

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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) Bataillon, Joseph F.	2. Court or Organization Nebraska	3. Date of Report 05/09/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Art. III District Judge Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2011 to 12/31/2011
7. Chambers or Office Address Roman L. Hruska U.S. Courthouse 111 South 18th Plaza, Ste 3259 Omaha, NE 68102-3122		
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. Insert signature on last page.		

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.	House of Delegates Member	Nebraska State Bar Association
2.	Advisory Committee	Creighton 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.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 7

Name of Person Reporting

Bataillon, Joseph F.

Date of Report

05/09/2012

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. 2011 _____

University of Nebraska Medical Center, 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 7

Name of Person Reporting

Bataillon, Joseph F.

Date of Report

05/09/2012

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.	Nelnet Loan	College Plus Loan	K
2.	Citibank Student Loan Corp.	Student Loan Co-Signor	K
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 7

Name of Person Reporting

Bataillon, Joseph F.

Date of Report

05/09/2012

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. USBank Accounts	A	Interest	J	T					
2. Bank of the West Accounts	A	Interest	J	T					
3. Security National Bank Accounts	A	Interest	K	T					
4. Morgan Stanley Smith Barney Bank Deposit Prog.	A	Interest	J	T					
5. Berkshire Hathaway Class B		None	L	T	Sold (part)	12/20/11	J	D	
6. Diageo PLC Sponsored ADR New	A	Dividend	J	T					
7. First Energy Corp. stock	A	Dividend	J	T					
8. Newmont Mining Corp. stock	A	Dividend	J	T					
9. Merrill Lynch Trust V 7.28 Cum pref stock	A	Interest	J	T					
10. USAA Ins. Account	A	Distribution	J	T					
11. Intel Corp stock	A	Dividend	J	T					
12. Legg Mason CB Appreciation CL A	B	Dividend	J	T					
13. Level 3 Communications Inc. stock		None			Sold	10/28/11	J		
14. Toyota Motor Corp	A	Dividend			Sold	10/25/11	J		
15. Amgen		None	J	T					
16. Cisco Systems Inc		None			Sold	06/06/11	J		
17. Centurylink Inc.		None	J	T	Buy	12/20/11	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		

FINANCIAL DISCLOSURE REPORT

Page 5 of 7

Name of Person Reporting

Bataillon, Joseph F.

Date of Report

05/09/2012

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. McKesson Corp.		None	J	T	Buy	12/20/11	J		
19. Western Union Company	A	Dividend			Sold	06/06/11	J		
20. Clearbridge Energy MLP FD Inc	A	Dividend	J	T	Buy	06/06/11	J		
21. Vanguard Specialized Div Appreciation ETF		None	J	T	Buy	12/20/11	J		
22. Capital World Growth & Income Fund Class C	A	Dividend	K	T	Sold (part)	06/06/11	J	A	
23. Delaware Emerging Markets Fund C	A	Dividend	K	T					
24. Fidelity Advisor New Insights Fund CL C	A	Dividend	J	T					
25. Lord Abbett Alpha Strategy FD CL C		None	J	T	Buy	06/06/11	J		
26. Legg Mason MDA3 Managed IRA	D	Int./Div.			Merged (with line 27)	10/31/11	M		
27. ClearBridge Mult Cap Growth Portfolios	C	Int./Div.	M	T	Open	10/31/11	M		

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 7

Name of Person Reporting

Bataillon, Joseph F.

Date of Report

05/09/2012

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

Part VII, Line 4: MorganStanley SmithBarney uses a bank deposit and money market funds deposit program that uses Citibank NA Bank Deposit Program and Citibank NA South Dakota Bank Deposit Program for FDIC purposes.

Part VII, Lines 26 and 27: MorganStanley SmithBarney changed IRA fund managers from Legg Mason to ClearBridge Advisors in October, 2011.

FINANCIAL DISCLOSURE REPORT

Page 7 of 7

Name of Person Reporting

Bataillon, Joseph F.

Date of Report

05/09/2012

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/ **Joseph F. Bataillon**

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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544