

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) Rainey, John D.	2. Court or Organization U. S. District Court, Texas	3. Date of Report 05/13/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge-Senior	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 312 S. Main Room 406 Victoria, TX 77901		
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.		
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.)*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.

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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. 1st Victoria National Bank (IRA)	A	Interest	L	T					
2. State Farm Insurance	A	Interest	L	T					
3. Wells Fargo, Victoria, TX	A	Interest	O	T					
4. Land, Edwards County, TX		None	O	W					
5. Fidelity Brokerage Services			J	T					
6. Fidelity Money Market	A	Int./Div.	J	T					
7. Fidelity Brokerages Services IRA		None	N	T					
8. -Cohen & Steers Intl. Realty Inc.					Sold	08/19/13	J	A	
9. -T. Rowe Price Cap Appreciation			L	T					
10. -Aberdeen Emerging Markets Instl. Fd.			K	T					
11. -RS Global Natural Resources			J	T					
12. -Tocqueville Gold Fund					Sold	06/28/13	J	A	
13. -Keeley Small Cap Value Class A			K	T					
14. -American Century Equity Income			J	T					
15. -Harbor International Institutional Fd			K	T					
16. -Robeco Boston Prtns LG/SH Research Instl (X)			K	T					
17. -SPDR S&P 500 EFT Trust (X)			K	T	Buy	02/07/13	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 = \$250,000.01 - \$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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	(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. -Spartan Intl. Investor Class (X)			K	T	Buy	09/30/13	K		
19. -Equinox Chesapeake Strategy Fund (X)			K	T	Buy	11/27/13	K		
20. -Blackrock Global (X)			J	T	Buy	11/27/13	J		
21. T. Rowe Price Cap Appreciation	A	Dividend	K	T					
22. Harbor International Institutional Fd	A	Dividend	K	T					
23. RS Global Resources CL A	A	Dividend	J	T					
24. Arbitrage Fund Class R		None			Sold	09/23/13	K	A	
25. IShares TR MSCI Emerging MKTS	A	Dividend	J	T					
26. Keeley Small Cap Value Class A	A	Dividend	J	T					
27. Matthews Pacific Tiger Fund	A	Dividend	K	T					
28. Twenty Express, Limited (X)	D	Distribution	J	W					
29. Highmark Geneva Small Cap Growth (X)		None			Buy	02/05/13	J		see Part VIII
30. Highmark Geneva Small Cap Growth (X)		None			Buy (add'l)	09/16/13	J		see Part VIII
31. Nationwide Geneva Small Cap Growth (X)	A	Dividend	J	T	Buy	09/16/13	J		see Part VIII
32. Mainstay Marketfield Fund Class 1 (X)	A	Dividend	K	T	Buy	09/23/13	K		
33. Lazard Explorer Total Return Instl (X)	A	Dividend	J	T	Buy	09/23/13	J		
34. Columbia Acorn International (X)	A	Dividend	J	T	Buy	11/27/13	J		

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

Part VII, Line 29 and 30 Highmark Geneva Small Cap Growth had a name change on 09/16/13 to become Nationwide Geneva Small Cap Growth shown on line 31.

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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/ **John D. Rainey**

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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