

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2009

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) Yeakel III, Earl L.	2. Court or Organization District Court, W.D. Texas	3. Date of Report 05/17/2010
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 01/01/2009 to 12/31/2009
7. Chambers or Office Address United States Courthouse 200 West 8th Street Austin, Texas 78701	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	

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. Sign 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. Trustee & Vice Chairman	Theodore Roosevelt Association
2. Trustee & Vice Chairman	Austin Rotary Club Foundation
3. Member	University of Texas Longhorn Foundation Advisory Council
4. Member	Texas Commission on Uniform State Laws
5. Member	National Conference of Commissioners on Uniform State Laws
6. Member	Board of Advisors, Austin Lawyers Chapter, The Federalist Society
7. Executive Committee Member	Robert W. Calvert Chapter, American Inns of Court

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	

2009 MAY 17 PM 12:03
 DISTRICT COURT
 W.D. TEXAS

FINANCIAL DISCLOSURE REPORT
Page 2 of 9

Name of Person Reporting

Yeakel III, Earl L.

Date of Report

05/13/2010

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. 2009	State Bar of Texas - Salary
2. 2009	Employees Retirement System of Texas - Retirement
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	National Conference of Commissioners on Uniform State Laws	January 28-31, 2009	New Orleans, Louisiana	Committee on Style	Transportation, Meals, & Lodging
2	National Conference of Commissioners on Uniform State Laws	April 29-May 3, 2009	Chicago, Illinois	Committee on Style	Transportation, Meals, & Lodging
3.	State Bar of Texas	May 15, 2009	Dallas, Texas	Federal Court Practice Seminar	Transportation
4.	State Bar of Texas	July 22-25, 2009	Incline Village, Nevada	5th Annual Advanced Patent Litigation Course	Transportation, Meals, & Lodging
5	National Conference of Commissioners on Uniform State Laws	September 9-13, 2009	Chicago, Illinois	Committee on Style	Transportation, Meals, & Lodging

FINANCIAL DISCLOSURE REPORT

Page 3 of 9

Name of Person Reporting

Yeakel III, Earl L.

Date of Report

05/13/2010

State Laws

6.	Campbell University	September 22-24, 2009	Raleigh, North Carolina	Norman Adnan Wiggins School of Law Professionalism Lecture	Transportation, Meals, & Lodging
7.	National Conference of Commissioners on Uniform State Laws	November 20, 2009	Chicago, Illinois	Committee to Revise NCCUSL Drafting Process	Transportation & Meals

FINANCIAL DISCLOSURE REPORT

Page 4 of 9

Name of Person Reporting

Yeakel III, Earl L.

Date of Report

05/13/2010

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

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
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.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.	Prosperity Bank	Line of Credit	K
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 5 of 9

Name of Person Reporting

Yeakel III, Earl L.

Date of Report

05/13/2010

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. SCH Common Stock	A	Dividend	J	T						
2. CVX Common Stock	B	Dividend	L	T						
3. C Common Stock	A	Dividend	J	T						
4. DELL Common Stock		None	K	T						
5. XOM Common Stock	A	Dividend	K	T						
6. F Common Stock		None	J	T						
7. JPM Common Stock	A	Dividend	K	T						
8. MSFT Common Stock	A	Dividend	J	T						
9. Rogers Communications, Inc. Class B Common Stock	A	Dividend	J	T						
10. Royal Dutch Shell PLC Common Stock	B	Dividend	K	T						
11. LUV Common Stock	A	Dividend	L	T						
12. SPND.OB Common Stock		None	J	T						
13. DIS Common Stock	A	Dividend	J	T						
14. Fidelity Blue Chip Growth Mutual Fund	A	Dividend	K	T						
15. Fidelity China Region Mutual Fund	A	Dividend	J	T						
16. Fidelity New Millennium Mutual Fund	A	Dividend	J	T						
17. Fidelity Municipal Money Market Mutual Fund	A	Interest	J	T	Buy (add'l)	06/29/09	J			

1. Income/Gain Codes

(See Columns B1 and B4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

A = \$1,000 or less

F = \$48,001 - \$100,000

J = \$15,000 or less

N = \$250,001 - \$500,000

P3 = \$25,000,001 - \$50,000,000

Q = Appraisal

U = Book Value

B = \$1,001 - \$2,500

G = \$100,001 - \$1,000,000

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

O = \$500,001 - \$1,000,000

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

H2 = 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

FINANCIAL DISCLOSURE REPORT

Page 6 of 9

Name of Person Reporting

Yeakel III, Earl L.

Date of Report

05/13/2010

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. Fidelity Municipal Money Market Mutual Fund					Buy (add'l)	09/19/09	J		
19. Fidelity Municipal Money Market Mutual Fund					Buy (add'l)	12/14/09	J		
20. Fidelity Municipal Money Market Mutual Fund					Buy (add'l)	12/24/09	J		
21. Fidelity Municipal Money Market Mutual Fund					Sold (part)	12/28/09	K	A	
22. Fidelity US Gov't Reserves Mutual Fund	A	Dividend	L	T					
23. Vanguard Prime Money Market Mutual Fund	A	Dividend	K	T					
24. Prosperity Bank (CD)	B	Interest	L	T					
25. Prosperity Bank (CD)	A	Interest	K	T	Buy	12/28/09	K		
26. Prosperity Bank (Checking)	A	Interest	J	T					
27. Wells Fargo Bank (Checking)		None	J	T					
28. Wells Fargo Bank (Checking)	A	Interest	J	T					
29. Wells Fargo Bank (Savings)	B	Interest	L	T					
30. Calamos Growth & Income - A (Mutual Fund)	B	Dividend	L	T					
31. Capital World Growth & Income (Mutual Fund)	B	Dividend	L	T					
32. iShares TR S&P Small Cap 600 Index (Mutual Fund)	A	Dividend	K	T					
33. Thornberg Global Opportunities Class A (Mutual Fund)	A	Dividend	K	T					
34. Thornberg Investment Inc. Builder A (Mutual Fund)	C	Dividend	L	T					

1. Income Gain Codes (See Columns B1 and D4)	A = \$1,000 or less I = \$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 I1 = 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 9

Name of Person Reporting

Yeakel III, Earl L.

Date of Report

05/13/2010

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		(1) Type (e.g., buy, sell, redemption)	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)		(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. FPA Capital (Mutual Fund)	A	Dividend	L	T					
36. DWS Dreman High Return Equity Fund Class A (Mutual Fund)	A	Dividend	K	T					
37. Prime Money Market Fund (Mutual Fund)-See Note	A	Dividend	K	T					
38. Brownwood TX ISD GO Bond (Tax Exempt Bond)	B	Interest	K	T					
39. Fed. Treas Ob Inst. Fund #68 (Mutual Fund)	A	Dividend			Redeemed	01/14/09	K	A	
40. Federal Gov't Obl Tax Mgd Fund #636	A	Dividend	J	T	Buy	01/14/09	J		
41. Federal Home Loan Mortgage Corp 2 50% Note	A	Interest	K	T	Buy	01/26/09	K		
42. Federal Home Loan Mortgage Association (Note)	A	Interest			Redeemed	04/13/09	K	A	
43. Federal Home Loan Bank 3/13% Note	A	Interest	K	T	Buy	04/22/09	K		
44. Federal Home Loan Mortgage Corp (Note)	A	Interest			Redeemed	02/24/09	K	A	
45. Federal Home Loan Mortgage Corp. 3 00% Note	A	Interest	K	T	Buy	05/04/09	K		
46. Denton, Texas ISD-PSF (Tax Exempt Bond)	A	Interest	J	T					
47. Introgen Therapeutics Inc		None	J	T					
48. Lynas Corp Ltd.		None	J	T					
49. United States Series I Savings Bonds		None	J	T					

1. Income Gain Codes

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

A = \$1,000 or less

J = \$50,001 - \$100,000

K = \$15,000 or less

N = \$250,001 - \$500,000

P3 = \$25,000,001 - \$50,000,000

Q = Appraisal

U = Book Value

B = \$1,001 - \$2,500

G = \$100,001 - \$1,000,000

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

O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)

V = Other

C = \$2,501 - \$5,000

H1 = \$1,000,001 - \$5,000,000

I = \$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

H2 = More than \$5,000,000

M = \$100,001 - \$250,000

P2 = \$5,000,001 - \$25,000,000

T = Cash Market

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

FINANCIAL DISCLOSURE REPORT

Page 8 of 9

Name of Person Reporting

Yeakel III, Earl L.

Date of Report

05/13/2010

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

1. Part VII, Item 37. Complete name is Prime Money Market Fund RBC Investor Class. This fund was previously named Tamarack Investment Funds Prime Money Market and so designated on previous reports.

FINANCIAL DISCLOSURE REPORT
Page 9 of 9

Name of Person Reporting

Yeakel III, Earl L.

Date of Report

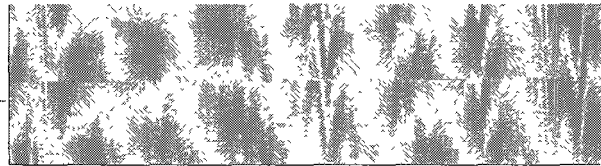
05/13/2010

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 _____



NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544