

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) Rau, Steven E.	2. Court or Organization United States District Court for Minnesota	3. Date of Report 03/15/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge - full time	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 316 N Robert Street Suite 334 St. Paul, MN 55101		
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.)

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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 18

Name of Person Reporting

Rau, Steven E.

Date of Report

03/15/2013

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.)*

DATE

SOURCE AND TYPE

INCOME

(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.)*

DATE

SOURCE 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.)*

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

1.

2.

3.

4.

5.

FINANCIAL DISCLOSURE REPORT

Page 3 of 18

Name of Person Reporting

Rau, Steven E.

Date of Report

03/15/2013

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

1.

2.

3.

4.

5.

FINANCIAL DISCLOSURE REPORT

Page 4 of 18

Name of Person Reporting

Rau, Steven E.

Date of Report

03/15/2013

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. UGMA									
2. AT&T INC	A	Dividend	J	T					
3. APPLE INC	A	Dividend	J	T					
4. EAGLE CAPITAL APPRECIATION CLASS C		None	J	T					
5.									
6.									
7. UGMA									
8. APPLE INC	A	Dividend	J	T					
9. BEST BUY	A	Dividend	J	T					
10. PEPSICO INC	A	Dividend	J	T					
11. STARBUCKS CORP	A	Dividend	J	T					
12.									
13. UGMA									
14. ALLIANCE BERNSTEIN CORE OPPORTUNITES FUND CLASS C ADGCX		None	J	T					
15. EAGLE CAPITAL APPRECIATION CLASS C		None	J	T					
16.									

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 ~\$250,000,001 - \$500,000,000	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 5 of 18

Name of Person Reporting

Rau, Steven E.

Date of Report

03/15/2013

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)

17. IRA									
18. BERKSHIRE HATHAWAY INC	A	Dividend	J	T					
19. BRISTOL MYERS SQUIBB	A	Dividend	J	T					
20. CREDIT SUISSE		None	J		Buy	03/28/11	J		
21. HEALTH CARE REIT, INC. HCN			J		Buy	03/28/11	J		
22. HEALTH CARE REIT, INC HCN	A	Dividend	J	T					
23. ISHARES S&P MIDCAP IJK			J		Buy	03/28/11	J		
24. ISHARES S&P MIDCAP IJK	A	Dividend	J	T					
25. ISHARES TR-RUSSELL IWM			J		Buy	03/28/11	J		
26. ISHARES TR-RUSSELL IWM	A	Dividend	J	T					
27. ISHARES RUSSELL 1000 ETF IWD (Y)					Buy	03/28/11	K		
28. ISHARES RUSSELL 1000 ETF GROWTH INDEX FUND IWD					Sold	10/04/11	K		
29. ISHARES RUSSELL 1000 ETF GROWTH INDEX FUND IWF (Y)					Buy	03/28/11	K		
30. ISHARES RUSSELL 1000 ETF GROWTH INDEX FUND IWF (Y)					Sold	10/04/11	K		
31. ING GLBL VALU CHOICE FUND					Buy	03/28/11	K		
32. ING GLBL VALU CHOICE FUND					Sold	10/04/11	K		
33. MAINSTAY HIGH YIELD FUND MHYIX	A	Dividend	J	T	Buy	03/28/11	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 18

Name of Person Reporting

Rau, Steven E.

Date of Report

03/15/2013

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)

34. MEDTRONIC INC	A	Dividend	J	T	Sold	03/28/11	J	A	
35. OPPENHEIMER DEV MARKETS CLASS Y ODVYX	A	Dividend	K	T	Buy	03/28/11	K		
36. PLUM CREEK TIMBER CO INC	A	Dividend	J	T	Buy	03/28/11	J		
37. POWERSHARES DB ETF COMMODITY INDEX TRACKING FUND		None	J	T	Buy	03/28/11	J		
38. TEMPLETON FUNDS INCOME TR GLB BD ADVISOR	A	Dividend	J	T	Buy	03/28/11	J		
39. TEMPLETON DEVELOPING MARKETS CLASS C					Sold	03/28/11	K	A	
40. WELLS FARGO FUND TR SHORT TERM HIGH YIELD	D	Dividend	M	T	Buy	03/28/11	M		
41. US BANCORP NEW	A	Dividend	J	T	Sold	03/28/11	J	B	
42. MEUERS IRA									
43. AGILENT TECH INC					Sold	03/07/11	J	A	
44. ATMEL CORP					Sold	03/07/11	J	A	
45. ABBOTT LABORATORIES					Sold	03/07/11	J	A	
46. ALEXION PHARMACEUTICALS					Sold	03/07/11	J	A	
47. ALLERGAN INC	A	Dividend			Sold	03/07/11	J	A	
48. ALTERA CORPORATION	A	Dividend			Sold	03/07/11	J	A	
49. AMAZON.COM INC					Sold	03/07/11	J	C	
50. AMERICAN EXPRESS CO					Sold	03/07/11	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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 18

Name of Person Reporting

Rau, Steven E.

Date of Report

03/15/2013

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)
51. AMERICAN TOWER CORP CLASS A					Sold	03/07/11	J	A	
52. ANHEUSER BUSCH INBEV ADR					Sold	02/25/11	J		
53. APACHE CORP	A	Dividend			Sold	01/06/11	J	A	
54. APPLE INC					Sold	03/07/11	J	C	
55. AVAGO TECHNOLOGIES LTD					Sold	03/07/11	J	A	
56. BAIDU INC ADR					Sold	03/07/11	J	B	
57. BED BATH AND BEYOND INC					Sold	03/07/11	J	A	
58. BOEING CO	A	Dividend			Sold	03/07/11	J	A	
59. BORG WARNER INC					Sold	03/07/11	J	A	
60. BROADCAM CORPORATION	A	Dividend			Sold	03/07/11	J	A	
61. BURBERRY GROUP PLC ADR					Sold	03/07/11	J	A	
62. CH ROBINSON WORLDWIDE	A	Dividend			Sold	03/07/11	J	A	
63. CELEGENE CORP					Sold	03/07/11	J	A	
64. CHIPOTLE MEXICAN GRILL					Sold	03/07/11	J	A	
65. CISCO SYSTEMS INC					Sold	03/07/11	J	A	
66. COACH INC					Sold	02/01/11	J	A	
67. COSTCO WHOLESALE CORP	A	Dividend			Sold	03/07/11	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 \$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 8 of 18

Name of Person Reporting

Rau, Steven E.

Date of Report

03/15/2013

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)

68. DEERE & CO	A	Dividend			Sold	03/07/11	J	A	
69. DISNEY WALT COMPANY	A	Dividend			Sold	03/07/11	J	B	
70. DOLLAR GENERAL CORP					Sold	02/17/11	J	A	
71. DU PONT EL DE NEMOURS & CO	A	Dividend			Sold	03/07/11	J	A	
72. EMC CORP					Sold	03/07/11	J	A	
73. EXPRESS SCRIPTS					Sold	03/07/11	J	A	
74. EXPEDITORS INTL WASH INC					Sold	03/07/11	J	A	
75. GOLDMAN SACHS GROUP INC	A	Dividend			Sold	03/07/11	J	A	
76. GOOGLE INC CLASS A					Sold	03/07/11	J	A	
77. GREEN DOT CORP CLASS A					Sold	03/07/11	J		
78. HEWLETT-PACKARD COMPANY					Sold	02/25/11	J	A	
79. ILLUMINA INC					Sold	03/07/11	J	A	
80. INGERSOLL-RAND PLC					Sold	03/07/11	J	A	
81. INTL BUSINESS MACHS CORP	A	Dividend			Sold	03/07/11	J	A	
82. JUNIPER NETWORK INC					Sold	03/07/11	J	B	
83. KRAFT FOODS CLASS A					Sold	01/26/11	J	A	
84. ESTEE LAUDER COS INC CLASS A					Sold	01/26/11	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 \$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 9 of 18

Name of Person Reporting

Rau, Steven E.

Date of Report

03/15/2013

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)
85. NETAP INC					Sold	03/07/11	J	B	
86. MARRIOTT INTL INC	A	Dividend			Sold	03/07/11	J	A	
87. MARVELL TECH GRP INC SHS					Sold	01/05/11	J	A	
88. MASTERCARD INC CLASS A	A	Dividend			Sold	03/07/11	J	A	
89. MCDONALS CORP	A	Dividend			Sold	03/07/11	J	A	
90. MEAD JOHNSON NUTRITION					Sold	03/07/11	J	A	
91. MEDCO HEALTH SOLUTIONS					Sold	03/07/11	J	A	
92. MONSANTO CO	A	Dividend			Sold	03/07/11	J	A	
93. NIKE INC CLASS B	A	Dividend			Sold	03/07/11	J	A	
94. NODO NORDISK A S ADR					Sold	03/07/11	J	A	
95. OCCIDENTAL PETE CORP	A	Dividend			Sold	03/07/11	J	A	
96. ORACLE CORP	A	Dividend			Sold	03/07/11	J	A	
97. PHILLIPS-VAN HEUSEN CORP					Sold	02/25/11	J		
98. POLO RALPH LAUREN CORP					Sold	03/07/11	J	A	
99. PRECISION CASTPARTS CORP	A	Dividend			Sold	03/07/11	J	A	
100. PRICELINE.COM INC					Sold	03/07/11	J	A	
101. QUALCOMM INC	A	Dividend			Sold	03/07/11	J	B	

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	

FINANCIAL DISCLOSURE REPORT

Page 10 of 18

Name of Person Reporting

Rau, Steven E.

Date of Report

03/15/2013

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)
102. RED HAT INC					Sold	03/07/11	J	A	
103. SALESFORCE.COM					Sold	03/07/11	J	B	
104. SCHLUMBERGER LTD	A	Dividend			Sold	03/07/11	J	B	
105. SCHWAB CHARLES CORP	A	Dividend			Sold	03/07/11	J	A	
106. SHIRE PLC					Sold	03/07/11	J	B	
107. STARBUCKS CORP	A	Dividend			Sold	03/07/11	J	A	
108. TARGET CORP					Sold	01/07/11	J	A	
109. TEVA PHARMACEUTICAL ADR	A	Dividend			Sold	03/07/11	J	A	
110. TIFFANY & CO					Sold	03/07/11	J	A	
111. UNILEVER PLC SPONS ADR					Sold	02/03/11	J	A	
112. UNION PACIFIC CORP	A	Dividend			Sold	03/07/11	J	A	
113. UNITED PARCEL SERVICES - CLASS B	A	Dividend			Sold	03/07/11	J	A	
114. UNITED TECHNOLOGIS CORP	A	Dividend			Sold	03/07/11	J	A	
115. URBAN OUTFITTERS INC					Sold	03/07/11	J	A	
116. VMWARE INC CLASS A					Sold	03/07/11	J	B	
117. VERTEX PHARM INC					Sold	03/07/11	J	A	
118. VISA INC CLASS A					Sold	01/20/11	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	

FINANCIAL DISCLOSURE REPORT

Page 11 of 18

Name of Person Reporting

Rau, Steven E.

Date of Report

03/15/2013

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)
119. WHOLE FOODS MKT INC	A	Dividend			Sold	03/07/11	J	A	
120.									
121. MEUERS ASSET ADVISOR									
122. AT&T INC	A	Dividend	J	T					
123. AT&T INC			J	T	Buy (add'l)	04/13/11	J		
124. ABBOTT LABORATORIES	A	Dividend	J	T					
125. ABBOTT LABORATORIES			J	T	Buy (add'l)	04/13/11	J		
126. AMGEN INC	A	Dividend	J	T					
127. BP PLC SPONS ADR	A	Dividend	J	T					
128. BRISTON MYERS SQUIBB	A	Dividend	J	T					
129. BRISTOL MYERS SQUIBB			J	T	Buy (add'l)	04/13/11	J		
130. CATERPILLAR INC	A	Dividend	J	T					
131. CELGEN CORP			J	T					
132. CHEVRON CORPORATION	A	Dividend	J	T					
133. DANAHER CORP	A	Dividend	J	T					
134. MORGAN STANLEY	A	Dividend	K	T					
135. EXXON MOBIL CORP	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

Page 12 of 18

Name of Person Reporting

Rau, Steven E.

Date of Report

03/15/2013

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)
136. FIFTH THIRD CAP VI 7.25%	A	Int./Div.	J	T					
137. GENERAL ELECTRIC COMPANY	A	Dividend	J	T					
138. HEINZ HJ CO COMMON	A	Dividend	J	T					
139. ISHARES MSCI	A	Dividend	J	T					
140. ING GROEP NV 7.375%PFD	A	Interest	J	T					
141. INTEL CORP	A	Dividend	J	T					
142. INTEL CORP			J	T	Buy (add'l)	04/13/11	J		
143. INTERNATIONAL BUSINESS IBM	A	Dividend	J	T					
144. INTERNATIONAL BUSINESS IBM			J	T	Buy (add'l)	04/13/11	J		
145. ISHARES TR MSCI ETF	A	Dividend	K	T					
146. JOHNSON & JOHNSON	A	Dividend	J	T					
147. JOHNSON & JOHNSON			J	T	Buy (add'l)	04/13/11	J		
148. ELI LILLY & CO	A	Dividend	J	T					
149. MAINSTAY FD HIGH YIELD	B	Dividend	K	T					
150. MAINSTAY FD HIGH YIELD			K	T	Buy (add'l)	04/13/11	J		
151. MERCK & CO INC	A	Dividend	J	T					
152. MERCK & CO INC			J	T	Buy (add'l)	04/13/11	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 13 of 18

Name of Person Reporting

Rau, Steven E.

Date of Report

03/15/2013

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)
153. NOVARTIS AG	A	Dividend	J	T					
154. NOVARTIS AG			J	T	Buy (add'l)	04/13/11	J		
155. WELLS FARGO FDS TR WDHYX	B	Dividend	L	T	Buy	02/18/11	L		
156. NUSTAR GP HOLDINGS LLC		None	J	T					
157. OPPENHEIMER DEV MARKETS ODVYX	A	Dividend	K	T					
158. OPPENHEIMER DEV MARKETS ODVYX			K	T	Buy (add'l)	04/13/11	J		
159. JP MORGAN MID CAP VALUE FLMVX	A	Dividend	K	T					
160. PEPSICO INC	A	Dividend	J	T					
161. PLUM CREEK TIMBER CO INC	A	Dividend	J	T					
162. TARGET CORP	A	Dividend	J	T					
163. TARGET CORP			J	T	Buy (add'l)	04/13/11	J		
164. TEMPLETON FUNDS TGBAX	A	Dividend	J	T	Buy	04/13/11	J		
165. 3M	A	Dividend	J	T					
166. TOTAL S A SPONSORED ADR TOT	A	Dividend	J	T					
167. UNITED TECHNOLOGIES CORP	A	Dividend	J	T					
168. VODAFONE GROUP PLC		None	J	T					
169. WELLS FARGO ADVANTAGE SCVIX	A	Dividend	K	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

Page 14 of 18

Name of Person Reporting

Rau, Steven E.

Date of Report

03/15/2013

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)
170. CB RICHARD ELLIS REALTY		None	J	T					
171. CALAMOST GLOBAL DYNAMIC					Sold	10/04/11	J		
172. COHEN & STEERS DIV MAJORS					Sold	10/04/11	J		
173. GABELLI DIVIDEND GDV					Sold	10/04/11	J		
174. GABELLI EQUITY INC FD GABEX					Sold	10/04/11	J	B	
175. KIMBERLY CLARK CORP					Sold	04/25/11	J	A	
176. NICOR INC					Sold	02/18/11	J	B	
177. NUVEEN MULTI-STRAT FD 2					Sold	10/04/11	J		
178. PRFSSNLLY MANAGED INVESTOR WGGFX					Sold	10/04/11	J	A	
179. CITICORP 7.25%					Sold	10/17/11	J		
180. WGL HOLDINGS INC	A	Dividend	J	T	Buy	03/18/11	J		
181. VERIZON COMMUNICATION	A	Dividend	J	T					
182. ZIMMER HOLDINGS	A	Dividend	J	T					
183. LEHMAN BROTHERS HOLDINGS GLOBAL NOTES		Int./Div.	J	T					
184. AMERICAN EXPRESS BANK NOTS	A	Int./Div.	J	T					
185. MERRILL LYNCH & CO MEDIUM TERM NOTES	A	Int./Div.	J	T					
186.									

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	

FINANCIAL DISCLOSURE REPORT

Page 15 of 18

Name of Person Reporting

Rau, Steven E.

Date of Report

03/15/2013

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)
187. MEUERS JOINT ACCOUNT									
188. AFLAC	A	Dividend	J	T	Buy	02/07/11	J		
189. AT&T INC	A	Dividend	J	T	Buy	04/18/11	J		
190. ABB LTD-SPONS ADR ABB		None	J	T	Buy	04/18/11	J		
191. ABBOTT LABORATORIES	A	Dividend	J	T	Buy	04/18/11	J		
192. AMERICAN ELECTRIC POWER	A	Dividend	J	T	Buy	02/07/11	J		
193. BRISTON MYERS SQUIBB	A	Dividend	J	T					
194. CHEVRON CORPORATION	A	Dividend	J	T	Buy	04/19/11	J		
195. HEATH CARE REIT INC HCN	A	Dividend	J	T	Buy	02/07/11	J		
196. HEINZ HJ CO COMMON	A	Distribution	J	T	Buy	04/18/11	J		
197. INTEL CORP	A	Dividend	J	T	Buy	04/18/11	J		
198. INTERNATIONAL BUSINESS IBM	A	Dividend	J	T	Buy	04/19/11	J		
199. JOHNSON & JOHNSON	A	Dividend	J	T	Buy	04/19/11	J		
200. KIMBERLY-CLARK CORP	A	Dividend	J	T	Buy	04/19/11	J		
201. MERCK & CO INC	A	Dividend	J	T	Buy	04/19/11	J		
202. NOVARTIS AG	A	Dividend	J	T	Buy	04/19/11	J		
203. PEPSICO INC	A	Dividend	J	T	Buy	04/19/11	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 16 of 18

Name of Person Reporting

Rau, Steven E.

Date of Report

03/15/2013

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)
204. TARGET CORP	A	Dividend	J	T	Buy	04/19/11	J		
205. TOTAL S.A. SPONS ADR TOT	A	Dividend	J	T					
206. UNITED TECHNOLOGIES CORP	A	Dividend	J	T	Buy	04/19/11	J		
207. WELLS FARGO COMPANY	A	Dividend	K	T					
208. WELLS FARGO COMPANY					Buy (add'l)	03/01/11	J		
209. WELLS FARGO COMPANY					Sold (part)	02/08/11	N	A	
210. WELLS FARGO FDS TR NMTFX	A	Dividend	K	T	Buy	02/14/11	K	A	
211. WGL HOLDINGS INC	A	Dividend	J	T	Buy	04/19/11	J		
212.									
213. Money Market Fund	A	Interest	N	U					
214. USB Capital Preferred	A	Dividend	J	U					
215. Wells Fargo Capital Preferred	B	Dividend	K	U					
216. Alliance Bernstein 529 Growth C		None	M	U					
217. Tiger Building LP Note	C	Interest	K	U					
218. Wells Fargo Corp Stock	A	Dividend	K	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 \$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 17 of 18

Name of Person Reporting

Rau, Steven E.

Date of Report

03/15/2013

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

FINANCIAL DISCLOSURE REPORT

Page 18 of 18

Name of Person Reporting

Rau, Steven E.

Date of Report

03/15/2013

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/ Steven E. Rau**

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