

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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) CAUTHRON, ROBIN J.	2. Court or Organization WESTERN DISTRICT OF OKLAHOMA	3. Date of Report 9/10/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U. S. DISTRICT JUDGE (ACTIVE)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address 4001 U.S. COURTHOUSE 200 N.W. 4TH STREET OKLAHOMA CITY, OK 73102		
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. Board of Directors	Oklahoma Special Olympics
2.	
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.)*

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. 2013

Self-employed lawyer

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.

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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. Allegiance Credit Union Oklahoma City, OK	A	Interest	K	T					
2. Legg Mason Partners: Appreciation Fund (mutual fund)	A	Dividend	J	T					
3. John Powell, Ltd. Partnership Tulsa County, OK real est.		None	K	R					See VIII, Explanations
4. Winston Oil Co. 1981-1982 Ltd. Partnership, Marion, OH		None	J	W					
5. Dage Oil Co., Ltd. Partnership Oklahoma City, OK		None	J	W					
6. Mineral interest in Woods County, OK	A	Royalty	J	W					
7. Persuasive Strategies, LLC	A	Interest	K	T					
8. BROKERAGE ACCOUNT #1									
9. -American Fund: American Balanced Fund C (mutual fund)	A	Dividend	J	T					
10. -American Fund: Capital Income Builder Fund (mutual fund)	A	Dividend	J	T					
11. -Amer. Fund: Capital World Growth & Income Fund C (mut fund)	A	Dividend	J	T					
12. -Income Fund of America C (mutual fund)	A	Dividend	J	T					
13. -Chesapeake Energy Corp (common stock)	A	Dividend	J	T					
14. -Superior Energy Services, Inc. (common stock)	A	Dividend	J	T					
15. -Janus Forty Fund	A	Dividend	J	T					
16. -Mainstay Lg Cap Growth Fund	A	Dividend	J	T					
17. -Blackrock Eq Dividend Fd	A	Dividend	J	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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18. -Seligman Lg Cap Value Fd	A	Dividend	J	T					
19. -Alger Small Cap Growth Fd	A	Dividend	J	T					
20. -TCW Small Cap Growth Fd	A	Dividend	J	T					
21. -Perkins Small Cap Value	A	Dividend	J	T					
22. -Royce Premier Fund	A	Dividend	J	T					
23. -AIM Developing Mkts Fd	A	Dividend	J	T					
24. -Lazard Emerging Markets	A	Dividend	J	T					
25. -Henderson Int'l Opp Fund	A	Dividend	J	T					
26. -Nuveen Trwds Int'l Val Fd	A	Dividend	J	T					
27. -Thornburg Int'l Value Fd	A	Dividend	J	T					
28. New York Life Ins. (whole life)	A	Interest	K	T					
29. IRA ACCOUNT #1									
30. -Continental Resources Inc. (common stock)	A	Dividend	K	T					
31. -Microsoft (common)	A	Dividend	K	T					
32. -Google		None	J	T	Buy	12/11/13	J		
33. -Devon	A	Dividend	L	T					
34. Stock Exchange Bank, Woodward, OK	A	Interest	K	T					

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35. BROKERAGE ACCT #2									
36. -Berkshire Hathaway A		None	M	T					See VIII, Explanations
37. -Langston University bonds	B	Interest	K	T	Matured (part)	05/00/13	K	B	
38. -Sandridge Energy Co. (common)					Sold	08/07/13	J	A	
39. - Microsoft (common)	A	Dividend	J	T					
40. -Walmart (common)	A	Dividend	J	T					
41. SEP IRA Account #2									
42. - Insured Deposit money market fund (Wells Nelson & Associates, PLLC)	A	Interest	J	T					
43. -ATT	A	Dividend	K	T	Buy	08/14/13	K		
44. -Altria Group	A	Dividend	K	T	Buy	08/14/13	K		
45. -Invensense		None	K	T	Buy	12/30/13	K		
46. -Potash Corp. of Saskatchewan	A	Dividend	J	T	Buy	12/24/13	J		

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

PART VII. Investments and Trusts

Line 3 - John Powell Limited Partnership was purchased in 1973 for \$26,000.

Line 36 - I have erroneously reported dividend income on this stock in previous years. There is no dividend or other income.

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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/ ROBIN J. CAUTHRON**

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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