

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) Haddon, Sam E.	2. Court or Organization District Court - Montana	3. Date of Report 05/14/2013
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 01/01/2012 to 12/31/2012
7. Chambers or Office Address Paul G Hatfield Courthouse 901 Front Street, Suite 3100A Helena, MT 59626		
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.	

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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	Buchanan Capital LLC for First Clearing - Pension Plan Distribution	\$167,000.00
2. 2012	Thrift Savings Plan	\$68,472.88
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. 2012	The Northern Trust Company for Providence Health System - Retirement Distribution
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.	American College of Trial Lawyers	Membership dues	\$725.00
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. American Funds: Investment Company of America	A	Dividend			Sold	02/28/12	K	B	
2. AWSHX - American Funds: Washington Mutual	C	Dividend	M	T	Sold (part)	04/30/12	L	C	
3. Wells Fargo Money Market - See VIII	A	Interest	K	T					
4. CAIBX - American Funds: Capital Income Builder	C	Dividend	K	T	Sold (part)	04/30/12	L	B	
5.					Sold (part)	06/20/12	L	B	
6.					Sold (part)	08/16/12	K	A	
7. BGR - Blackrock Energy & Resource Trust Fund - See VIII	C	Dividend	K	T	Buy (add'l)	03/13/12	K		
8. PHO	A	Dividend			Sold	03/02/12	K	C	
9. Wisdom Tree H/Y Eqty FD (DHS)	A	Dividend			Sold (part)	02/29/12	L	A	
10.					Sold	08/16/12	K	A	
11. Wisdom Tree Diefu H/Y DVD Fund	A	Dividend			Sold	04/30/12	K	A	
12. Claymore S&P Global Water ETF	A	Dividend			Sold	02/28/12	K	A	
13. BTZ - Blackrock Cr Alloc Inc Tr IV - see VIII	B	Dividend	K	T					
14. First Interstate Bank	A	Interest	N	T					
15. Flushing Bank 3.0	B	Interest			Matured	01/17/12	K		
16. County Bank 2.9	C	Interest	M	T					
17. Columbus Bank 1.5	B	Interest			Matured	11/19/12	M		

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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = \$50,001 - \$100,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$250,000.01 - \$500,000.00	K = \$15,001 - \$50,000 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	
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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	(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. AMECX - Income Fund of America (X)	C	Dividend	L	T	Buy	02/29/12	L		
19. PFXF - Preferred Securities ex-Financials (X)	B	Dividend	M	T	Buy	08/21/12	L		
20.					Buy (add'l)	12/17/12	L		
21. JPZ - Nuveen Equity Premium Income Fund (X)	C	Dividend	L	T	Buy	06/25/12	L		
22. JPC - Nuveen Preferred Income Opportunities Fund (X)	C	Dividend	L	T	Buy	03/02/12	K		
23.					Buy (add'l)	05/03/12	K		
24. HYS - Pimco 0-5 yr High Yield Corp Bond Fund (X)	A	Dividend	L	T	Buy	09/01/12	L		
25. JTP - Nuveen Quality Preferred Income Fund (X)	C	Dividend	L	T	Buy	03/02/12	K		
26.					Buy (add'l)	05/03/12	K		
27. JPS - Nuveen Quality Preferred Income Fund II (X)	A	Dividend	L	T	Buy	12/17/12	K		
28. JNK - SPDR Barclays High Yield Bond (X)	C	Dividend	L	T	Buy	03/13/12	L		
29. HYT - Blackrock Corp High Yield Fund VI (X)	C	Dividend	K	T	Buy	02/29/12	L		

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

Additional information from: Part VII. Investments and Trusts.

#3 Wells Fargo Money Market (Formerly "Wachovia Securities Money Market")

#7 BGR - Blackrock Energy & Resource Trust Fund (Formerly "Blackrock Global")

#13 BTZ - Blackrock Cr Alloc Inc Tr IV (Formerly "Blackrock Pref Eq Trust")

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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/ **Sam E. Haddon**

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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