

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) CAUTHRON, ROBIN J.	2. Court or Organization WESTERN DISTRICT OF OKLAHOMA	3. Date of Report 05/15/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U. S. DISTRICT JUDGE (ACTIVE)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2011 to 12/31/2011
7. Chambers or Office Address 4001 U.S. COURTHOUSE 200 N.W. 4TH STREET OKLAHOMA CITY, OK 73102		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information. Insert signature on last page.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Board of Directors	Oklahoma Special Olympics
2.	
3.	
4.	
5.	

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.	
2.	
3.	

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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. 2011	Self-employed lawyer
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. Tampa Bay Chapter of the Federal Bar Assn	5/4-8/2011	Orlando, FL	Presenter at 20th Annual National Federal Sentencing Guidelines Seminar	Transportation, lodging, food
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. Allegiance Credit Union Oklahoma City, OK	A	Interest	K	T					
2. Legg Mason Partners: Appreciation Fund (mutual fund)	A	Dividend	J	T					
3. John Powell, Ltd. Partnership Tulsa County, OK real est.		None	K	R					See VIII, Explanations
4. Winston Oil Co. 1981-1982 Ltd. Partnership, Marion, OH		None	J	W					
5. Dage Oil Co., Ltd. Partnership Oklahoma City, OK		None	J	W					
6. Mineral interest in Woods County, OK	A	Royalty	J	W					
7. Persuasive Strategies, LLC	A	Interest	K	T					
8. BROKERAGE ACCOUNT #1									
9. -American Fund: American Balanced Fund C (mutual fund)	A	Dividend	J	T					
10. -American Fund: Capital Income Builder Fund (mutual fund)	A	Dividend	J	T					
11. -Amer. Fund: Capital World Growth & Income Fund C (mut fund)	A	Dividend	J	T					
12. -Income Fund of America C (mutual fund)	A	Dividend	J	T					
13. -Chesapeake Energy Corp (common stock)	A	Dividend	J	T					
14. -Superior Energy Services, Inc. (common stock)	A	Dividend	J	T					
15. -Janus Forty Fund	A	Dividend	J	T					
16. -Mainstay Lg Cap Growth Fund	A	Dividend	J	T					
17. -Blackrock Eq Dividend Fd	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
H=\$1,000,001 - \$5,000,000

D=\$5,001 - \$15,000

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)
18. -Seligman Lg Cap Value Fd	A	Dividend	J	T					
19. -Alger Small Cap Growth Fd	A	Dividend	J	T					
20. -TCW Small Cap Growth Fd	A	Dividend	J	T					
21. -Perkins Small Cap Value	A	Dividend	J	T					
22. -Royce Premier Fund	A	Dividend	J	T					
23. -AIM Developing Mkts Fd	A	Dividend	J	T					
24. -Lazard Emerging Markets	A	Dividend	J	T					
25. -Henderson Int'l Opp Fund	A	Dividend	J	T					
26. -Nuveen Trwds Int'l Val Fd	A	Dividend	J	T					
27. -Thornburg Int'l Value Fd	A	Dividend	J	T					
28. New York Life Ins. (whole life)	A	Interest	K	T					
29. IRA ACCOUNT #1									
30. -Continental Resources Inc. (common stock)	A	Dividend			Sold	07/12/11	K	D	
31. -General Electric Co.	A	Dividend			Sold	07/12/11	K	D	
32. -China Green Agriculture (common)		None			Sold	09/27/11	J	A	
33. -Microsoft (common)	A	Dividend	K	T	Buy (add'l)	05/10/11	J		
34. -Walmart (common)	A	Dividend	J	T					

1. Income Gain Codes:
(See Columns B1 and D4)

A = \$1,000 or less
F = \$50,001 - \$100,000

G = \$100,001 - \$1,000,000
K = \$15,001 - \$50,000

L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000

P2 = \$5,000,001 - \$25,000,000
T = Cash Market

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

O = \$500,001 - \$1,000,000
R = Cost (Real Estate Only)
V = Other

S = Assessment
W = Estimated
U = Book Value

3. Value Method Codes
(See Column C2)

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35. -Yongye International (common)		None			Sold	09/27/11	J	A	
36. -Omega Protein		None	J	T	Buy	12/22/11	J		
37. -Telekomunikasi	A	Dividend			Buy	01/14/11	J		
38.					Sold	09/27/11	J	A	
39. -Activision Blizzard	A	Dividend	J	T	Buy	02/11/11	J		
40. -Devon	A	Dividend			Buy	08/09/11	K		
41.			L	T	Buy (add'l)	09/26/11	K		
42. -Energysolutions		None	J	T	Buy	09/27/11	J		
43. Stock Exchange Bank, Woodward, OK	A	Interest	K	T					
44. BROKERAGE ACCT #2									
45. -Berkshire Hathaway A	A	Dividend	L	T					
46. -Langston University bonds	C	Interest	L	T					
47. -Sandridge Energy Co. (common)	A	Dividend	J	T	Sold (part)	07/12/11	J	A	
48.					Sold (part)	08/08/11	J	A	
49. - Microsoft (common)	A		J	T					
50. -Walmart (common)	A		J	T	Buy (add'l)	03/09/11	J		
51. -Ampco Pittsburg		None	J	T	Buy	11/30/11	J		

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(See Columns B1 and D4)

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2. Value Codes
(See Columns C1 and D3)

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R=Cost (Real Estate Only)
V=Other

C=\$2,501 - \$5,000
H1=\$1,000,001 - \$5,000,000

L=\$50,001 - \$100,000
P1=\$1,000,001 - \$5,000,000
P4=More than \$50,000,000

S=Assessment
W=Estimated

D=\$5,001 - \$15,000

I12=More than \$5,000,000

M=\$100,001 - \$250,000
P2=\$5,000,001 - \$25,000,000

T=Cash Market

E=\$15,001 - \$50,000

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
52. -Horsehead Holding		None	J	T	Buy	12/09/11	J		

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

PART VII. Investments and Trusts

Line 3 - John Powell Limited Partnership was purchased in 1973 for \$26,000.

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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/ ROBIN J. CAUTHRON**

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