

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) Herndon, David R.	2. Court or Organization U.S. District Court Southern District of Illinois	3. Date of Report 05/06/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Active	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 United States Courthouse 750 Missouri Avenue East St. Louis, IL		
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.	Trustee	Trust #1, Assets No 22-96
2.	Trustee	Trust #2, Assets No 97-141
3.	Trustee	Trust #3, Assets No 142-187
4.	Trustee	Trust #4, Assets No188-204
5.	Trustee	Trust #5 Assets No 205-221 Trust #6 Assets No 222-238

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.)*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. 2013

Byron, Carlson, Petri & Kalb LLC 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 PROVIDED1. American Conference
Institute

12/09/2013

New York City, NY

Speaker at Educational
Seminar

hotel (directly billed) & airfare \$236

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. First Clover Leaf Bank checking acct	B	Interest	L	T					
2. Bank of Edwardsville Checking account	A	Interest	J	T					
3. IRA Account Pershing IRA Account	D	Dividend	M	T					assets listed below
4. - (IRA) First Horizon Natl Corp									
5. - (IRA) Fractional Kinder Morgan Mgmt					Distributed (part)	02/14/13	J		cash in lieu of fractnl sh
6. - (IRA) Fractional Kinder Morgan Mgmt					Distributed (part)	05/15/13	J		cash in lieu of fractnl sh
7. - (IRA) Fractional Kinder Morgan Mgmt					Distributed (part)	8/14/13	J		cash in lieu of fractnl sh
8. - (IRA) Fractional Kinder Morgan Mgmt					Distributed (part)	11/14/13	J		cash in lieu of fractnl sh
9. - (IRA) Kinder Morgan Mgmt									
10. - (IRA) Coach Inc Com					Buy	07/24/13	K		see below for sale in same
11. - (IRA) Coach Inc Com					Buy (add'l)	10/22/13	J		period
12. - (IRA) Coach Inc Com					Sold	12/06/13	J	A	
13. - (IRA) Darden Restaurants					Sold	09/20/13	K		
14. - (IRA) Nielson Holdings V B Com					Buy	12/18/13	J		
15. - (IRA) Ebay Inc Com									
16. - (IRA) Kraft Foods Grp									
17. - (IRA) Kraft Foods Grp CALL Option exp 1/18/14					Buy	08/05/13	J		call option

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 ~\$25,000,001 - \$50,000,000	K ~\$15,001 - \$50,000 O ~\$500,001 - \$1,000,000	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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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)

18. - (IRA) Omnicom Group Inc									
19. - (IRA) Vanguard Intl Equity Index Fds FTSE Europe ETF					Buy	10/29/13	K		
20. - (IRA) Annaly Cap Mgmt Inc REIT					Sold	10/29/13	K		
21. - (IRA) Dreyfus Treasury Prime MM									
22. TRUST #1 Pershing Brokerage Account	G	Int./Div.	P1	T					trust assets listed below
23. - Dreyfus Treasury Prime Inv MM									
24. - Jackson Cnty Mo Spl Oblig Truman Sports									
25. - Deschutes Cnty Ore Sch Dist 5.25%									
26. - State Pub Sch Bldg Auth PA Sch Rev 5.25%									
27. - West Chester PA Area Sch Dist Ser A 5% 3/1/06									
28. - Houston Tex Util Sys Rev Rfdg Comb First									
29. - Connecticut St Ser C 5% 11/1/21 B/E									
30. - Hampton VA Pub Impt-Ser A Fgic-Mbia 5%									
31. - Indiana Univ Revs Student Fee Ser S 5% 2/21/08									
32. - Metropolitan Govt Nashville Davidson 5% 5/15/23 \$20k									
33. - Metropolitan Govt Nashville Davidson 5% 5/15/23 \$80k									
34. - Metropolitan Govt Nashville Davidson 5% 5/15/25 \$50k					Sold	08/14/13	L		

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	R = Cost (Real Estate Only)	P4 = More than \$50,000,000	S = Assessment	T = Cash Market
(See Column C2)	Q = Appraisal	V = Other	W = Estimated		
	U = Book Value				

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35. - Metropolitan Govt Nashville Davidson 5% 1/01/25 \$50k									
36. - Chicago ILL Sales Tax Rev Sale 5%									
37. - Virginia St Res Auth Clean Wtr 6/13/04 5%									
38. - Conroe Tex Indpt Sch Dist RFDG 5% 2/15/24					Buy	01/14/13	M		
39. - Humble Tex Indpt Sch Dist Sch Bldg 5% 2/1/06									
40. - Tennessee St Rfdg-Ser A 4% 08/1/25					Buy	08/09/13	L		
41. - Victoria Tex Indpt Sch Dist Sch Bldg 5% 6/15/07									
42. - Keller Tex Indpt Sch Dist Sch Bldg 5% 8/15/26					Buy	01/09/13	M		
43. - Missouri St Brd Pub Bldgs Spl Oblg 4.5%									
44. - North Carolina St Pub Impt Ser A 5% 4/14/10									
45. - Dallas Tex Wtrwks Swr Sys rev Rfdg Impt 5% 4/1/06					Sold	01/14/13	M	D	
46. - Sally Hldgs LLC/Sally cap inc sr sub 10.5%					Redeemed	12/05/11	K		redeemed December 2011
47. - First Tenn Bk NA Memphis Sub Nt 5.05%									
48. - HCA Inc No 6.375% 01/15/15									
49. - HCA Inc Sr Note 8.0% 10/01/18					Buy	02/20/13	K		
50. - Chesapeake energy Corp Sr Nt 9.5%									
51. - Hanesbrands Inc Fixed Rate Sr Nt 8%					Redeemed	12/16/13	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	
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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52. - Southwestern Energy Co Med Term Notes 7.125%									
53. - Accenture PLC Ireland Shs Cl A ACN									
54. - American Tower REIT com					Sold (part)	04/24/13	J	C	
55. - Brookfield Infrastructure Partners LP					Buy	03/13/13	K		
56. - Brookfield Infrastructure Partners LP					Buy (add'l)	06/03/13	J		
57. - Brookfield Infrastructure Partners LP					Distributed (part)	12/31/13	J		return of principal
58. - Apple Inc									
59. - Bank of America Corp									
60. - CBRE Group Inc CL A					Buy	03/01/13	J		see below for sale in same
61. - CBRE Group Inc CL A					Sold	11/08/13	J		period
62. - CBS Corp CL B Com					Buy	12/06/13	K		
63. - Chesapeake Energy Corp									
64. - Church & Dwight Co Inc									
65. - Colgate Palmolive Co						05/21/13			stock split
66. - Darden Restaurants Inc Com					Sold	09/20/13	J		
67. - EMC Corp (Mass) Com									
68. - Energy Transfer Equity L.P.									

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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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69. - Enterprise Products Partners L.P.									
70. - Groupon Inc Com CL A					Buy	09/23/13	K		
71. - Groupon Inc Com CL A					Buy (add'l)	10/08/13	J		
72. - Honeywell Intl Inc									
73. - Jarden Corp Com						03/22/13			stock split
74. - Kinder Morgan Energy Partners									
75. - Lowes Companies Inc									
76. - Markwest Energy Partners L.P.									
77. - Newell Rubbermaid Inc Com					Sold (part)	04/24/13	J	C	
78. - Philip Morris Intl Inc com					Sold	12/06/13	K	B	
79. - Plains All American Pipeline L.P.									
80. - Schlumberger LTD					Sold (part)	03/13/13	K	A	
81. - Schlumberger LTD					Sold	06/24/13	K	A	
82. - Verizon Communications Com									
83. - Williams Partners L.P.									
84. - KKR Finl Hldgs LLC PFD Ser A LLC					Buy	05/28/13	J		
85. - Annaly Cap Mgmt Inc Com					Buy (add'l)	07/05/13	J		see below for sale in same

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2. Value Codes (See Columns C1 and D3)					
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value				

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86. - Annaly Cap Mgmt Inc Com					Sold (part)	10/29/13	J		period
87. - Annaly Cap Mgmt Inc Com					Sold	11/25/13	J		
88. - Starwood Ppty Tr Inc Com									
89. - Ishares TR MSCI Emerging Mkts Index Fd					Sold	04/16/13	L	E	
90. - SPDR GOLD Tr Gold Shs					Sold (part)	06/05/13	J		
91. - SPDR GOLD Tr Gold Shs					Sold (part)	10/29/13	K		
92. - SPDR GOLD Tr Gold Shs					Sold (part)	11/07/13	J		
93. - SPDR GOLD Tr Gold Shs					Sold	12/20/13	K		
94. - Vanguard Intl Equity Index Fds FTSE VWO					Buy	04/16/13	L		see below for sale in same
95. - Vanguard Intl Equity Index Fds FTSE VWO					Sold	06/14/13	L		period
96. - Vanguard Intl Equity Index Fds FTSE Europe ETF					Buy	11/07/13	K		
97. - WisdomTree Tr Emerging Mkts Small Cap					Buy	06/14/13	L		
98. TRUST #2 Pershing Brokerage Account	C	Int./Div.	M	T					trust assets listed below
99. -Drefus Treasury Prime MM									
100. -Accenture PLC Ireland Sh Cl A									
101. -American Tower REIT com									
102. -Brookfield Infrastructure Partners LP Ltd P'ship					Buy	03/13/13	J		

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103. -Brookfield Infrastructure Partners LP Ltd P'ship					Buy (add'l)	06/03/13	J		
104. - Brookfield Infrastructure Partners LP					Distributed (part)	12/31/13	J		return of principal
105. -Apple Inc									
106. -Bank of America Corp					Buy (add'l)	02/20/13	J		
107. -CBRE Group Inc C1 A					Buy	03/01/13	J		see below for sale in same
108. -CBRE Group Inc C1 A					Sold	11/08/13	J		period.
109. -CBS Corp CL: B Com					Buy	12/06/13	J		
110. -Chesapeake Energy Corp									
111. -Church & Dwight Co Inc									
112. -Coach Inc Com					Buy	07/24/13	J		see below for sale in same
113. -Coach Inc Com					Buy (add'l)	10/22/13	J		period.
114. -Coach Inc Com					Sold	12/06/13	J	A	
115. -Colgate Palmolive Co Com						05/21/13			stock split
116. -Darden Restaurants Inc com					Sold	09/20/13	J		
117. -EMC Corp (Mass) Com									
118. -Ebay Inc Com									
119. -Freeport McMoran Copper & Gold Inc CL B					Buy	12/30/13	J		

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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)
120. -Groupon Inc Com CL A					Buy	09/23/13	J		
121. -Groupon Inc Com CL A					Buy (add'l)	10/08/13	J		
122. -Honeywell Intl Inc									
123. -Ishares Trust MSCI Emerging Markets Fd EEM					Sold	04/16/13	J	A	
124. -SPDR Gold Tr Gold Shs					Sold	11/07/13	J		
125. -Jarden Corp Com						03/22/13			stock split
126. -Jarden Corp Com					Distributed (part)	03/22/13	J	A	cash in lieu fractional sh
127. -Kinder Morgan Energy Partners LTD partnership									
128. -Kraft Foods Group Inc Com									
129. -Lowes Companies Inc									
130. -Newell Rubbermaid Inc Com									
131. -Nielson Holdings B V Com					Buy	12/18/13	J		
132. -Omnicom Group Inc									
133. -Philip Morris Intl Inc Com					Sold	12/06/13	J	A	
134. -Schlumberger LTD					Sold (part)	03/13/13	J	A	
135. -Schlumberger LTD					Sold	06/24/13	J	A	
136. -Verizon Communications Com									

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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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)
137. -Annaly Cap Mgmt Inc Com REIT					Sold	11/25/13	J		
138. -Starwood Ppty Tr Inc com									
139. -Vanguard Intl Equity Index Fds FTSE Emerging Mkts ETF					Buy	04/16/13	J		see below for sale in same
140. -Vanguard Intl Equity Index Fds FTSE Emerging Mkts ETF					Sold	06/14/13	J		period
141. -Vanguard Intl Equity Index Fds FTSE Europe ETF					Buy	11/07/13	J		
142. -WisdomTree Tr Emerging Mkts Small Cap					Buy	06/14/13	J		
143. TRUST #3 Pershing Brokerage Account	D	Int./Div.	N	T					trust assets listed below
144. -Dreyfus Treasury Prime Money Market									
145. -Accenture PLC Ireland Shs Cl A									
146. -American Tower REIT									
147. -Apple Inc									
148. -Brookfield Infrastructure					Buy	03/13/13	J		
149. -Brookfield Infrastructure					Buy (add'l)	06/03/13	J		
150. - Brookfield Infrasturcture Partners LP					Distributed (part)	12/31/13	J		return of principal
151. -Bank of America Corp					Buy (add'l)	02/20/13	J		
152. -CBRE Group Inc CL A					Buy	03/01/13	J		see below for sale in same
153. -CBRE Group Inc CL A					Sold	11/08/13	J		period

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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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)
154. -CBS Corp CL B Com					Buy	12/06/13	J		
155. -Chesapeake Energy Corp									
156. -Church & Dwight Co Inc									
157. -Coach Inc Com					Buy	07/24/13	J		see below for sale in same
158. -Coach Inc Com					Buy (add'l)	10/22/13	J		period.
159. -Coach Inc Com					Sold	12/06/13	J	A	
160. -Colgate Palmolive Co						05/21/13			stock split
161. -Darden Restaurants Inc Com					Sold	09/20/13	J		
162. -EMC Corp (Mass) Com									
163. -Ebay Inc Com									
164. -Freeport McMoran Copper & Gold Inc CL B					Buy	12/30/13	J		
165. -Groupon INC Com CL A					Buy	09/23/13	J		
166. -Groupon INC Com CL A					Buy (add'l)	10/08/13	J		
167. -Honeywell Intl Inc									
168. -ALPS ETF Tr Alerian Mlp Etf									
169. -iShares Trust MSCI Emerging Markets Index EEM					Sold	04/16/13	K	C	
170. -iShares Tr S&P Midcap 400 Value Index Fd									

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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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)
171. -Jarden Corp Com						03/22/13			stock split
172. -Kinder Morgan Energy Partners LP									
173. -Kraft Foods Group Inc Com									
174. -Lowes Companies Inc									
175. -Nielson Holdings B V Com					Buy	12/18/13	J		
176. -Newell Rubbermaid Inc Com									
177. -SPDR Gold Tr Gold Shs					Sold	12/20/13	J		
178. -Omnicom Group Inc									
179. -Philip Morris Intl Inc Com					Sold	12/06/13	J	A	
180. -Schlumberger LTD					Sold (part)	03/13/13	J	A	
181. -Schlumberger LTD					Sold	06/24/13	J	A	
182. -Verizon Communications Com									
183. -Annaly Cap Mgmt Inc Com					Sold	11/25/13	J		
184. -Starwood Ppty Tr Inc Com									
185. -Vanguard Intl Equity Index Fds FTSE Emerging Mkts ETF					Buy	04/16/13	K		see below for sale in same
186. -Vanguard Intl Equity Index Fds FTSE Emerging Mkts ETF					Sold	06/14/13	K		period.
187. -Vanguard Intl Equity Index Fds FTSE Europe ETF					Buy	11/07/13	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 \$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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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)
188. -WisdomTreeTr Emerging Mkts Small Cap AVG					Buy	06/14/13	K		
189. TRUST #4 Pershing Brokerage Account	C	Int./Div.	M	T					trust assets listed below
190. -Dreyfus Treasury Prime Inv Sh MM									
191. -Annaly Cap Mgmt Inc Com					Buy	02/20/13	J		see below for sale in same
192. -Annaly Cap Mgmt Inc Com					Sold	10/29/13	J		period.
193. -ALPS Etf Tr Alerian MLP Etr					Buy (add'l)	10/30/13	K		
194. -iShares Trust MSCI Emerging Markets Index fd EEM					Sold	04/16/13	J		
195. -iShares Tr S&P Midcap 400 Value Index					Sold (part)	10/30/13	J	C	
196. -Powershares QQQ Tr Unit Ser 1					Sold (part)	10/30/13	J	A	
197. -SPDR GOLD Tr Gold Shs					Sold	10/29/13	J		
198. -SPDR S&P Midcap 400 ETF Tr Unit Ser 1					Sold (part)	10/30/13	J	C	
199. -Vanguard Intl Equity Index Fds FTSE Emerging Markets VWO					Buy	04/16/13	K		see below for sale in same
200. -Vanguard Intl Equity Index Fds FTSE Emerging Markets VWO					Sold	06/14/13	J		period.
201. -Vanguard Index Fds S&P 500 ETF VOO					Buy	10/30/13	K		
202. -Vanguard INTL Equity Index Fds FTSE Europe ETF VGK					Buy	10/30/13	K		
203. -WisdomTree Emerging Mkts Small Cap Avg					Buy	06/14/13	J		
204. -WisdomTree Emerging Mkts Small Cap Avg					Buy (add'l)	10/30/13	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 \$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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Date of Report

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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)
205. -WisdomTree Emerging Mkts Equity					Sold	06/24/13	J		
206. TRUST #5 Pershing Brokerage Account	B	Int./Div.	M	T					trust assets listed below
207. -Dreyfus Treasury Prime Inv MM									
208. -Annaly Cap Mgmt Inc Com					Buy	02/20/13	J		see below for sale in
209. -Annaly Cap Mgmt Inc Com					Sold	10/29/13	J		period.
210. -ALPS Etf Tr Alerian MLP Etf					Buy (add'l)	10/30/13	J		
211. -Ishares Trust MSCI Emerging Markets Index Fd EEM					Sold	04/16/13	J		
212. -Ishares Tr S&P Midcap 400 Value					Sold (part)	10/30/13	J	B	
213. -Powershares QQQ Tr Unit Ser 1					Sold (part)	10/30/13	J	A	
214. -SPDR GOLD Tr Gold Shs					Sold	10/29/13	J		
215. -SPDR S&P Midcap 400 ETF Tr Unit Ser 1					Sold (part)	10/30/13	J	B	
216. -Vanguard Intl Emerging Mkts ETF					Buy	04/16/13	J		see below for sale in
217. -Vanguard Intl Emerging Mkts ETF					Sold	06/14/13	J		period.
218. -Vanguard Intl Equity Index Fds FTSE Europe ETF VGK					Buy	10/30/13	J		
219. -Vanguard Index Fds S&P 500 ETF					Buy	10/30/13	K		
220. -WisdomTree Emerging Mkts Equity					Sold	06/24/13	J		
221. -WisdomTree Tr Emerging Mkts Small Cap Avg DGS					Buy	06/14/13	J		

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	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

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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)
222. -WisdomTree Tr Emerging Mkts Small Cap Avg DGS					Buy (add'l)	10/30/13	J		
223. Trust #6 Pershing Brokerage Account	B	Int./Div.	L	T					trust assets listed below
224. -Dreyfus Treasury Prime Inv MM									
225. -Annaly Cap Mgmt Inc Com					Buy	02/20/13	J		see below for sale in same
226. -Annaly Cap Mgmt Inc Com					Sold	10/29/13	J		period.
227. -ALPS Etf Tr Alerian MLP Etf					Buy (add'l)	10/30/13	J		
228. -Ishares Trust MSCI Emerging Markets Index EEM					Sold	04/16/13	J		
229. -Ishares Tr S&P MidCap 400 Value					Sold (part)	10/30/13	J	A	
230. -PowerShares QQQ Tr Unit Ser 1									
231. -SPDR GOLD Tr Gold Shs					Sold	10/29/13	J		
232. -SPDR S&P MidCap 400 ETF Tr Unit Ser 1					Sold (part)	10/30/13	J	A	
233. -Vanguard Intl Equity Index Fds FTSE Emerging Mkts VWO					Buy	04/16/13	J		see below for sale in same
234. -Vanguard Intl Equity Index Fds FTSE Emerging Mkts VWO					Sold	06/14/13	J		period.
235. -Vanguard Intl Equity Index Fds FTSE Europe ETF					Buy	10/30/13	J		
236. -Vanguard Index Fds S&P 500 ETF					Buy	10/30/13	J		
237. -WisdomTree Emerging Mkts Uity DEM					Sold	06/24/13	J		
238. -WisdomTree Emerging Mkts Small Cap Avg DGS					Buy	06/14/13	J		

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	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

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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)
239. -WisdomTree Emerging Mkts Small Cap Avg DGS					Buy (add'l)	10/30/13	J		
240.									

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

Dreyfus Treasury Prime Inv Money Market Account

IRA account summarized on line 21

Trust #1 on line 23

Trust #2 on line 98

Trust #3 on line 143

Trust #4 on line 189

Trust #5 on line 206

Trust #6 on line 223

Lines 21, 23, 98, 143, 189, 206, 223 Dreyfus Treasury Prime Inv Money Market Account was used as a vehicle to hold cash equivalent assets for purchase of other investments and to place sale proceeds pending other investments. Consequently, money moved in and out of these accounts with great frequency and no attempt was made to distinguish each transaction unless specifically requested.

Lines 5-8 fractional shares of Kinder Morgan Mgmt: In the past, instead of paying cash dividends, Kinder Morgan issued fractional shares of stock. The fractional shares had no monetary value and no market until they accumulated to equal a full share. However in 2013, Kinder Morgan is paying cash dividends in lieu of fractional shares of stock.

All trust assets are accounted for herein. According to your instructions, the aggregate income and values were reported on lines 22, 97, 142, 188, 205, 222. Identification of the trusts was omitted for security purposes, but will be provided if requested. Naturally, the records of each individual trust are available for the committee's inspection upon request.

RESPONSE TO LETTER OF INQUIRY:

SEE PART VII, PAGE 7, LINE 46: Sally Hldgs LLC/Sally cap inc sr sub 10.5%. This bond was purchased on 08/22/2011 and redeemed on 12/05/2011. This was correctly reported on the 2011 report on lines 51 and 52. Sally Hldgs mistakenly was included on the 2012 report on line 47. In response to your letter of inquiry, we included Sally holdings on this 2013 report showing again the 2011 redemption date.

SEE PART VII, PAGE 15, LINE 203 & 204: WisdomTree Emerging Mkts Small Cap Avg. This mutual fund was initially purchased on 6/14/13 and additional shares were purchased on 10/30/13.

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Herndon, David R.

Date of Report

05/06/2014

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/ **David R. Herndon**

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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