

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) Rau, Steven E.	2. Court or Organization US District Court - District Court of Minnesota	3. Date of Report 07/31/2013
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 01/01/2012 to 12/31/2012
7. Chambers or Office Address 316 North Robert St 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.		

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 12

Name of Person Reporting

Rau, Steven E.

Date of Report

07/31/2013

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 12

Name of Person Reporting

Rau, Steven E.

Date of Report

07/31/2013

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 12

Name of Person Reporting

Rau, Steven E.

Date of Report

07/31/2013

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 - [REDACTED]									
2. AT&T Inc	A	Dividend	J	T					
3. Apple, Inc.	A	Distribution	J	T					
4. Eagle Capital Appreciation Class C		None	J	T					
5.									
6. UGMA - [REDACTED]									
7. Alliance Bernstein Core Opportunities Fund Class C ADGCX		None	J	T					
8. Eagle Capital Appreciation Class C		None	J	T					
9.									
10. Victoria									
11. Apple, Inc.	A	Dividend	J	T					
12. Best Buy	A	Dividend	J	T					
13. Pepsico, Inc.	A	Dividend	J	T					
14. Starbucks Corp	A	Dividend	J	T					
15.									
16. IRA - [REDACTED]									
17. Berkshire Hathaway		None	J	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		

FINANCIAL DISCLOSURE REPORT

Page 5 of 12

Name of Person Reporting

Rau, Steven E.

Date of Report

07/31/2013

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)

18. Bristol Myers Squibb	A	Dividend	J	T					
19. Celgene Corp	A	Dividend	J	T	Buy	03/22/12	J		
20. Celgene Corp					Buy (add'l)	07/10/12	J		
21. Credit Suisse		None			Sold	09/24/12	J	A	
22. Health Care Reit, Inc. HCN	A	Dividend	J	T					
23. Ishares S&P Midcap-IJK	A	Dividend	J	T					
24. Ishares Tr-Russell-IWM	A	Dividend	J	T					
25. Kinder Morgan Mgmt LLC-KMR		None	J	T	Buy	03/22/12	J		
26. Mainstay High Yield Fund-MHUIX	A	Dividend	J	T					
27. Nustar GP Holdings LLC	A	Dividend	J	T	Buy	03/22/12	J		
28. Nustar GP Holding LLC					Buy (add'l)	07/10/12	J		
29. Oppenheimer Dev Markets Class Y- ODVYX	A	Dividend	K	T	Buy	03/22/12	J		
30. Penn West Petroleum LTD	A	Dividend	J	T	Buy	03/22/12	J		
31. Penn West Petroleum LTD					Buy (add'l)	07/10/12	J		
32. Plum Creek Timber Co Inc	A	Dividend	J	T	Buy	07/10/12	J		
33. Powershares DB ETF Commodity Index Tracking Fund		None	J	T					
34. Templeton Funds Income Tr Glb Bd Advisor	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 6 of 12

Name of Person Reporting

Rau, Steven E.

Date of Report

07/31/2013

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)

35. Wells Fargo Fund Tr Short Term High Yield	D	Dividend	M	T					
36.									
37. - IRA									
38. Abbott Laboratories	A	Dividend	J	T					
39. Amgen Inc.	A	Dividend	J	T					
40. AT&T Inc.	A	Dividend	J	T					
41. BP PLC Spons ADR	A	Dividend			Sold	09/24/12	J	A	
42. Bristol Meyers Squibb	A	Dividend	J	T					
43. Caterpillar Inc	A	Dividend			Sold	09/24/12	J	B	
44. Celgene Corp		None	J	T	Buy (add'l)	03/22/12	J	B	
45. Chevron Corporation	A	Dividend	J	T					
46. Danaher Corp	A	Dividend	J	T					
47. Morgan Stanley	A	Dividend	K	T					
48. Exxon Mobil Corp	A	Dividend	J	T					
49. Fifth Third Cap VI 7.25%	A	Int./Div.			Redeemed	08/08/12	J	A	
50. General Electric Company	A	Dividend	J	T					
51. Heinz HJ Co Common	A	Dividend	K	T	Buy (add'l)	03/22/12	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 7 of 12

Name of Person Reporting

Rau, Steven E.

Date of Report

07/31/2013

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)

52. Intel Corp	A	Dividend	J	T					
53. International Business Machine Corp	A	Dividend	J	T					
54. Ishares Tr MSCI ETF	A	Dividend	K	T	Buy (add'l)	03/22/12	J		
55. Ishares tr MSCI ETF					Sold (part)	09/24/12	J		
56. Ishares MSCI (Australia Index) (On 2011 report at line 139)	A	Dividend			Sold	09/24/12	J		
57. Johnson & Johnson	A	Dividend	K	T	Buy (add'l)	03/22/12	J		
58. Kinder Morgan	A	Dividend	K	T	Buy	03/22/12	J		
59. Eli Lilly & Co	A	Dividend	J	T					
60. Merck & Co Inc.	A	Dividend	J	T	Buy (add'l)	03/22/12	J		
61. Merck & Co Inc.					Sold (part)	09/24/12	J		
62. Mainstay Fd High Yield	B	Dividend	K	T	Buy (add'l)	03/22/12	J		
63. Microsoft Corp	A	Dividend	J	T	Buy	09/24/12	J		
64. Novartis AG	A	Dividend	J	T					
65. Nustar GP Holdings LLC	A	Dividend	J	T	Buy (add'l)	03/22/12	J		
66. Oppenheimer Dev Markets-ODVYX	A	Dividend	K	T	Buy (add'l)	03/22/12	J		
67. Penn West Petroleum LTD	A	Dividend	J	T	Buy	03/22/12	J		
68. Pepsico 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	
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 12

Name of Person Reporting

Rau, Steven E.

Date of Report

07/31/2013

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)
69. Plum Creek Timber Co Inc	A	Dividend	J	T					
70. Target Corp	A	Dividend	J	T					
71. Templeton Funds - TGBAX	A	Dividend	J	T					
72. 3M	A	Dividend	J	T					
73. Total S A Sponsored ADR TOT	A	Dividend	J	T	Buy (add'l)	03/22/12	J		
74. United Technologies Corp	A	Dividend	J	T					
75. Vodafone Group Plc	A	Dividend	J	T	Buy (add'l)	03/22/12	J		
76. Welss Fargo Fds Tr-WDHYX	B	Dividend	L	T	Buy (add'l)	03/22/12	J		
77. Wells Fargo Advantage-SCVIX	A	Dividend	K	T	Sold (part)	03/22/12	J	B	
78. WGL Holdings Inc-WGL	A	Dividend	J	T					
79. Verizon Communications	A	Dividend			Sold	03/22/12	J		
80. Zimmer Holdings Inc.	A	Dividend	J	T					
81. Chambers Street Properties (formerly CB Richard Ellis)		None	J	T					
82. Lehman Brothers Holdings Global Nots		Int./Div.	J	T					
83. American Express Bank Notes	A	Int./Div.			Redeemed	10/17/12	J	A	
84. Merrill Lynch & Co Medium Term Notes	A	Int./Div.	J	T					
85. ING Group NV 7.375% Pfd	A	Int./Div.	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	
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 12

Name of Person Reporting

Rau, Steven E.

Date of Report

07/31/2013

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)
86. JP Morgan Mid Cap Value-FLMVX	A	Dividend			Sold	03/22/12	J	C	
87. USB Capital Preferred	A	Dividend			Redeemed	5/18/12	J	A	
88. Wells Fargo Capital Preferred (7.875%)	B	Dividend	K	T					
89.									
90. Alliance Bernstein 529 Growth C		None	M	T					
91. Tiger Building LP Note	C	Int./Div.	K	U					
92.									
93. Account									
94. Abbott Laboratories -ABT	A	Dividend	J	T	Sold (part)	07/10/12	J	A	
95. Aflac Inc-AFL	A	Dividend	J	T					
96. American Electric Power Inc-AEP	A	Dividend	J	T					
97. AT&T-Inc-T	A	Dividend	J	T					
98. Bristol Myers Squibb-BMY	A	Dividend	J	T	Sold (part)	07/10/12	J	A	
99. Chevron Corporation-CVX	A	Dividend	J	T					
100. Health Care Reit, Inc -HCN	A	Dividend	J	T					
101. Heinz HJ Co Common-HNZ	A	Dividend	J	T					
102. Intel Corp-INTC	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	
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 12

Name of Person Reporting

Rau, Steven E.

Date of Report

07/31/2013

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)
103. International Business Maching Corp-IBM	A	Dividend	J	T					
104. Johnson & Johnson-JNJ	A	Dividend	J	T					
105. Kimberly Clark Corp - KMB	A	Dividend	J	T					
106. Merck & Co Inc -MRK	A	Dividend	J	T					
107. Novartis AG Spon ADR-NVS	A	Dividend	J	T					
108. Pepsico Inc-PEP	A	Dividend	J	T					
109. Target Corp-TGT	A	Dividend	J	T					
110. Total S.A. Spons ADR-TOT	A	Dividend	J	T	Buy (add'l)	07/10/12	J		
111. United Techonologies Corp-UTX	A	Dividend	J	T					
112. Wells Fargo Company-WFC	B	Dividend	K	T					
113. WGL Holdings Inc-WGL	A	Dividend	J	T					
114. Wells Fargo FDS TR-NMTFX	C	Dividend	M	T	Buy (add'l)	4/18/212	J		
115. ABB LTD-Spojis ADR-ABB		None			Sold	7/10/12	J	A	
116. Wells Fargo Money Market Fund	A	Int./Div.	M	T					
117. Wells Fargo Corp Stock	A	Dividend	K	T					
118.									

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 12

Name of Person Reporting

Rau, Steven E.

Date of Report

07/31/2013

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

FINANCIAL DISCLOSURE REPORT

Page 12 of 12

Name of Person Reporting

Rau, Steven E.

Date of Report

07/31/2013

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