

FINANCIAL DISCLOSURE REPORT FINAL FILING

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) GUIN, J. FOY, JR.	2. Court or Organization U.S.DISTRICT COURT, N.D. ALA.	3. Date of Report 05/30/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Senior U. S. District Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☐ Annual ☒ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2013 to 03/03/2014
7. Chambers or Office Address 1729 FIFTH AVENUE NORTH SUITE 918 BIRMINGHAM, ALABAMA 35203		
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.)*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. _____

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. _____

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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.		
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. 1/3 interest in lot located in Haleyville, Ala.	A	Rent	J	W					
2. Regions Bank (checking)	A	Interest	J	T					
3. Regions Bank (checking)	A	Interest	J	T					
4. ExxonMobil Corp com	E	Dividend	P1	T					
5. AT&T	C	Dividend	L	T					
6. FMI Funds	A	Dividend	J	T					
7. IRA ACCT. A	A	Div & int	K	T					
8. -Pershing Govt Acct (Money market fund)									
9. -Procter & Gamble Co com									
10. -Waste Management, Inc com					Sold	03/21/13	J	A	
11. -Diebold, Inc									
12. -Deere & Co					Buy	07/26/13	J		
13. IRA ACCT. B	C	Div & Int	M	T					
14. -Applied Materials, Inc					Sold	02/07/14	J	A	
15. -Pershing Govt Fund (Money market fund)									
16. -Ares Cap Corp									
17. -Intel Corp									

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 \$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 I (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. -Dow Chem Co					Sold	01/24/14	J	A	
19. -McDonalds Corp									
20. -Thompson Reuters Corp com					Sold	07/29/13	J	A	
21. -Walgreen Co					Sold	02/13/13	J	A	
22. -Hasbro, Inc					Sold	04/16/13	J	A	
23. -Family Dollar Stores					Sold	08/06/13	J	A	
24. -Emerson Electric Co					Sold	11/08/13	J	A	
25. -Halliburton Co					Sold	05/22/13	J	A	
26. -General Electric Co					Sold	01/13/14	J	A	
27. -Darden Restaurants, Inc									
28. -ABM Industries, Inc					Sold	05/31/13	J	A	
29. -Stanley Black & Decker, Inc									
30. -Stanley Black & Decker, Inc					Buy (add'l)	03/20/13	J		
31. -Mens Warehouse, Inc					Buy	02/19/13	J		
32. -Mens Warehouse, Inc					Sold	09/04/13	J	A	
33. -The Scotts Miracle Grow Hldg Co					Buy	03/20/13	J		
34. -The Scotts Miracle Grow Hldg Co					Sold	08/20/13	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 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	

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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				
	(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)
35. -Stifel Financial Corp					Buy	05/15/13	J		
36. -Stifel Financial Corp					Sold	09/16/13	J	A	
37. -The Scotts Miracle Grow Hldg Co					Buy	03/20/13	J		
38. -The Scotts Miracle Grow Hldg Co					Sold	08/20/13	J	A	
39. -National Oilwell Varco, Inc					Buy	05/23/13	J		
40. -National Oilwell Varco, Inc					Sold	11/22/13	J	A	
41. -Trinity Inds, Inc					Buy	06/24/13	J		
42. -KRB, Inc					Buy	07/31/13	J		
43. -Kinder Morgan, Inc					Buy	08/16/13	J		
44. -Dr Pepper Snapple Group, Inc					Buy	09/12/13	J		
45. -Corning, Inc					Buy	09/17/13	J		
46. -Corning, Inc					Sold	12/17/13	J	A	
47. -CVS Caremark Corp					Buy	09/26/13	J		
48. -Baxter Intl, Inc					Buy	10/28/13	J		
49. -Ford Motor Co					Buy	12/12/13	J		
50. -Leggett & Platt, Inc					Buy	12/26/13	J		
51. -Transocean Ltd Reg Shs					Buy	01/21/14	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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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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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52. IRA ACCT. C	A	Div & Int	K	T					
53. -Pershing Govt Acct (Money market fund)									
54. -Intel, Corp									
55. -Walgreen Co					Sold	02/13/13	J	A	
56. -Emerson Electric Co					Sold	11/08/13	J	A	
57. -Family Dollar Stores					Buy	02/15/13	J		
58. -Family Dollar Stores					Sold	08/06/13	J	A	
59. -Darden Restaurants, Inc					Buy	08/07/13	J		
60. -Dr Pepper Snapple Group, Inc					Buy	10/18/13	J		
61. -Dr Pepper Snapple Group, Inc					Sold (part)	12/06/13	J	A	
62. -Baxter Intl, Inc					Buy	11/12/13	J		
63. BROKERAGE ACCOUNT #1									
64. -Barrick Gold com	A	Dividend			Sold	11/06/13	J	A	
65. -Abbott Laboratories com.	A	Dividend	J	T					
66. -Hewlett-Packard, Inc com	A	Dividend	J	T					
67. -Pepsico Inc com	A	Dividend	K	T					
68. -Regions Financial Corp	A	Dividend	K	T					

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69. -Federated Govt Reserves	A	Dividend	L	T					
70. -Home Depot Inc com	A	Dividend	K	T					
71. -General Electric Co com	A	Dividend	K	T					
72. -Automatic Data Processing, Inc com	A	Dividend	K	T					
73. -Johnson & Johnson com	A	Dividend	K	T					
74. -Chevron Corp com	A	Dividend	K	T					
75. -3M Company com	A	Dividend	K	T					
76. -Colgate-Palmolive Co com	A	Dividend	K	T					
77. -Walgreen Co com	A	Dividend	K	T					
78. -Procter & Gamble Co	A	Dividend	K	T					
79. -Intel Corp	A	Dividend	K	T					
80. -Royal Dutch Shell PLC	A	Dividend	K	T					
81. -V F Corp	A	Dividend	K	T					
82. -Emerson Electric Co	A	Dividend	K	T					
83. -Emerson Electric Co					Buy (add'l)	04/19/13	J		
84. -Air Products & Chems, Inc	A	Dividend	K	T					
85. -McDonalds Corp	A	Dividend	K	T					

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86. -Waste Management, Inc	A	Dividend			Sold	04/03/13	J	A	
87. -Becton Dickinson & Co	A	Dividend	K	T					
88. -Nucor Corp	A	Dividend	K	T					
89. -Family Dollar Stores com					Sold	02/11/14	J	B	
90. -Family Dollar Stores com					Buy (add'l)	01/18/13	J		
91. -Family Dollar Stores com					Sold	02/11/14	J	A	
92. -Norfolk Southern Corp com	A	Dividend	K	T					
93. -Illinois Tool Works, Inc com	A	Dividend	K	T					
94. -Kohls Corp com	A	Dividend	J	T					
95. -Sigma Aldrich Corp	A	Dividend	K	T					
96. -Genuine Parts Co com	A	Dividend	K	T					
97. -Sasol Ltd Sponsored ADR	A	Dividend	K	T					
98. -IBM	A	Dividend	K	T	Buy	02/04/13	J		
99. -C H Robinson Worldwide, Inc	A	Dividend	K	T	Buy	10/18/13	K		
100. -Goldcorp, Inc	A	Dividend	J	T	Buy	11/01/13	J		
101. BROKERAGE ACCOUNT #3									
102. -Federal Government Reserves	A	Dividend	J	T					

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103. -Disney Walt Co Holding Co	A	Dividend	J	T					
104. -Intel Corp	A	Dividend	J	T					
105. -Emerson Elec Co	A	Dividend	J	T					
106. Scudder Var. Life Invest. Fund (Charter Nat'l - money market	E	Int./Div.	M	T					
107. BROKERAGE ACCOUNT #4									
108. -AT&T, Inc	A	Dividend	J	T					
109. -Caterpillar, Inc	A	Dividend	J	T					
110. -Chevron Corp	A	Dividend	J	T					
111. -Coca Cola Company	A	Dividend	J	T					
112. -Dominion Res, Inc	A	Dividend	J	T					
113. -Du Pont E I De Nemours & Co	A	Dividend	J	T					
114. -Emerson Electric Co	A	Dividend	J	T					
115. -Exxon Mobil Corp	A	Dividend	K	T					
116. -Genuine Parts Co	A	Dividend	J	T					
117. -Heinz H J Co	A	Dividend			Sold	02/28/13	J	A	
118. -Lowes Cos, Inc	A	Dividend	K	T					
119. -Occidental Petroleum Corp	A	Dividend	J	T					

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120. -Occidental Petroleum Corp					Buy (add'l)	01/24/13	J		
121. -Progressive Energy, Inc	A	Dividend			Merged (with line 122)				See part VIII
122. -Duke Energy Corp	A	Dividend	J	T					
123. -Qualcomm, Inc	A	Dividend	J	T					
124. -Qualcomm, Inc					Buy (add'l)	04/30/13	J		
125. -Regions Finl Corp	A	Dividend	J	T					
126. -Southern Co	A	Dividend	J	T					
127. -Federated Govt Reserves (Money Market Fund)	A	Dividend	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 = \$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

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Name of Person Reporting

GUIN, J. FOY, JR.

Date of Report

05/30/2014

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

Part VII, Line 121: Progressive Energy, Inc. was merged into Duke Energy Corp on July 3, 2012. This was overlooked on the 2012 financial disclosure report.

FINANCIAL DISCLOSURE REPORT

Page 13 of 13

Name of Person Reporting

GUIN, J. FOY, JR.

Date of Report

05/30/2014

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/ J. FOY, JR. GUIN**

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