

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) FLEISSIG, AUDREY G.	2. Court or Organization EASTERN DISTRICT OF MISSOURI	3. Date of Report 10/13/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. DISTRICT JUDGE - ACTIVE STATUS	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 111 S. 10TH STREET: 12S ST. LOUIS, MISSOURI 63102		
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. CO-TRUSTEE (NO FEE)	LIVING TRUST CREATED UNDER AGREEMENT 8/31/1984
2. ADJUNCT INSTRUCTOR	WASHINGTON UNIVERSITY SCHOOL OF LAW
3.	
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.	

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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. 2013	WASHINGTON UNIVERSITY SCHOOL OF LAW - ADJUNCT INSTRUCTOR	\$2,500.00
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. 2013	MISSOURI MACHINERY & ENGINEERING COMPANY (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.)*

<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.)*

	<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.	UMB BANK	MORTGAGE ON COMMERCIAL REAL ESTATE	N
2.	ST. LOUIS DEVELOPMENT CORP	MORTGAGE ON COMMERCIAL REAL ESTATE	J
3.	UMB BANK	MORTGAGE ON RENTAL PROPERTY #2, BRENTWOOD, MO (PART VII, LINE 39)	L
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. IRA #1	D	Int./Div.	M	T					
2. -BERKSHIRE HATHAWAY									
3. -HARBOR FD INTL FD					Buy (add'l)	01/14/13	J		
4. -ROYCE PREMIER INVESTMENT CL									
5. -PIMCO FUNDS COMMODITY/REAL RET					Buy (add'l)	10/14/13	K		
6.					Buy (add'l)	01/15/13	J		
7. -PIMCO TOTAL RET FD INTL					Sold (part)	10/14/13	K		
8. -COHEN & STEERS REALTY SHS INSTL					Buy	10/14/13	K		
9. -AMERITRADE ACCOUNT									
10. IRA #2	C	Int./Div.	M	T					
11. -HARBOR FD INTL FD					Buy (add'l)	01/14/13	J		
12. -COHEN & STEERS REALTY SHS									
13. -AMERITRADE ACCOUNT									
14. BROKERAGE ACCOUNT #1 (H)									
15. -VANGUARD TAX EXEMPT FUNDS INTER	A	Int./Div.			Sold	06/19/13	K	A	
16. -ROYCE PREMIER INVESTMENT	B	Int./Div.	K	T	Buy (add'l)	08/09/13	J		
17. -ISHARES MIDCAP	B	Int./Div.	M	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 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	L = \$50,001 - \$100,000 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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Name of Person Reporting

FLEISSIG, AUDREY G.

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 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. -ISHARES RUSSELL 1000 ETF	A	Int./Div.	K	T	Buy	08/09/13	K		
19. -AMERICAN FUNDS CAPITAL WORLD BOND F2	A	Int./Div.	K	T	Buy	08/09/13	K		
20. -AMERICAN FUNDS INTERMEDTE BD FD OF AMER F2	A	Int./Div.	K	T	Buy	08/09/13	K		
21. -AMERICAN FUNDS NEW PERSPECTIVE FD CL F2	C	Int./Div.	L	T	Buy	08/09/13	K		
22.					Buy (add'l)	12/27/13	J		
23. -AMERICAN FUNDS CAPTL INCM BLDR F2		None			Buy	08/12/13	J		
24.					Sold	08/20/13	L		
25. -HARBOR FD BD FD INSTL		None			Buy	08/09/13	K		
26.					Buy (add'l)	08/12/13	J		
27.					Sold	08/20/13	K	A	
28. -HARBOR FD INTL FD	A	Int./Div.	J	T	Buy	08/09/13	J		
29. -HARBOR FD CAP APPRECIATN	B	Int./Div.	K	T	Buy	08/09/13	K		
30. -T ROW PRICE EQUITY INCOME F SH BEN INT	B	Int./Div.	K	T	Buy	08/09/13	K		
31. -MSIF US REAL ESTATE FD CL I		None			Buy	08/09/13	J		
32.					Buy (add'l)	08/12/13	J		
33.					Sold	08/20/13	K	C	
34. MISSOURI MACHINERY & ENGINEERING 50% PRIVATELY HELD	E	Int./Div.	O	U					

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. BKF LLC 50% MEMBER-PRIVATELY HELD	C	Rent	J	U					
36. U.S. SAVINGS BONDS	C	Interest	K	T	Sold (part)	09/03/13	J		
37. RENTAL PROPERTY #1, ST. LOUIS, MO	D	Rent	M	W					
38. RENTAL PROPERTY #2, BRENTWOOD, MO	B	Rent	M	W	Buy	07/02/13	M		
39. 401(K) COMMERCE BOND FUND	D	Int./Div.	M	T					
40. BANK OF AMERICA		None	L	T					
41. BENEFICIARY OF TRUST OF [REDACTED] ESTATE (H)	C	Int./Div.	K	T					
42. -TD MONEY MARKET PORTFOLIO INVESTOR CLASS									
43. -AMERICAN FUNDS CAPITAL WORLD BOND FUND - SBI CLASS A					Sold (part)	08/09/13	K		
44. -INTERMEDIATE BOND FUND OF AMERICA SBI CLASS A					Sold (part)	01/04/13	J	A	
45.					Sold (part)	08/09/13	K		
46. -AMERICAN FUNDS NEW PERSPECTIVE FUND INC CL A					Sold (part)	08/09/13	K		
47. -HARBOR FD BD FD INSTL					Sold (part)	08/09/13	K		
48. -HARBOR FD CAP APPRECIATION					Sold (part)	08/09/13	K		
49. -HARBOR FD INTL FD					Sold (part)	08/09/13	J		
50. -MSIF FDS INC US REAL ESTATE FD CL A					Sold (part)	08/09/13	J		
51. -ROWE T PRICE EQUITY INCOME F SH BEN INT					Sold (part)	08/09/13	K		

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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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52. -ROYCE FD PREMIER INVESTMENT CL					Sold (part)	08/09/13	J		
53. -ISHARES RUSSELL 10000 INDEX FUND					Sold (part)	08/09/13	K		
54.									

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

DURING AUGUST 2013, SECURITIES WERE TRANSFERRED FROM THE BENEFICIARY OF TRUST OF [REDACTED] ESTATE ACCOUNT (PART VII, LINE 42) INTO THE BROKERAGE ACCOUNT #1 (PART VII, LINE 14).

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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/ AUDREY G. FLEISSIG**

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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Washington, D.C. 20544