

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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 05/13/2016
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 01/01/2016 to 12/31/2016
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 9

Name of Person Reporting

Austin, Andrew W.

Date of Report

05/13/2016

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. 2016

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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. _____

2. _____

3. _____

4. _____

5. _____

FINANCIAL DISCLOSURE REPORT

Page 3 of 9

Name of Person Reporting

Austin, Andrew W.

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05/13/2016

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	N
2.	Frost Bank	Home Equity Line of Credit	N
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 9

Name of Person Reporting

Austin, Andrew W.

Date of Report

05/13/2016

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.					Sold (part)	03/18/16	K		
4. - Am. Funds Tax-Exempt Bond Fund of America	B	Dividend	K	T					
5. - Invesco Tax-Free Intermed. Fund Class A	A	Dividend	K	T					
6. - BBN	B	Dividend	K	T					
7. - TEPAX	A	Dividend	K	T	Buy	03/18/16	K		
8. UBS BANK USA DEPOSIT ACCT	A	Interest	J	T					
9. STOCKS:									
10. - RBSPRG	A	Dividend			Sold	06/13/16	K	C	
11. - BCSPRA	B	Dividend	K	T					
12. - GYB	A	Dividend	K	T					
13. - DSL	B	Dividend	J	T					
14. CORPORATE BONDS:									
15. - Genworth Fin. Bond	B	Interest	J	T					
16. IRA # 1									
17. - UBS Bk. Dep. Acct.	A	Interest	K	T					

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 9

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Austin, Andrew W.

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☐ 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				
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18. - WPC	A	Dividend	J	T					
19.					Buy (add'l)	10/05/16	J		
20. - EDIV	A	Dividend	J	T					
21. - CSCO	A	Dividend			Sold	08/22/16	J	B	
22. - IDV	A	Dividend	J	T					
23. - GE	A	Dividend	J	T					
24. - FCX	A	Dividend			Sold	01/26/16	J		
25. - PWR		None			Sold	01/26/16	J		
26. - PDVYX	A	Dividend	K	T					
27. - GSZIX	A	Dividend	J	T					
28. - NSL	A	Dividend			Sold	01/26/16	K		
29. - GIOIX	B	Dividend	K	T					
30. - DSL		None	K	T					
31. - LDP	B	Dividend	K	T					
32. - F	A	Dividend	J	T					
33. - AAPL	A	Dividend	J	T					
34. - RDSA	A	Dividend	J	T	Buy	08/09/16	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 6 of 9

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35. - DKT		None			Buy	02/04/16	J		
36.					Sold	02/16/16	J	A	
37. - MFADUS	A	Dividend	J	T	Buy	09/14/16	J		
38. - MRK	A	Dividend			Buy	01/08/16	J		
39.					Sold	08/22/16	J	A	
40. - MFCODM	A	Dividend	J	T	Buy	04/08/16	J		
41. - AGN		None	J	T	Buy	04/29/16	J		
42. - LUV	A	Dividend	J	T	Buy	06/27/16	J		
43.					Buy (add'l)	06/28/16	J		
44. - DIS		None			Buy	02/10/16	J		
45.					Sold	02/17/16	J	A	
46. IRA # 2									
47. - Am. Funds Target Date 2045 A	C	Dividend	L	T					
48. - Am. Funds Intermed. Bond Fund of Am Class A	B	Dividend	L	T					
49. - Am. Funds Bond Fund of America Class A	B	Dividend	M	T					
50. - Am. Funds Capital World Bond Fund Class A	B	Dividend	M	T					
51. - Am. Funds Growth & Inc. Port.	D	Dividend	M	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 \$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 9

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52. FROST BANK MONEY MKT & CHECKING ACCOUNTS	C	Interest	K	T					
53. 529 ACCOUNT # 1									
54. - Cap. World Growth & Income	A	Dividend			Distributed	03/04/16	J		
55. 529 ACCOUNT # 2									
56. - Wash. Mut. Inv. Fund	A	Dividend			Distributed	03/09/16	J		
57. - Growth Fund of America	A	Dividend			Distributed	03/09/16	J		
58. - Cap. World Growth & Income	A	Dividend			Distributed	03/09/16	J		
59. - Income Fund of America	A	Dividend			Distributed	03/09/16	J		
60. MUNICIPAL BONDS									
61. - Central Tx Reg. Mobility Authority	A	Interest	K	T					
62.									

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FINANCIAL DISCLOSURE REPORT

Page 8 of 9

Name of Person Reporting

Austin, Andrew W.

Date of Report

05/13/2016

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

FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

Austin, Andrew W.

Date of Report

05/13/2016

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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