

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) Lauber, Albert G.	2. Court or Organization United States Tax Court	3. Date of Report 07/14/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Judge, United States Tax Court	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 200 Second Street, N.W. Room 306 Washington, D.C. 20217		
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. Member, Board of Trustees | The Studio Theatre, [REDACTED] Washington, D.C. 20005 (non-profit theatre) (uncompensated position) |
| 2. Adjunct Professor | Georgetown University Law Center, [REDACTED] Washington D.C. 20001 (compensated position) (advance approval received) |
| 3. | |
| 4. | |
| 5. | |

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

☐ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

- | | |
|---------|---|
| 1. 2013 | Continuing participation in section 403(b) retirement plan maintained by former employer, Georgeown University Law Center |
| 2. | |
| 3. | |

FINANCIAL DISCLOSURE REPORT

Page 2 of 12

Name of Person Reporting

Lauber, Albert G.

Date of Report

07/14/2014

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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 01-02/2013	Salary, Georgetown University Law Center	\$41,836.00
2. 02-12/2013	Salary, United States Tax Court	\$156,101.00
3. 05-31-13	Salary, Adjunct Professor, Georgetown University Law Center	\$5,000.00
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. 01-12/2013	Salary, Georgetown University Law Center
2. 01-12/2013	Salary, Center for Transnational Legal Studies, Peking University, Shenzhen, China
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.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 12

Name of Person Reporting

Lauber, Albert G.

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07/14/2014

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.	Merrill Lynch/Bank of America	Margin Loan on Stock Account	O
2.	Merrill Lynch/ Bank of America	Mortgage on Rental Prop. #1, Washington, D.C. (Pt. VII, line 1)	M
3.	Merrill Lynch/Bank of America	Line of Credit on Rental Prop. #1, Washington, D.C. (Pt. VII, line 1)	N
4.	Merrill Lynch/Bank of America	Mortgage on Rental Prop. #2, Washington, D.C. (Pt. VII, line 2)	M
5.	Merrill Lynch/Bank of America	Mortgage on Rental Prop. #3, Washington, D.C. (Pt. VII, line 3)	N
6.	Merrill Lynch/Bank of America	Mortgage on Rental Prop. #4, Washington, D.C. (Pt. VII, line 4)	N
7.			
8.			
9.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 12

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Lauber, Albert G.

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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. Rental Prop. #1, Washington, District of Columbia	F	Rent	P1	W					
2. Rental Prop. #2, Washington, District of Columbia	F	Rent	P1	W					
3. Rental Prop. #3, Washington, District of Columbia	E	Rent	O	W					
4. Rental Prop. #4, Washington, District of Columbia	E	Rent	N	W					
5. DWS Latin America Fund	A	Dividend	L	T					
6. Vanguard Emerging Markets Stock Index Fund	A	Dividend	K	T					
7. Vanguard Health Care Fund	A	Dividend	K	T					
8. Vanguard High-Yield Tax Exempt Fund	A	Dividend	K	T					
9. Vanguard Pacific Stock Index Fund	A	Dividend	K	T					
10. Vanguard Dividend Growth Fund	A	Dividend	L	T					
11. T Rowe Price High Yield Bond Fund	E	Dividend	N	T	Sold (part)	12/30/13	L	D	
12. Invesco Global Health Fund	A	Dividend	J	T					
13. Invesco Small Cap Growth Fund	A	Dividend	J	T					
14. Invesco Technology Fund	A	Dividend	J	T					
15. Invesco Utilities Fund	A	Dividend	J	T					
16. Merrill Lynch Deposit Program	A	Interest	J	T					
17. Municipal Bond, Beloit Wise School District	A	Interest	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 = \$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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 12

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18. Municipal Bond, Alabama Public School	A	Interest	J	T					
19. Municipal Bond, Woodbridge Twship NJ	A	Interest	J	T					
20. Municipal Bond, San Benito TX	A	Interest	J	T					
21. Municipal Bond, Southwestern City School Dist Ohio	A	Interest	J	T					
22. Cohen & Steers Select Infrastructure Fund	B	Dividend	K	T					
23. Eaton Vance Dividend Income Fund	C	Dividend	K	T					
24. Fidelity Limited Term Bond Fund	A	Interest	K	T					
25. Fidelity Dow Target Fund	A	Dividend	K	T					
26. Goldman Sachs Growth Fund	A	Dividend	K	T					
27. Invesco Dividend Strategy Fund	B	Dividend	K	T					
28. iShares Russell Midcap	A	Dividend	K	T					
29. MFS Global Total Return Fund	A	Dividend	K	T					
30. Neuberger Berman Large Cap Fund	A	Dividend	K	T					
31. Pimco Total Return Fund	A	Dividend	K	T					
32. Principal Global Diversified Income Fund	B	Dividend	K	T					
33. SunAmerica Focused Growth Fund	A	Dividend	K	T					
34. iShares S&P Small Cap	A	Dividend	K	T					

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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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FINANCIAL DISCLOSURE REPORT

Page 6 of 12

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35. SPDR S&P 500 Fund	A	Dividend	K	T					
36. Vanguard Consumer Fund	A	Dividend	K	T					
37. Vanguard Health Care ETF	A	Dividend	K	T					
38. Vanguard Dividend ETF	A	Dividend	K	T					
39. Vanguard Total Bond Market Fund	A	Interest	K	T					
40. Georgetown University 403(b) Plan (this is a header):									
41. - Vanguard High Yield Corporate Fund	E	Interest	P1	T					
42. - Vanguard Windsor Fund	E	Dividend	P1	T					
43. - Vanguard Wellington Fund	E	Dividend	M	T					
44. Georgetown University 403(b) Plan (this is a header):									
45. - Vanguard High Yield Corporate Fund	B	Interest	K	T					
46. - Vanguard Windsor Fund	E	Dividend	O	T					
47. - Vanguard International Growth Fund	D	Dividend	M	T					
48. - Vanguard International Value Fund	D	Dividend	M	T					
49. IRA Account (this is a header):									
50. - T Rowe Price High Yield Bond Fund	E	Interest	N	T					
51. - T Rowe Price New Asia Fund	C	Dividend	M	T					

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FINANCIAL DISCLOSURE REPORT

Page 7 of 12

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52. IRA Account (this is a header):									
53. - American AMCAP Fund	A	Dividend	J	T					
54. - American Balanced Fund	A	Dividend	K	T					
55. - American AMCAP Fund CL F1	A	Dividend	J	T					
56. - MFS International Diversification Fund	A	Dividend	J	T					
57. - MFS Value Fund	A	Dividend	J	T					
58. - PIMCO Total Return Fund	A	Dividend	J	T					
59. - Principal Global Diversified Inc Fund	A	Dividend	J	T					
60. - SunAmerica Focused Alpha Large Cap Fund	A	Dividend	J	T					
61. Merrill Lynch Brokerage Accounts (common stocks) (this is a header):									
62. - Exelon Corp.	D	Dividend	N	T	Sold (part)	01/14/13	K	A	
63. - Telefonica Peru	A	Dividend	M	T					
64. - Cisco Corp.	B	Dividend	L	T	Sold (part)	07/30/13	J	C	
65. - Bank of America Corp.	A	Dividend	K	T	Sold (part)	08/01/13	J	A	
66. - Cemex Corp.	A	Dividend	L	T					
67. - Verizon Corp.	A	Dividend	K	T					
68. - Banco Santander	D	Dividend	M	T	Sold (part)	06/14/13	K	A	

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FINANCIAL DISCLOSURE REPORT

Page 8 of 12

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69. - AT&T	A	Dividend	J	T					
70. - GE Corp.	C	Dividend	M	T	Sold (part)	08/02/13	L	D	
71. - Nokia Corp.	A	Dividend			Sold	05/09/13	K	C	
72. - New Zealand Telcom Corp.	A	Dividend	J	T					
73. - Monsanto Corp.	A	Dividend	J	T	Sold (part)	10/14/13	K	E	
74. - Alcoa Corp.	A	Dividend	L	T	Sold (part)	11/04/13	J	B	
75. - Intel Corp.	A	Dividend	K	T	Sold (part)	06/10/13	J	A	
76. - Citigroup Corp.	A	Dividend	K	T					
77. - Pfizer Corp.	A	Dividend	J	T					
78. - Caterpillar Corp.	A	Dividend	K	T					
79. - American Electric Power Corp.	B	Dividend	K	T	Sold (part)	02/27/13	J	B	
80. - Telefonica Espana	B	Dividend	L	T					
81. - Microsoft	A	Dividend	J	T	Sold (part)	04/25/13	J	B	
82. - Barclays Bank	A	Dividend	K	T	Sold (part)	06/10/13	J	D	
83. - BBVA Banco Frances	A	Dividend			Sold	03/28/13	K	B	
84. - Wells Fargo Bank	B	Dividend	K	T	Sold (part)	06/10/13	K	D	
85. - Empresas Ica Inc.					Sold	05/13/13	J	A	

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FINANCIAL DISCLOSURE REPORT

Page 9 of 12

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86. - Applied Materials Inc.	A	Dividend			Sold	07/10/13	K	C	
87. - American Express inc.	A	Dividend	K	T					
88. - Ford Motor Co.	A	Dividend	K	T	Sold (part)	07/08/13	J	B	
89. - AMR Corp.					Sold	02/27/13	J	B	
90. - JP Morgan Chase Bank	B	Dividend	K	T	Sold (part)	11/27/13	K	D	
91. - Schlumberger	A	Dividend	L	T	Sold (part)	09/26/13	K	C	
92. - Halliburton Corp.	A	Dividend			Sold	01/13/13	L	E	
93. - Baker Hughes	A	Dividend	K	T	Sold (part)	10/25/13	K	C	
94. - Southern Co.	C	Dividend	L	T	Sold (part)	10/27/13	J	A	
95. - Transocean Ltd.	B	Dividend	K	T	Sold (part)	03/16/13	K	B	
96. - Eli Lilly Inc.	A	Dividend	K	T					
97. - Morgan Stanley	A	Dividend	J	T	Sold (part)	11/01/13	K	D	
98. - Oracle Corp.	A	Dividend	L	T					
99. - Orange Corp. ADR	C	Dividend	M	T	Sold (part)	10/08/13	L	A	
100. - Southern Copper Co.	B	Dividend	L	T	Sold (part)	11/07/13	J	A	
101. - Telefonica Brasil Ltd ADR	D	Dividend	L	T	Sold (part)	03/26/13	J	A	
102. - 3M Co.	A	Dividend			Sold	03/20/13	K	D	

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Page 10 of 12

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103. - CSX Corp	A	Dividend			Sold	10/14/13	K	D	
104. - Freeport McMoran Inc.	A	Dividend			Sold	11/26/13	K	C	
105. - PG&E Corp.	A	Dividend			Sold	03/22/13	J	A	
106. - State Street Corp.	A	Dividend			Sold	01/25/13	J	B	
107. - YPF ADR	A	Dividend			Sold	11/26/13	K	D	
108. - Van Kampen Unit Trust 1264	A	Dividend			Sold	09/26/13	J	A	
109.									
110.									
111.									
112.									
113.									
114.									
115.									

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 12

Name of Person Reporting

Lauber, Albert G.

Date of Report

07/14/2014

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

FINANCIAL DISCLOSURE REPORT

Page 12 of 12

Name of Person Reporting

Lauber, Albert G.

Date of Report

07/14/2014

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/ Albert G. Lauber**

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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One Columbus Circle, N.E.
Washington, D.C. 20544