

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) STRAUB, CHESTER J.	2. Court or Organization U.S. COURT OF APPEALS, 2ND CIR	3. Date of Report 5/09/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) CIRCUIT JUDGE - SENIOR 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 UNITED STATES COURTHOUSE 500 PEARL STREET NEW YORK, NY 10007		
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.)

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.	

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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.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 2013	NYS RETIREMENT SYSTEM (RETIREMENT BENEFIT)	\$6,470.00
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.)*

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.				

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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.

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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. **FIDELITY INVESTMENTS**									
2. BERKSHIRE HATHAWAY INC. CLASS B		None	M	T					
3. HEWLETT PACKARD COMMON	B	Dividend	M	T					
4. ENZO BIOCHEM INC COMMON		None	J	T					
5. HEALTH CARE PPTY INVS INC COMMON	C	Dividend	L	T					
6. GREAT PLAINS ENERGY - KANSAS CITY POWER & LIGHT COMMON	A	Dividend	K	T					
7. IBM COMMON	D	Dividend	N	T					
8. GENERAL ELECTRIC COMMON	A	Dividend	J	T					
9. LOCKEED MARTIN COMMON	A	Dividend	K	T					
10. EXXON COMMON	A	Dividend	K	T					
11. COMMONWEALTH REIT COMMON (FORMERLY HRPT PROPERTIES TRUST)	A	Dividend	J	T					
12. COHEN & STEERS REALTY SHARES	B	Dividend	K	T	Buy (add'l)	03/28/13	J		
13.					Buy (add'l)	06/28/13	J		
14.					Buy (add'l)	09/30/13	J		
15.					Buy (add'l)	12/12/13	J		
16. FIDELITY MUNICIPAL MONEY MARKET	A	Interest	N	T					

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 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. NEW YORK NY GO BDS SUBERIES 5% BOND	C	Interest	M	T					
18. METROPOLITAN TRANSN AUTH NY 5.5% BOND	C	Interest	L	T					
19. FORTESCUE METALS GROUP LTD COMMON	A	Dividend	J	T					
20. GOLDMAN SACHS GROUP INC COMMON	A	Dividend	L	T					
21. WALMART STORES INC COMMON	A	Dividend	K	T					
22. FIDELITY MUNI MM	A	Interest	N	T					
23. TEMPLETON GLOBAL BOND ADVISOR FUND	B	Dividend			Buy (add'l)	01/17/13	J		
24.					Buy (add'l)	02/20/13	J		
25.					Buy (add'l)	03/19/13	J		
26.					Buy (add'l)	04/17/13	J		
27.					Buy (add'l)	05/17/13	J		
28.					Buy (add'l)	06/19/13	J		
29.					Buy (add'l)	07/17/13	J		
30.					Buy (add'l)	08/19/13	J		
31.					Buy (add'l)	09/18/13	J		
32.					Sold	09/25/13	L	A	
33. SPDR S&P MIDCAP 400 ETF FUND	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	

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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)

34. FIDELITY CONTRAFUND	C	Dividend	K	T	Buy (add'l)	02/08/13	J		
35.					Buy (add'l)	12/13/13	J		
36. FIDELITY LOW PRICED STOCK FUND	D	Dividend	M	T	Buy (add'l)	09/06/13	J		
37.					Buy (add'l)	12/13/13	J		
38. BARRON GROWTH FUND INSTL CLASS	B	Dividend	L	T	Buy (add'l)	07/09/13	J		
39.					Buy (add'l)	11/26/13	J		
40. BLACKROCK EQUITY DIV FUND	B	Dividend	M	T	Buy (add'l)	04/18/13	J		
41.					Buy (add'l)	07/19/13	J		
42.					Buy (add'l)	10/18/13	J		
43.					Buy (add'l)	12/16/13	J		
44. ROYCE TOTAL RETURN FUND	C	Dividend	L	T	Buy (add'l)	03/07/13	J		
45.					Buy (add'l)	06/06/13	J		
46.					Buy (add'l)	09/05/13	J		
47.					Buy (add'l)	12/05/13	J		
48. TWEEDY BROWNE GLOBAL VALUE FUND	B	Dividend	K	T	Buy (add'l)	12/27/13	J		
49. VANGUARD LIMITED TERM TAX EXEMPT ADMIRAL FUND	B	Interest	J	T	Buy (add'l)	01/31/13	J		
50.					Buy (add'l)	02/28/13	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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☐ 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.					Buy (add'l)	03/28/13	J		
52.					Buy (add'l)	04/30/13	J		
53.					Buy (add'l)	05/31/13	J		
54.					Buy (add'l)	06/28/13	J		
55.					Buy (add'l)	07/31/13	J		
56.					Sold (part)	08/19/13	M	A	
57.					Buy (add'l)	08/30/13	J		
58.					Buy (add'l)	09/30/13	J		
59.					Buy (add'l)	10/31/13	J		
60.					Buy (add'l)	11/29/13	J		
61.					Buy (add'l)	12/31/13	J		
62. BBH CORE SELECT FUND	B	Dividend	L	T	Buy (add'l)	12/13/13	J		
63. **CITIBANK ACCOUNTS**									
64. CHECKING		None	K	T					
65. **FIDELITY IRA ROLLOVER**									
66. MARSH & MCLENNAN COMMON	A	Dividend	K	T					
67. FIDELITY CASH RESERVES	A	Interest	O	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
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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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68. S&P MID CAP 400 DEP RCPTS MID CAP SPDRS	B	Dividend	M	T					
69. TWEEDY BROWNE GLOBAL VALUE FUND	D	Dividend	M	T	Buy (add'l)	12/27/13	J		
70. BARON GROWTH FUND	B	Dividend	K	T	Buy (add'l)	07/09/13	J		
71.					Buy (add'l)	11/26/13	J		
72. BLACKROCK GLOBAL ALLOC FUND	E	Dividend	O	T	Sold (part)	01/22/13	M	B	
73.					Buy (add'l)	07/19/13	J		
74.					Buy (add'l)	12/18/13	K		
75. ROYCE TOTAL RETURN FUND	D	Dividend	L	T	Buy (add'l)	03/07/13	J		
76.					Buy (add'l)	06/06/13	J		
77.					Buy (add'l)	09/05/13	J		
78.					Buy (add'l)	12/05/13	J		
79. GOOGLE COMMON		None	L	T					
80. FIDELITY CONTRAFUND	D	Dividend	M	T	Buy (add'l)	02/08/13	J		
81.					Sold (part)	03/20/13	J	A	
82.					Buy (add'l)	12/13/13	J		
83. IVY ASSET STRATEGY FUND	C	Dividend	O	T	Sold (part)	01/22/13	M	E	
84.					Buy (add'l)	12/12/13	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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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85. TEMPLETON GLOBAL BOND ADVISOR FUND	D	Dividend			Buy (add'l)	01/17/13	J		
86.					Buy (add'l)	01/22/13	M		
87.					Buy (add'l)	02/20/13	J		
88.					Buy (add'l)	03/19/13	J		
89.					Buy (add'l)	04/17/13	J		
90.					Buy (add'l)	05/17/13	J		
91.					Buy (add'l)	06/19/13	J		
92.					Buy (add'l)	07/17/13	J		
93.					Buy (add'l)	08/19/13	J		
94.					Buy (add'l)	09/18/13	J		
95.					Sold	09/25/13	N	A	
96. BERKSHIRE HATHAWAY INC COMMON		None	M	T					
97. INTEL CORP COMMON	A	Dividend	K	T					
98. JP MORGAN CHASE & CO COMMON	C	Dividend	M	T					
99. MATTHEW'S CHINA FUND	C	Dividend	K	T	Buy (add'l)	12/12/13	J		
100. PIMCO TOTAL RETURN INSTL FUND	D	Dividend			Buy (add'l)	01/22/13	M		
101.					Buy (add'l)	01/31/13	J		

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102.					Buy (add'l)	02/28/13	J		
103.					Buy (add'l)	03/28/13	J		
104.					Buy (add'l)	04/30/13	J		
105.					Buy (add'l)	05/31/13	J		
106.					Sold	06/13/13	N	A	
107. MORGAN STANLEY GLOBAL LONG/ SHORT FUND	E	Dividend	N	T	Buy (add'l)	12/20/13	K		
108. APPLE INC COMMON	B	Dividend	L	T					
109. BANK OF AMERICA COMMON	A	Dividend	K	T					
110. CANON INC ADR	A	Dividend	J	T					
111. COMPAGNIE FINANCIERE RICHEMONT ADR	A	Dividend	J	T					
112. WALT DISNEY CO COMMON		None	J	T					
113. SCHLUMBERGER LIMITED COMMON	A	Dividend	J	T					
114. SIEMENS AG ADR	A	Dividend	J	T					
115. BLACKROCK EQUITY DIVIDEND FUND	B	Dividend	M	T	Buy (add'l)	04/18/13	J		
116.					Buy (add'l)	07/19/13	J		
117.					Buy (add'l)	10/18/13	J		
118.					Buy (add'l)	12/16/13	J		

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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)
119. NOVO NORDISK ADR COMMON	A	Dividend	K	T					
120. HERZFELD CARIBBEAN BASIN FUND INC		None	K	T					
121. BBH CORE SELECT FUND CL N	C	Dividend	M	T	Buy (add'l)	12/13/13	J		
122. JPMORGAN LARGE CAP GROWTH SELECT FUND		None			Buy (add'l)	01/02/13	J		
123.					Sold	03/11/13	M	E	
124. CEMPRA INC COMMON		None	J	T	Buy	12/04/13	J		
125. SPDR S&P 500 ETF TRUST	C	Dividend	M	T	Buy	03/11/13	M		
126. FIDELITY SPARTAN TOTAL MKT INDEX FD	C	Dividend	N	T	Buy	06/13/13	N		
127.					Buy (add'l)	12/13/13	J		
128. **FIDELITY IRA**									
129. FIDELITY CASH RESERVES		None	J	T					
130. FIDELITY CONTRAFUND	A	Dividend	J	T	Buy (add'l)	02/08/13	J		
131.					Buy (add'l)	12/13/13	J		
132. **FIDELITY IRA**									
133. FIDELITY CASH RESERVES	A	Interest	J	T					
134. TWEEDY BROWNE GLOBAL VALUE FUND	B	Dividend	K	T	Buy (add'l)	12/27/13	J		
135. BARON GROWTH FUND	A	Dividend	K	T	Buy (add'l)	07/09/13	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 \$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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Name of Person Reporting

STRAUB, CHESTER J.

Date of Report

5/09/2014

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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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)
136.					Buy (add'l)	11/26/13	J		
137. FIDELITY CONTRAFUND	A	Dividend	J	T	Buy (add'l)	12/13/13	J		
138. BANK OF AMERICA CORP COMMON	A	Dividend	L	T					
139. **MORGAN STANLEY SB IRA**									
140. MILWAUKEE WIS PROM NTS 4.1%	A	Interest			Redeemed	07/23/13	K	A	
141. TIMPANOGOS SPL SVC DIST UTAH 4.69%	A	Interest			Redeemed	07/23/13	K	B	
142. FLORIDA ST BRD ED LOTTERY REV 4.941%	B	Interest			Redeemed	07/23/13	K	B	
143. VERMONT ST SER A-2 4.0%	A	Interest			Redeemed	08/28/13	K	B	
144. BRAZORIA CNTY TEX SER B 4.594%	A	Interest			Redeemed	07/23/13	K	B	
145. HAMILTON MICH CMNTY SCHS DIST 5.0%	A	Interest			Redeemed	08/28/13	K	A	
146. WISCONSIN ST CLEAN WTR REV SER 4.391%	A	Interest			Redeemed	07/23/13	K	B	
147. NEW YORK ST ENVIRONMENTAL FACS 4.469%	A	Interest			Redeemed	07/23/13	K	B	
148. SAN LUIS OBISPO CNTY CALIF 7.45%	B	Interest			Redeemed	07/23/13	K	B	
149. OHIO STATE 5.331%	A	Interest			Redeemed	03/08/13	K	D	
150. NEW YORK NY FOR PRIOR ISSUES BOND 4.899%	A	Interest			Redeemed	07/23/13	K	B	
151. TACOMA WASH TAXABLE 4.241%	A	Interest			Redeemed	08/28/13	J	A	
152. IOWA FIN AUTH REV 3.93%	A	Interest			Redeemed	07/23/13	J	A	

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153. TRIBOROUGH BRIDGE & TUNNEL AUTHORITY NY BOND 5.15%	B	Interest			Redeemed	08/28/13	K	A	
154. MORGAN STANLEY LIQUID ASSET MM FUND	A	Interest			Closed	09/16/13	N		
155. DISTRICT OF COLUMBIA INC TAX REV BLD BOND	A	Interest			Buy	03/21/13	K		
156.					Redeemed	07/23/13	K	A	
157. **MORGAN STANLEY**									
158. MORGAN STANLEY US GOVT MM TRUST	A	Interest	J	T					
159. SOUTH CAROLINA ST PUB AUTH 4.0%	A	Interest	K	T					
160. CHATTANOOGA TENN ELEC REV 5.0%	A	Interest	K	T					
161. NEW YORK NY SER A-1 5.0%	A	Interest	K	T					
162. HUNTSVILLE ALA RFDG & CAP SER A 4.0%	A	Interest	K	T					
163. NORTH TEX MUN WTR DIST TEX 5.0%	A	Interest			Redeemed	07/16/13	K	A	
164. JEA FLA WTR & SWR SYS REV SER A 5.0%	A	Interest			Redeemed	07/16/13	K	A	
165. MIAMI-DADE CNTY FLA TRAN SYS SER A 5.0%	A	Interest	K	T					
166. FORT BEND TEX FLOOD CTL WTR SUPPLY 4.0%	A	Interest			Redeemed	07/18/13	K	A	
167. COLUMBIA CNTY GA WTR & SEW REV 5.0%	A	Interest			Redeemed	07/11/13	K	A	
168. SCOTTSDALE ARIZ MUN PPTY CORP 5.0%	B	Interest			Redeemed	07/11/13	K	A	
169. CALIFORNIA ST DEPT WTR RES PWR SER L 5.0%	A	Interest	K	T					

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	(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. PENNSYLVANIA ST HIGHER EDL 5%	B	Interest			Redeemed	07/11/13	K	B	
171. SEATTLE WASH MUN LT & PWR 5%	B	Interest			Redeemed	07/11/13	L	B	
172. NY ST DORM AUTH ST PERS 5%	B	Interest	K	T					
173. NY ST ENVIRONMENTAL FACS CORP 4%	A	Interest			Redeemed	07/11/13	K	B	
174. FLORIDA ST BRD ED CAP 5%	A	Interest			Redeemed	07/10/13	K	B	
175. OREGON ST DEPT ADMINISTRATIVE SERVICES 5%	B	Interest	K	T					
176. IOWA ST SPL OBLIG SER A 5%	B	Interest			Redeemed	08/14/13	L	B	
177. LUBBOCK TEX OBLIG WATERWORKS 5%	B	Interest	K	T					
178. PALM BEACH COUNTY FLA PUB BOND	A	Interest			Redeemed	07/18/13	K	A	
179. SEATTLE WASHINGTON MUN LT & PWR REV BOND		None	K	T	Buy	08/22/13	K		
180. GEORGIA ST GENL OBLIG BOND		None	K	T	Buy	11/01/13	K		

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

PART VII LINE 22 - CORRECTED SPELLING OF MONEY MARKET FUND

PART VII LINE 110 - CORRECTED SPELLING OF INVESTMENT

PART VII LINE 138 - ALL ASSETS IN THIS MORGAN STANLEY IRA ACCOUNT WERE SOLD AND THE BALANCE OF THE CASH IN THE MORGAN STANLEY LIQUID ASSET MONEY MARKET FUND WAS TRANSFERRED TO AN EXISTING FIDELITY IRA ACCOUNT.

PART VII LINE 157 - NAME CHANGE OF INVESTMENT FIRM

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STRAUB, CHESTER J.

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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/ CHESTER J. STRAUB**

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