income Portfolio, Inc.	B	Dividend	K	T					
48. - DWS Free Real Estate FD 11 SRO	A	Dividend	J	T					
49. - ING Primerate TR DPR	A	Dividend	J	T					
50. - Pimco High Income FD	A	Dividend	J	T					
51. - AES TR III 6.75% PFD Conv. due 10/15/2029	A	Dividend	J	T					

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52. Georgia Power Senior Note 7/15/2047 *** (See Section VIII)	A	Dividend	J	T					
53. - Metlife 5.875% Senior Notes due 11/21/2033	B	Dividend	K	T					
54. - Smon PPTY Group, Inc., PFD 6.00%	A	Dividend	J	T					
55. Alabama Power	A	Dividend	P2	T					
56. BAC Cap Trust	E	Dividend	K	T	Buy (add'l)	07/25/12	J		
57. Entergy LA Bond	B	Dividend	J	T	Buy	01/16/12	J		
58. H.J. Heinz Co.	B	Dividend	J	T	Buy	04/24/12	J		
59. Intel Corp.	B	Dividend	J	T	Buy	03/07/12	J		
60. Kimberly Clark Corp.	A	Dividend	J	T	Buy	05/29/12	J		
61. Pfizer, Inc.	B	Dividend	J	T	Buy	03/07/12	J		
62. Thornburg Investment Trust	B	Dividend	K	T	Buy	03/27/12	J		
63. I Shares I Box Inv. Grade	A	Dividend	J	T	Buy	7/16/12	J		
64. Entergy LA. Bond	A	Dividend	K	T	Buy	5/12/12	J		
65. Verizon Communications	A	Dividend	J	T	Buy	8/9/12	J		
66. SPDR Barclay ETE	E	Dividend	J	T	Buy	08/06/12	J		
67. Nuveen Energy	E	Dividend	K	T	Buy	08/09/12	J		
68. Goldman Sachs 6.5% PFD	D	Dividend	J	T	Buy	3/1/2012	J		

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69. Enterprise Products	A	Dividend	J	T	Buy	9/12/12	J		
70. Prudential Yield Fund	B	Dividend	J	T	Buy	04/10/12	J		
71. Nationwide Life Insurance	A	Dividend	J	T	Buy	11/21/12	J		

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

Line 10 --- Rental Property (House) located in the City of New Orleans (Orleans Parish), State of Louisiana and was appraised in 08/21/1985 -- \$250, 000.

ANSWERS TO AUDIT FINDING in the 2012 Financial Disclosure Report:

PART VII Line numbers in this section reflect changes made in response to the Judicial Committee's correspondence itemizing the 2012 audit findings.

Page 7, line 52 --- Georgia Power Senior Note 7/15/2047 was inadvertently excluded from my 2012. It has been added to the amended report.

Page 5, Line 32 --- BP PLC ADR was listed in error, as it was sold in 6/10/11.

Page 5 & 6, Lines 21 & 51 -- Both ING Golden Select Guarantee Annuity and MFS Charter Income Trust were included in this report in error. Both investments were redeemed on 12/06/11.

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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/ **Helen G. Berrigan**

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