

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) Rau, Steven E.	2. Court or Organization US District Court - District Court of Minnesota	3. Date of Report 04/16/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge - full-time	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 316 North Robert St Suite 334 St. Paul, MN 55101		
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
2.		
3.		
4.		
5.		

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.	
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 13

Name of Person Reporting

Rau, Steven E.

Date of Report

04/16/2014

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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE AND TYPE

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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. _____

2. _____

3. _____

4. _____

5. _____

FINANCIAL DISCLOSURE REPORT

Page 3 of 13

Name of Person Reporting

Rau, Steven E.

Date of Report

04/16/2014

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

1.

2.

3.

4.

5.

FINANCIAL DISCLOSURE REPORT

Page 4 of 13

Name of Person Reporting

Rau, Steven E.

Date of Report

04/16/2014

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. UGMA - [REDACTED]									
2. AT&T Inc	A	Dividend	J	T					
3. Apple, Inc.	A	Dividend	J	T					
4. Eagle Capital Appreciation Class C		None	J	T					
5.									
6. UGMA-Edward									
7. Alliance Bernstein Core Opportunities Fund Class C ADGCX		None	J	T					
8. Eagle Capital Appreciation Class C		None	J	T					
9.									
10. IRA - Steve									
11. Berkshire Hathaway					Sold	10/3/13	K	D	
12. Bristol Myers Squibb	A	Dividend	J	T					
13. Celgene Corp		None			Sold	10/3/13	J	D	
14. Coach	A	Dividend			Buy	4/26/13	J		
15. Coach		None			Sold	10/3/13	J	A	
16. Coca-Cola Company	A	Dividend			Buy	04/26/13	J		
17. Coca-Cola Company		None			Sold	10/3/13	J	A	

1. Income Gain Codes:	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
(See Columns B1 and D4)	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	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	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	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
(See Column C2)	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
	U = Book Value	V = Other	W = Estimated		

FINANCIAL DISCLOSURE REPORT

Page 5 of 13

Name of Person Reporting

Rau, Steven E.

Date of Report

04/16/2014

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 I (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. Health Care Reit, Inc. HCN		None			Sold	10/3/13	J	A	
19. Ishares S&P Midcap-IJK		None			Sold	10/3/13	J	A	
20. Ishares Tr-Russell-IWM		None			Sold (part)	9/26/13	J	B	
21. Ishares Tr-Russell-IWM		None			Sold	10/3/13	J	B	
22. Ishares S&P Global Tech Sector - IXN	A	Dividend			Buy	5/23/13	K		
23. Ishares S&P Global Tech Sector - IXN		None			Sold	10/3/13	K	A	
24. Kinder Morgan Mgmt LLC-KMR		None			Sold	10/3/13	J	A	
25. Mainstay High Yield Fund-MHUIX		None			Sold	10/3/13	J	A	
26. Nustar GP Holdings LLC		None			Sold	10/3/13	J	A	
27. Oppenheimer Dev Markets Class Y- ODVYX	A	Dividend			Buy (add'l)	6/13/13	J		
28. Oppenheimer Dev Markets Class Y- ODVYX		None			Sold	10/3/13	K	E	
29. Penn West Petroleum LTD		None			Sold	6/12/13	J	A	
30. Plum Creek Timber Co Inc	A	Dividend			Sold (part)	4/26/13	J	A	
31. Plum Creek Timber Co Inc		None			Sold	10/3/13	J	A	
32. Powershares DB ETF Commodity Index Tracking Fund		None			Sold	4/26/13	J	A	
33. Templeton Funds Income Tr Glb Bd Advisor		None			Sold	10/3/13	J	A	
34. Wells Fargo Fund Tr Short Term High Yield	A	Dividend			Sold (part)	4/26/13	J	A	

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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 13

Name of Person Reporting

Rau, Steven E.

Date of Report

04/16/2014

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)

35. Wells Fargo Fund Tr Short Term High Yield		None			Sold	10/3/13	M	A	
36.									
37. Meuers - IRA									
38. Abbott Laboratories		None			Sold	4/26/13	J	C	
39. Abbvie (spinoff from Abbott)	A	Dividend	J	T					
40. Amgen Inc.	A	Dividend	J	T					
41. AT&T Inc.	A	Dividend	J	T					
42. Berkshire Hathaway	B	None	J	T	Buy	6/13/13	J		
43. Bristol Meyers Squibb	A	Dividend	K	T					
44. Celgene Corp		None	K	T					
45. Chevron Corporation	A	Dividend	J	T	Buy (add'l)	6/13/13	J		
46. Coach	A	Dividend	J	T	Buy	4/26/13	J		
47. Coca-Cola	A	Dividend	J	T	Buy	4/26/13	J		
48. Danaher Corp	A	Dividend	J	T					
49. Morgan Stanley - MSD	A	Dividend	K	T					
50. Morgan Stanley Emg Mkt debt -EDD	B	Int./Div.	J	T	Buy	6/13/13	J		
51. Exxon Mobil Corp	A	Dividend	K	T	Buy (add'l)	4/26/13	J		

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 \$5,000,000	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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 13

Name of Person Reporting

Rau, Steven E.

Date of Report

04/16/2014

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)

52. General Electric Company	A	Dividend	J	T					
53. Heinz HJ Co Common - went private	A	Dividend			Redeemed	4/26/13	K	D	
54. Intel Corp	A	Dividend	J	T					
55. International Business Machine Corp	A	Dividend	J	T					
56. Ishares Tr MSCI ETF	A	Dividend	K	T					
57. Ishares Global Tech - IXN	A	Dividend	J	T	Buy	6/13/13	J		
58. Johnson & Johnson	A	Dividend	K	T					
59. Kinder Morgan	A	Dividend	K	T					
60. Eli Lilly & Co	A	Dividend	J	T					
61. Merck & Co Inc.	A	Dividend	K	T					
62. Mainstay Fd High Yield	B	Dividend	K	T					
63. Microsoft Corp	A	Dividend	J	T					
64. Novartis AG	A	Dividend	J	T	Sold (part)	4/26/13	J	A	
65. Nustar GP Holdings LLC	A	Dividend	J	T					
66. Oppenheimer Dev Markets-ODVYX	A	Dividend	K	T					
67. Penn West Petroleum LTD	A	Dividend			Sold	6/13/13	J	A	
68. Pepsico Inc.	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 \$5,000,000	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	

FINANCIAL DISCLOSURE REPORT

Page 8 of 13

Name of Person Reporting

Rau, Steven E.

Date of Report

04/16/2014

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)
69. Plum Creek Timber Co Inc	A	Dividend	J	T	Sold (part)	4/26/13	J	A	
70. Target Corp	A	Dividend	K	T	Buy	6/13/13	J		
71. Templeton Funds - TGBAX	A	Dividend	J	T					
72. 3M	A	Dividend	J	T					
73. Total S A Sponsored ADR TOT	A	Dividend	K	T	Buy (add'l)	6/13/13	J		
74. United Technologies Corp	A	Dividend	J	T					
75. Vodafone Group Plc	A	Dividend			Sold	4/26/13	J	B	
76. Wells Fargo Fds Tr-WDHYX	B	Dividend	L	T	Buy (add'l)	6/13/13	J		
77. Wells Fargo Advantage-SCVIX	A	Dividend	K	T					
78. WGL Holdings Inc-WGL	A	Dividend	J	T					
79. Zimmer Holdings Inc.	A	Dividend			Sold	4/26/13	J	A	
80. Chambers Street Properties (formerly CB Richard Ellis)	A	Int./Div.	J	T					
81. Lehman Brothers Holdings Global Nots	A	Int./Div.	J	T					
82. Merrill Lynch & Co Medium Term Notes	A	Int./Div.			Redeemed	4/25/13	J	A	
83. ING Group NV 7.375% Pfd	A	Int./Div.	J	T					
84. Wells Fargo Capital Preferred (7.875%)	B	Dividend			Redeemed	3/15/13	J		
85.									

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 \$5,000,000	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	

FINANCIAL DISCLOSURE REPORT

Page 9 of 13

Name of Person Reporting

Rau, Steven E.

Date of Report

04/16/2014

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)

86. Alliance Bernstein 529 Growth C		None	M	T					
87. Tiger Building LP Note	C	Int./Div.	K	U					
88.									
89. Meuers/Rau Joint Account									
90.									
91. Abbvie (spinoff from Abbott)	A	Dividend	K	T	Buy	4/26/13	J		
92. Abbott Laboratories -ABT	A	Dividend			Sold	4/26/13	J	A	
93. Aflac Inc-AFL	A	Dividend	J	T					
94. American Electric Power Inc-AEP	A	Dividend	J	T					
95. AT&T-Inc-T	A	Dividend	J	T					
96. Bristol Myers Squibb-BMY	A	Dividend	K	T					
97. Chevron Corporation-CVX	A	Dividend	J	T					
98. Coach	A	Distribution			Buy	4/26/13	J		
99. Coach	A	Dividend			Sold	10/3/13	J	A	
100. Coca-Cola Company	A	Dividend	J	T	Buy	4/26/13			
101. Coca-Cola Company	A	Dividend			Sold	10/3/13	J	A	
102. Exxon	A	Dividend			Buy	4/26/13	J		

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	

FINANCIAL DISCLOSURE REPORT

Page 10 of 13

Name of Person Reporting

Rau, Steven E.

Date of Report

04/16/2014

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)
103. Exxon	A	Dividend			Sold	10/3/13	J	A	
104. Health Care Reit, Inc -HCN	A	Dividend	J	T					
105. Heinz HJ Co Common-HNZ (company went private)	A	Dividend			Redeemed	4/26/13	J	C	
106. Intel Corp-INTC	A	Dividend	J	T					
107. International Business Maching Corp-IBM	A	Dividend	K	T	Buy	4/26/13	J		
108. Johnson & Johnson-JNJ	A	Dividend	K	T	Buy	4/26/13	J		
109. Kimberly Clark Corp - KMB	A	Dividend			Sold	4/26/13	K	D	
110. Merck & Co Inc -MRK	A	Dividend	K	T	Buy	4/26/13	J		
111. Novartis AG Spon ADR-NVS	A	Dividend	J	T					
112. Pepsico Inc-PEP	A	Dividend	J	T					
113. Target Corp-TGT	A	Dividend	J	T					
114. Total S.A. Spons ADR-TOT	A	Dividend			Sold	10/3/13	J	A	
115. United Techonologies Corp-UTX	A	Dividend	J	T					
116. Wells Fargo Company-WFC	A	Dividend	K	T	Sold (part)	1/30/13	K	D	
117. WGL Holdings Inc-WGL	A	Dividend	J	T					
118. Wells Fargo FDS TR-NMTFX	C	Dividend	M	T	Buy (add'l)	4/18/13	J		
119. Wells Fargo FDS TR-NMTFX	C	Dividend	M	T	Buy (add'l)	3/20/13	K		

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	

FINANCIAL DISCLOSURE REPORT

Page 11 of 13

Name of Person Reporting

Rau, Steven E.

Date of Report

04/16/2014

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)
120. Wells Fargo FDS TR)NMTFX	C	Dividend	M	T	Buy	5/22/13	K		
121. Wells Fargo FDS TR-NMTFX	C	Dividend			Sold	10/3/13	M	A	
122. Wells Fargo Money Market Fund	A	Int./Div.	O	T					
123. Wells Fargo Corp Stock	A	Dividend	K	T					
124.									

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	

FINANCIAL DISCLOSURE REPORT

Page 12 of 13

Name of Person Reporting

Rau, Steven E.

Date of Report

04/16/2014

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

The investments under the heading "██████" on the 2012 report were transferred into an account in only Magistrate Judge Rau's adult daughter's name. It is believed these do not need to be included on his report any longer.

Heinz Co. (lines 53 and 105) went private. As a result, the shares were redeemed to holders.

Abbvie (lines 39 and 91) - Abbott Laboratories spun off part of its company. For every 1 share of Abbott, investors received 1 share of Abbvie

FINANCIAL DISCLOSURE REPORT

Page 13 of 13

Name of Person Reporting

Rau, Steven E.

Date of Report

04/16/2014

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/ **Steven E. Rau**

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