

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

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) Vance, Sarah S.	2. Court or Organization United States District Court	3. Date of Report 06/28/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States District Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2012 to 12/31/2012
7. Chambers or Office Address 500 Poydras Street Room C-255 New Orleans, Louisiana 70130		
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.	Board Member	New Orleans Chapter Federal Bar Association
2.	Board Member	Tulane Law Institute National Advisory Board
3.	Adjunct Faculty	Tulane Law School
4.	Board Member	Tulane Law School -- Dean's Advisory Board
5.	Executor	Estate # 1

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.		
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. 2012	Jones, Walker, Waechter, Poitevent, Carrere & Denegre - income from law practice
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. American Law Institute	February 29 - March 1, 2013	Philadelphia, Pennsylvania	Advisers Meeting	Travel, lodging, meals
2. New Orleans Bar Association	March 23-25, 2013	Biloxi, Mississippi	Speaker	Lodging, meals
3. American Bar Association - Section of Antitrust Law	March 28-29, 2013	Washington, D.C.	Speaker	Travel, lodging, meals
4. American Conference Institute	May 31 - June 1, 2012	New York, New York	Speaker	Travel, lodging, meals
5. American Law Institute	September 12-13, 2012	Philadelphia, Pennsylvania	Advisers Meeting	Travel, lodging, meals

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*

☒ NONE *(No reportable gifts.)*

SOURCE	DESCRIPTION	VALUE
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.)*

CREDITOR	DESCRIPTION	VALUE CODE
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. IRA #1, Merrill Lynch New Orleans (H):									
2. --Merrill Lynch Retirement Reserves / Cash	A	Dividend	J	T					
3. --Putnam International Equity FD CL A (POVSX)	A	Dividend	J	T					
4. ---Columbia Marsico Focused Eq A (NFEAX)	A	Dividend	J	T					
5. --Lord Abbett Global FD EQ SR CL A (LAGEX)	A	Dividend	J	T					
6. --Davis NY Venture FD A (NYVTX)	A	Dividend	J	T					
7.									
8. IRRA #2, Rollover Merrill Lynch (H):									
9. --Merrill Lynch USA Rasp / Cash	A	Dividend	J	T					
10. --Oppenheimer Global Opp FD SBI (OPGIX)	A	Dividend	L	T					
11. --Munder Small Cap Value CL B (MBVSX)	A	Dividend	L	T					
12. --Blackrock Value Opport Fund Inc B (MDSPX)	A	Dividend	K	T					
13. --Massachusetts Investors Growth Stock FD CL A (MIGFX)	A	Dividend	J	T					
14. --ING International Small Cap Multimanager FD CL A (NTKLX)	A	Dividend	K	T					
15. --Blackrock Capital Appreciation FD INC A (MDFGX)	A	Dividend	K	T					See Part VIII.
16. --Gabelli Equity Income FD CL A (GCAEX)	A	Dividend	L	T					
17. --MFS International New Discovery FD CL A (MIDAX)	A	Dividend	K	T					

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	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	J = \$15,000 or less (See Columns C1 and D3)	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes	Q = Appraisal (See Column C2)	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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18. --Oppenheimer Developing Markets FD CL A (ODMAX)	A	Dividend	K	T					
19. --Wells Fargo ADV Premium Large Comp Growth CL A (EKJAX)	A	Dividend	L	T					
20.									
21. IRA #3, Merrill Lynch New Orleans (H):									
22. --Merrill Lynch Retirement Reserves / Cash	A	Dividend	J	T					
23. --ML Bank USA Rasp	A	Dividend	J	T					
24. --Lord Abbett Developing Growth FD CL A (LAGWX)	A	Dividend	J	T					
25. --Davis NY Venture FD A (NYVTX)	A	Dividend	J	T					
26. --Putnam International Equity FD CL A (POVSX)	A	Dividend	J	T					
27. --Columbia Marsico Focused Eq A (NFEAX)	A	Dividend	J	T					
28.									
29. Profit Sharing Retirement Plan - Fidelity Invest. Account(H)									
30. --Ret Gov't (Money Market Fund)	A	Dividend	J	T	Sold (part)	02/17/12	J	A	
31.					Buy	05/17/12	J		
32.					Buy (add'l)	07/19/12	J		
33.					Buy (add'l)	11/21/12	J		
34.					Sold (part)	11/6/12	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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35. --Fidelity Growth Company K	D	Dividend	N	T	Sold (part)	02/27/12	K	A	
36. --Harbor Intl Inst	B	Dividend	M	T	Sold (part)	02/27/12	K	A	
37. --Fidelity Emerging Mkts K	A	Dividend	J	T					
38. --Spartan US Bond Index Fund	E	Dividend	N	T	Buy	02/27/12	K		
39. -- Goldman Sachs Small Cap Value Class A (GSSMX)	E	Dividend	N	T					
40. --Lazard Emerging Mkts Institutional (LZEMX)	D	Dividend	M	T	Buy	02/28/12	J		
41. --Fidelity Cash Reserves (FDRXX)	A	Int./Div.	K	T	Buy	05/18/12	J		
42.					Buy	07/20/12	J		
43.					Buy	11/07/12	J		
44.					Buy	11/22/12	J		
45. --Vanguard INFL	C	Dividend	M	T	Buy	02/27/12	K		
46.					Buy (add'l)	11/06/12	J		
47. --Gabelli Equity Income CL A (GCAEX)	C	Dividend	N	T					
48.									
49. Cash Management Account, Merrill Lynch (H):									
50. --Cash / CMA Money Fund	A	Dividend	J	T					
51. --Eaton Vance Tax Div Inc.	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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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52. --Eaton Vance TX-AD GL Div Global Dividend Inc FD	B	Dividend	J	T					
53. --NFJ Div Int Prem Strat and Premium Strategy FD	A	Dividend	J	T					
54.									
55. Trust, Merrill Lynch (H):									
56. --Cash / CMA Money Fund	A	Interest	J	T					
57. --Columbia Marsico Focused Eq A (NFEAX)	A	Dividend	J	T					
58. --Lord Abbett Developing Growth Fund CL A	A	Dividend	J	T					
59. --Putnam International Equity Fund CL A	A	Dividend	J	T					
60. --Davis NY Venture FD A	A	Dividend	J	T					
61.									
62. IRRA #4, Rollover Merrill Lynch (H):									
63. --Cash	A	Dividend	J	T					
64. --Retirement Reserves CL I	A	Dividend	J	T					
65. --Henderson International	A	Dividend			Sold	04/05/12	K	A	
66. --Columbia Value & Restructuring Fund CL Z (UMBIX)	A	Dividend			Sold	04/05/12	K	A	
67. --Guggenheim Mid Cap Value Fund CL I (SVUIX) (name change)	A	Dividend	K	T	Sold (part)	04/05/12	J	A	
68.					Buy	06/08/12	J		

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69.					Sold (part)	10/04/12	J		
70. --PIMCO Total Return Fund CLP (PTTPX)	A	Dividend			Sold	04/05/12	K	A	
71. --PIMCO Real Return Fund CLP (PRLPX)	A	Dividend	K	T	Buy	04/05/12	J		
72.					Sold (part)	06/08/12	J	A	
73.					Buy (add'l)	10/04/12	J		
74. --Mainstay Large Cap (MLAIX)	A	Dividend	L	T	Buy	04/05/12	J		
75.					Buy (add'l)	06/08/12	J		
76.					Sold (part)	10/04/12	J	A	
77. --Ivy Asset Strategy Fund CL I (IVAEX)	A	Dividend	K	T	Buy	04/05/12	J		
78.					Buy (add'l)	06/08/12	J		
79. --MFS Value FD CL I	B	Dividend	L	T	Sold (part)	04/05/12	J	A	
80.					Buy	06/08/12	J		
81.					Sold (part)	10/04/12	J	A	
82. --Oppenheimer Gold and Special Minerals Fund (OGMYX)	A	Dividend	K	T	Buy	04/05/12	J		
83.					Sold (part)	10/04/12	J	A	
84. --Allianz NFJ Dividend Value FDCL P (ADJPX)	B	Dividend	K	T	Buy	04/05/12	J		
85.					Buy (add'l)	06/08/12	J		

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86.					Sold (part)	10/04/12	J	A	
87.	A	Dividend			Sold	04/05/12	K	A	
88.	B	Dividend	L	T	Sold (part)	04/05/12	K	A	
89.					Buy	06/08/12	J		
90.					Sold (part)	10/04/12	J	A	
91.	B	Dividend	L	T	Buy	04/05/12	J		
92.					Sold (part)	06/08/12	J		
93.					Buy (add'l)	10/04/12	J		
94.	A	Dividend	K	T	Buy	06/08/12	J		
95.					Sold (part)	10/04/12	J	A	
96.	A	Dividend	L		Buy	04/05/12	K		
97.					Sold (part)	06/08/12	J		
98.					Buy (add'l)	10/04/12	K		
99.	A	Dividend	K		Buy	04/05/12	K		
100.					Sold (part)	06/08/12	J		
101.	B	Dividend	L		Buy	04/05/12	L		
102.					Sold (part)	06/08/12	J		

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103.					Sold (part)	10/04/12	J		
104.									
105. Checking and Money Market Accounts, J.P. Morgan	B	Interest	K	T					
106.									
107. Judicial & Justice Federal Credit Union	A	Interest	J	T					
108.									
109. Estate #1 (X)	E	Int./Div.	P1	T					
110. --Real Estate: Donaldsonville, Louisiana									
111. --Hancock HLDG Co (HBHC)									
112. --Columbia Tax-Exempt A (COLTX)									
113. --EV National Income A (EANAX)									
114. --INVESCO Muni Income A (VKMMX)									
115. --EV Large Cap Value I (EILVX)									
116. --Harbor International Int (HIINX)									
117. --Henderson Intl Opport I (HFOIX)									
118. --Ivy Global Natural Resources I (IGNIX)									
119. --Janus Forty I (JCAPX)									

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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. --Lazard Emerging Markets I (LZEMX)									
121. --Mainstay Large Cap Grw I (MLAIX)									
122. --MFS Value I (MEIIX)									
123. --Morgan Stanley Money Market Account									
124. --Whitney Bank Account									
125. --Capital One Bank Accounts									

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

Vance, Sarah S.

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

VII. Investments and Trusts

The 2011 Annual Report incorrectly listed two assets that had been consolidated: line 11 Blackrock Capital Apprecaition FD INC B was consolidated into line 21 Blackrock Capital Appreciation FD INC A. The correct reporting of the consolidated asset should have included only line 21 Blackrock Capital Appreciation FD INC A, and line 11 should have been omitted. Line 15 Blackrock Capital Appreciation FD INC A (MDFGX) of the 2012 Annual Report correctly reflects the consolidated fund.

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Vance, Sarah S.

Date of Report

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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/ Sarah S. Vance

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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