

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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) Austin, Andrew W.	2. Court or Organization U.S. District Court - W.D. Texas	3. Date of Report 05/14/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Full-time U.S. Magistrate Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2017 to 12/31/2017
7. Chambers or Office Address United States Courthouse 501 West 5th Street Suite 4190 Austin, Texas 78701		
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. Executive Committee member	Lloyd Lochridge American Inn of Court
2. Treasurer	Violet Crown Sports Association (Cycling Team)
3. Board member	Bikeshare of Austin
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. 2017	University of Texas School of Law	\$5,001.00
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. 2017	Austin Independent School District - salary
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. State Bar of Texas	6/30/2017	Austin, TX	State Bar committee meeting	Parking
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.	UBS	Premier Variable Credit Line	None
2.	Frost Bank	Home Equity Line of Credit	None
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. MUTUAL FUNDS									
2. - American Balanced Fund	D	Dividend	N	T					
3. - Am. Funds Tax-Exempt Bond Fund of America	B	Dividend	K	T					
4. - Invesco Tax-Free Intermed. Fund Class A	A	Dividend	K	T					
5. - BBN	B	Dividend	K	T					
6. - TEPAX	A	Dividend	K	T					
7. UBS BANK USA DEPOSIT ACCT	A	Interest	K	T					
8. STOCKS:									
9. - BCSPPA	B	Dividend			Sold	03/15/17	J	A	
10. - GYB	A	Dividend	K	T					
11. - DSL	B	Dividend	J	T					
12. CORPORATE BONDS:									
13. - Genworth Fin. Bond	B	Interest	J	T					
14. IRA # 1									
15. - UBS Bk. Dep. Acct.	A	Interest	K	T					
16. - WPC	A	Dividend			Sold (part)	06/28/17	J	A	
17.					Sold	09/11/17	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 H ~\$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 ~\$250,000,001 - \$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	

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18. - EDIV	A	Dividend	J	T					
19. - IDV	A	Dividend	J	T					
20. - GE	A	Dividend	J	T					
21. - PDVYX	B	Dividend	K	T					
22. - GSZIX	A	Dividend			Sold	02/13/17	K	A	
23. - GIOIX	A	Dividend	K	T					
24. - DSL	B	Dividend	K	T					
25. - LDP	B	Dividend	K	T					
26. - F	A	Dividend	J	T					
27. - AAPL	A	Dividend			Sold	02/09/17	J	B	
28. - RDSA	A	Dividend	J	T					
29. - MFADUS	A	Dividend			Sold	11/29/17	J	A	
30. - MFCODM	A	Dividend	J	T					
31. - AGN		None			Sold	02/08/17	J	A	
32. - LUV	A	Dividend	J	T	Sold	01/23/17	J	C	
33.					Buy	07/27/17	J		
34. - VRP**	A	Dividend	J	T	Buy	12/15/16	J		

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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	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	
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35. - GYB	A	Dividend	J	T	Buy	01/17/17	J		
36. - SEMMX	A	Dividend	J	T	Buy	03/17/17	J		
37. - CPE		None			Buy	03/28/17	J		
38.					Buy (add'l)	04/19/17	J		
39.					Sold	12/22/17	J	A	
40. - JIPIX	A	Dividend	J	T	Buy	08/17/17	J		
41. - VMFIX	A	Dividend	J	T	Buy	08/17/17	J		
42. - UNTS FT SBRIENT BAKERS DZN	A	Interest	J	T	Buy	11/15/17	J		
43.					Buy (add'l)	12/08/17	J		
44. IRA # 2									
45. - Am. Funds Target Date 2045 A	A	Dividend	L	T					
46. - Am. Funds Intermed. Bond Fund of Am Class A	A	Dividend	L	T					
47. - Am. Funds Bond Fund of America Class A	B	Dividend	M	T					
48. - Am. Funds Capital World Bond Fund Class A	B	Dividend	M	T					
49. - Am. Funds Growth & Inc. Port.	C	Dividend	N	T					
50. FROST BANK MONEY MKT & CHECKING ACCOUNTS	A	Interest	K	T					
51. MUNICIPAL BONDS									

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
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52. - Central Tx Reg. Mobility Authority	A	Interest	K	T					
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

**In preparing this report, I realized that the investment in line 34 was omitted from my 2016 report. It was purchased on December 15, 2016, and (given its recent acquisition) I must have overlooked it when preparing the 2016 report. Thus, I have listed it here, and noted the out-of-reporting-period acquisition date. If I need to correct this omission in a different manner, I will be happy to do so.

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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/ Andrew W. Austin**

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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Washington, D.C. 20544