

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2009Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (last name, first, middle initial) Ludington, Thomas L.	2. Court or Organization US District Court MI (Eastern)	3. Date of Report 04/22/2010
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U. S. District Judge	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 U. S. Courthouse 1000 Washington Avenue Bay City, MI 48708	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. Director	R. M. Gerstacker Foundation
2. Director	Saginaw Valley State University Foundation
3. Trustee	Albion College
4. Director	Thomas L. Ludington Foundation
5.	

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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. 01/01/03	Michigan Judges Retirement System
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. 2009	Federal Court Salary	\$165,000.00
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. George Mason University School of Law	November 6-12, 2009	Arlington, VA	Conference	Air travel, ground transportation
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.)*

<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. _____	_____	_____
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. Chemical Bank & Trust (checking & savings)	A	Interest	K	T					
2. Dow Chemical Employees Credit Union	A	Interest	K	T					
3. TD Ameritrade Money Market	A	Interest	L	T					
4. Merrill Lynch Money Market	A	Interest	J	T					
5. Amgen Stock	A	Dividend	J	T					
6. Covance Stock	A	Dividend	K	T					
7. Corning Stock	A	Dividend	L	T					
8. IBM Stock	A	Dividend	K	T					
9. Quest Diagnostics Stock	A	Dividend	K	T					
10. Chemical Financial Stock	B	Dividend	K	T					
11. Petoskey MI Condo		None	M	W					
12. Am Cent Real Est (Dow Savings Plan) - KKL 401K		None	J	T					
13. Fidelity Contrafund (Dow Savings Plan) KKL 401K		None	L	T					
14. Fidelity Diversified Intl (Dow Savings Plan) KKL 401K		None	K	T					
15. Growth Equity (Dow Savings Plan) KKL 401K		None	K	T					
16. Interest Income Fund (Dow Savings Plan) KKL 401K		None	M	T					
17. Vanguard Convertible Sec (Dow Savings Plan) KKL 401K		None	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 \$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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18. Vanguard Global Equity (Dow Savings Plan) KKL 401K		None	K	T					
19. SSgA Stable Value - State of Michigan 457 Plan (TLL)		None	K	T					
20. SSgA Stable Value - State of Michigan 401K plan (TLL)		None	K	T					
21. PIMCO Total Return - State of Michigan 401K plan (TLL)		None	K	T					
22. MFS Total Return - State of Michigan 401K plan (TLL)		None	K	T					
23. Dodge and Cox Stock - State of Michigan 401K plan (TLL)		None	K	T					
24. Lord Abbett Mid-Cap Value A; State of Michigan 401K (TLL)		None	K	T					
25. RidgeWorth Funds - State of Michigan 401K (TLL)		None	K	T					
26. American Funds Europacific Gr - State of Michigan 401K (TLL)		None	K	T					
27. Chemical Bank Savings - FBO #1	A	Interest	K	T					
28. Federated Balanced (CFC) - FBO #1	A	Dividend	K	T					
29. MI Edu Savings Program - FBO #1		None	L	T					
30. Chemical Bank Savings - FBO #2		None	J	T					
31. MI Edu Savings Plan - FBO #2		None	L	T					
32. Schwab Money Market	A	Interest	K	T					
33. Alger Hith Sci Fund		None	J	T					
34. Canadian Tire Corp 'A'	A	Dividend	J	T	Sold (part)	03/05/09	J		

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

F = \$50,001 - \$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

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35.				T	Sold (part)	07/08/09	J		
36.				T	Sold (part)	11/10/09	J		
37. FBR Gas Util Index Fund	A	Dividend	J	T					
38. FBR Small Cap Fund	A	Dividend	J	T					
39. Fidelity Sltc Portf Fund	A	Dividend	J	T					
40. First Eagle Overseas A Fund	A	Dividend	K	T	Sold (part)	03/05/09	J		
41.				T	Buy (add'l)	11/10/09	J		
42. Franklin Templeton		None			Sold	03/05/09	K		
43. General Dynamics, Inc	A	Dividend	J	T					
44. J B Hunt Transport Svcs		None		T	Buy (add'l)	03/05/09	J		
45.					Sold	11/10/09	J	C	
46. Johnson Controls, Inc		None			Sold	03/05/09	J		
47. L-3 Communications, Inc	A	Dividend	J	T					
48. Lowes Companies, Inc		None			Sold	03/05/09	J	A	
49. Meridian Value Fund	A	Dividend	K	T	Buy (add'l)	03/05/09	J		
50.				T	Sold (part)	11/10/09	J	A	
51. MFS Utilities Fund		None	J	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	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	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	
3. Value Method Codes (See Column C2)					

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52. Royce Low-Priced St Fund		None	J	T	Buy (add'l)	04/03/09	J		
53.				T	Sold (part)	11/10/09	J		
54. Seligman Comm Fund		None	K	T	Sold (part)	11/10/09	J	A	
55. United Health Group, Inc		None			Sold	03/05/09	J		
56. Vanguard Energy Fund	A	Dividend	K	T	Buy (add'l)	07/08/09	J		
57.				T	Sold (part)	11/10/09	J	C	
58. Vanguard Spc Hlth Fund		None	J	T	Buy (add'l)	03/05/09	J		
59. Amcent: Intl. Disc Fund		None		T	Sold (part)	03/05/09	J		
60.					Sold	07/08/09	J		
61. Dodge & Cox Intl Stock Fund	A	Dividend	K	T	Sold (part)	07/08/09	J		
62.				T	Sold (part)	11/10/09	J		
63. Julius Baer Intl Eqty (now Artio Intl Eqty Fund A)		None			Sold	11/10/09	K	C	
64. MFS Intl New Discovery A Fund		None	K	T	Sold (part)	03/05/09	J		
65.				T	Sold (part)	11/10/09	J		
66. Morgan Stanley Inst Intl Real Estate Fund		None	K	T					
67. T Price Media & Tel Fund		None	K	T	Sold (part)	03/05/09	J	A	
68.				T	Sold (part)	07/08/09	J	A	

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69.				T	Sold (part)	11/10/09	J	B	
70. ATCO Ltd Class I	A	Dividend	J	T	Sold (part)	03/05/09	J	C	
71.				T	Buy (add'l)	07/08/09	J		
72.				T	Sold (part)	11/10/09	J	B	
73. Bank of Nova Scotia	A	Dividend	J	T	Buy (add'l)	03/05/09	J		
74.				T	Sold (part)	07/08/09	J	B	
75.				T	Sold (part)	11/10/09	J	B	
76. Petro-Canada	A	Dividend		T	Sold (part)	03/05/09	J		
77.					Sold	07/08/09	J	C	
78. Power Financial Corp	A	Dividend	J	T	Sold (part)	11/10/09	J	A	
79. Shoppers Drug Mart Corp	A	Dividend	J	T	Sold (part)	03/05/09	J		
80.				T	Buy (add'l)	11/10/09	J		
81. Suncor Energy Inc		None		T	Sold (part)	03/05/09	J		
82.					Sold	07/08/09	J		
83. Harris Cap PFD	A	Dividend	J	T					
84. Permian Basin Royalty Tr		None	K	T	Buy (add'l)	03/05/09	J		
85.				T	Sold (part)	07/08/09	J		

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86.				T	Buy (add'l)	07/08/09	J		
87.				T	Buy (add'l)	12/08/09	J		
88. Cenovus Energy Inc	A	Dividend	J	T	Spinoff (from line 89)				
89. EnCana Corp	A	Dividend	J	T	Buy	07/08/09	J		
90.				T	Sold (part)	11/10/09	J	A	
91. Sabine Royalty Trust		None	K	T	Buy (add'l)	11/10/09	J		
92. San Juan Basin Royalty		None		T	Sold (part)	07/08/09	J		
93.					Sold	11/10/09	J		
94. Magellan Midstream		None	K	T	Sold (part)	03/05/09	J		
95.				T	Sold (part)	07/08/09	J	B	
96.				T	Buy (add'l)	07/08/09	J		
97. NuStar Energy		None	K	T	Sold (part)	03/05/09	J		
98.				T	Buy (add'l)	11/10/09	J		
99. Plains All American Pipelines		None			Sold	03/05/09	K		
100. Sunoco Logistics Partners		None	K	T	Sold (part)	03/05/09	J	C	
101.				T	Buy (add'l)	07/08/09	J		
102.				T	Buy (add'l)	11/10/09	J		

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2. Value Codes (See Columns C1 and D3)					
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value				

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103. AMB Property		None			Sold	07/08/09	J		
104. C & S Realty Fund	A	Dividend	K	T	Buy (add'l)	07/08/09	J		
105.				T	Buy (add'l)	11/10/09	J		
106. Energy Transfer Partners		None	K	T	Buy	11/10/09	K		
107. Entertainment Pptys Tr	B	Dividend	K	T	Buy (add'l)	03/05/09	J		
108.				T	Buy (add'l)	11/10/09	J		
109. Health Care Ppty Inv, Inc	A	Dividend	K	T	Sold (part)	03/05/09	J		
110.				T	Buy (add'l)	07/08/09	J		
111. Home Properties of NY		None	K	T	Sold (part)	03/05/09	J		
112.				T	Buy (add'l)	07/08/09	J		
113.				T	Buy (add'l)	11/10/09	J		
114. Prologis		None			Sold	03/05/09	J		
115. SL Green Realty	A	Dividend	K	T	Sold (part)	03/05/09	J		
116.				T	Buy (add'l)	07/08/09	J		
117.				T	Sold (part)	11/10/09	J	C	
118. Weingarten Realty Inv	A	Dividend			Sold	07/08/09	J		
119. Thornburg Intl Value Fund	A	Dividend	K	T	Sold (part)	03/05/09	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	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	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	
3. Value Method Codes (See Column C2)					

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Ludington, Thomas L.

Date of Report
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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.				T	Sold (part)	07/08/09	J	A	
121. American Gen Fin - Bond 12/15/11	B	Interest	K	T					
122. American Gen Fin - Bond 6/15/10	A	Interest	J	T					
123. American Gen Fin - Bond 6/15/09		None			Matured	06/15/09	J	A	
124. Bank Georgia CD 2/17/09	A	Interest			Matured	02/17/09	J		
125. BerkshireHathaway- Bond 8/15/13		None	K	T	Buy	04/02/09	K		
126. Caterpillar Fin - Bond 2/15/09		None			Matured	02/15/09	K	A	
127. Caterpillar Fin - Bond 7/15/10	A	Interest	K	T					
128. Caterpillar Fin - Bond 7/15/12	A	Interest	K	T					
129. Dayton OH - Bond 10/01/09	A	Interest			Matured	10/01/09	J		
130. Fairfax Cnty VA - Bond 6/01/09	A	Interest			Matured	06/01/09	J		
131. GE Capital Corp-Bond 11/14/14		None	K	T	Buy	11/20/09	K		
132. John Hancock - Bond 2/15/12	A	Interest	J	T					
133. Lehman Bank - Bond 1/18/12		None	J	T					
134. Merrill Lynch -Bond 3/15/11	A	Interest	K	T					
135. NStar Elec Co - Bond 5/15/10	C	Interest	L	T					
136. NStar Elec Co-Bond 5/15/10		None	J	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	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	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	
3. Value Method Codes (See Column C2)					

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Name of Person Reporting

Ludington, Thomas L.

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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)
137. PPG Industries - Bond 8/15/09	A	Interest			Matured	08/15/09	J		
138. Principal Life - Bond 6/15/2012	A	Interest			Sold	12/15/09	J	A	
139. Protective Life - Bond 7/15/10	A	Interest	J	T					
140. Puerto Rico-Bond 8/1/11	A	Interest	J	T	Buy	07/08/09	J		
141. Rhode Island - Bond 10/01/09	A	Interest			Matured	10/01/09	J		
142. Sweden Kingdom - Bond 4/1/09		None			Matured	04/01/09	K	B	
143. Lehman Bros Bank CD 12/7/09		None			Matured	12/07/09	J		
144. Lehman Bros Bank CD 12/7/09	A	Interest			Matured	12/07/09	J		
145. General Motors Acc - Bond 5/15/09	A	Interest			Matured	05/15/09	J		
146. Household Finance - Bond 12/15/11	B	Interest	K	T					
147. HSBC- Bond 7/15/12	A	Interest	J	T					
148. HSBC - Bond 7/15/12		None	J	T					
149. Indiana Health - Bond 11/15/10	B	Interest	K	T					
150. Anchor Life Policy		None	K	T					
151. Trust Mark Life Policy		None	L	T					
152. Indianapolis Life Policy		None	K	T					
153. MetLife Policy		None	K	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	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	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	
3. Value Method Codes (See Column C2)					

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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)
154. Oakmark Equity & Income I Fund		None		T	Buy	03/05/09	K		
155.		None		T	Sold (part)	07/08/09	J	B	
156.		None			Sold	11/10/09	J	B	
157. Capmark Bank CD 7/23/12		None	J	T	Buy	07/15/09	J		
158. Discover Bank CD 9/24/13	A	Interest	K	T	Buy	03/06/09	K		
159. GE Capital Fin CD 9/18/12		None	J	T	Buy	12/09/09	J		
160. GE Money Bank CD 11/20/12		None	J	T	Buy	11/16/09	J		
161. Goldman Sachs Bank CD 11/19/13		None	L	T	Buy	03/06/09	L		
162. Goldman Sachs Bank CD 12/17/13		None	K	T	Buy	07/09/09	K		
163. Wachovia Bank CD 9/30/13		None	J	T	Buy	07/13/09	J		
164. Westernbank CD 11/20/14	A	Interest	L	T	Buy	11/13/09	L		
165. Westernbank CD 11/20/14		None	K	T	Buy	11/12/09	K		
166. Wright Express Fin CD 12/15/09		None		T	Buy	07/09/09	K		
167.					Sold	12/15/09	K		
168. Firstbank Puerto Rico CD 10/22/09		None		T	Buy	07/14/09	J		
169.					Matured	10/22/09	J		
170. Boardwalk Pipeline Partners		None		T	Buy	03/05/09	K		

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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Ludington, Thomas L.

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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)
171.				T	Buy (add'l)	07/08/09	J		
172.					Sold	11/10/09	K	D	
173. Royce Penn Mutual Fund	A	Dividend	J	T	Sold (part)	11/10/09	J	A	
174. Schwab Money Market - FBO #1		None	J	T					
175. FBR Small Cap Fncl Fund - FBO #1	A	Dividend	J	T	Sold (part)	11/12/09	J		
176. First Eagle Overseas A Fund-FBO#1	A	Dividend	J	T	Buy	03/02/09	J		
177.				T	Sold (part)	07/07/09	J	A	
178. Magellan Midstream - FBO #1	A	Dividend	J	T	Sold (part)	03/02/09	J		
179. Seligman Comm Fund - FBO #1		None	J	T	Sold (part)	11/12/09	J	A	
180. SL Green Realty - FBO #1		None			Sold	03/02/09	J		
181. MFS Intl New Discovery A Fund - FBO #1	A	Dividend	J	T	Sold (part)	03/03/09	J		
182. Stratton Sm Cap Value Fund-FBO#1		None	J	T	Buy	03/02/09	J		
183.				T	Buy (add'l)	07/07/09	J		
184.				T	Sold (part)	11/12/09	J	A	
185. Thornburg Intl Value A Fund - FBO #1	A	Dividend	J	T	Sold (part)	03/09/09	J		
186. William Blair Intl Gr Fund - FBO #1		None			Sold	03/02/09	J		
187. Morgan Stanley Inst Intl Real Est - FBO #1	A	Dividend	J	T	Sold (part)	11/12/09	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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Name of Person Reporting

Ludington, Thomas L.

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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)
188. Vanguard Energy Fund - FBO #1	A	Dividend	J	T	Sold (part)	07/07/09	J	A	
189.				T	Sold (part)	11/12/09	J	A	
190. ATCO Ltd Class 1 - FBO #1	A	Dividend	J	T	Sold (part)	07/07/09	J		
191. Petro-Canada FBO #1		None			Sold	07/07/09	J	A	
192. Power Financial Corp - FBO #1	A	Dividend	J	T	Sold (part)	11/12/09	J	A	
193. American Gen Fin - Bond 5/15/10-FBO#1	A	Interest	K	T					
194. Caterpillar Fin - Bond 2/15/11-FBO#1	A	Interest	K	T					
195. Honeywell Intl Inc - Bond/FBO #1 8/1/09		None			Matured	08/01/09	K	B	
196. Bac Cap Tr II - FBO #1	A	Dividend			Sold	10/28/09	J		
197. Harris Cap - FBO #1	A	Dividend	J	T					
198. C & S Realty Inc A Fund - FBO #1	A	Dividend	J	T	Sold (part)	11/12/09	J		
199. Home Properties of NY-FBO#1		None			Sold	07/07/09	J		
200. Avalon Bay Communities Inc-FBO#1	A	Dividend	J	T	Buy	07/07/09	J		
201. Cenovus Energy-FBO#1	A	Dividend	J	T	Spinoff (from line 202)				
202. EnCana Corp-FBO#1	A	Dividend		T	Buy	07/07/09	J		
203.		None	J	T	Sold (part)	11/12/09	J	A	
204. Firstbank Puerto Rico CD-FBO#1 7/11/13	A	Interest	J	T	Buy	03/02/09	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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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)
205. GE Money Bank CD-FBO#1 12/13/10	A	Interest	J	T	Buy	08/17/09	J		
206. St Bank of India, NY,CD-FBO#1 9/26/12	A	Interest	J	T	Buy	08/04/09	J		
207. Wachovia Bank CD-FBO#1 8/15/13	A	Interest	J	T	Buy	08/04/09	J		
208. Westernbank CD-FBO#1 11/20/14	A	Interest	J	T	Buy	11/13/09	J		
209. Ft. Walton Def Bond-FBO#1 6/15/12		None	J	T	Buy	01/06/09	J		
210. Schwab Money Market Fund - FBO #2		None	J	T					
211. FBR Small Cap Fncl Fund - FBO #2	A	Dividend	J	T					
212. Meridian Value Fund - FBO #2	A	Dividend	J	T					
213. Seligman Comm Fund - FBO #2		None	J	T					
214. Vanguard Energy Fund - FBO #2	A	Dividend	J	T					
215. MFS Intl New Discovery A - FBO #2	A	Dividend	J	T					
216. Thornburg Intl Value A - FBO #2	A	Dividend	J	T					
217. William Blair Intl Gr Fund - FBO #2		None			Sold	03/02/09	J		
218. ATCO Ltd Class I - FBO #2	A	Dividend	J	T					
219. Power Financial Corp - FBO #2	A	Dividend	J	T					
220. Honeywell Intl Inc - Bond/FBO #2 8/1/09		None			Matured	08/01/09	J	B	
221. Stratton Small Cap Value Fund-FBO#2		None	J	T	Buy	03/02/09	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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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)
222. Merrill Lynch Bond - FBO #2 3/29/11	A	Interest	J	T					
223. Miami Dade Cnty - FBO #2 4/1/10	A	Interest	K	T					
224. Bac Cap Tr II - FBO #2	A	Dividend			Sold	10/28/09	J		
225. Sabine Royalty Tr - FBO #2	A	Dividend	J	T					
226. Magellan Midstream - FBO #2	A	Dividend	J	T	Sold (part)	03/02/09	J		
227. C & S Realty Fund - FBO #2	A	Dividend	J	T	Buy (add'l)	07/07/09	J		
228. Weingarten Realty - FBO #2		None			Sold	07/07/09	J		
229. Sabine Royalty Trust - FBO #1	A	Dividend	J	T					
230. Alger Hlth Sci Fund - FBO #1		None	J	T					
231. JB Hunt Transport Svsc - FBO #1		None			Sold	07/07/09	J		
232. MFS Utilities Fund - FBO #1	A	Dividend	J	T	Sold (part)	11/12/09	J	A	
233. T Rowe Price Fincl Srvc Fd - FBO #1	A	Dividend	J	T					
234. Sunoco Logistics Partners - FBO #1	A	Dividend	J	T	Sold (part)	03/02/09	J		
235.				T	Buy (add'l)	07/07/09	J		
236. Royce Penn Mutual Fund - FBO #1		None			Sold	03/02/09	J		
237. Alger Hlth Sci Fund - FBO #2		None	J	T					
238. First Eagle Overseas A Fund-FBO#2	A	Dividend	J	T	Buy	03/02/09	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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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)
239. Capital One CD - FBO #2 9/4/12	A	Interest	J	T					
240. MFS Utilities Fund - FBO #2	A	Dividend	J	T					
241. T Rowe Price Fincl Srvc Fd - FBO #2	A	Dividend	J	T					
242. GE Money Bank CD-FBO#2 10/9/13	A	Interest	K	T	Buy	08/05/09	K		
243. Royce Penn Mutual Fund-FBO#2		None			Sold	03/02/09	J		
244. AFLAC Inc	A	Dividend	J	T					
245. Columbia Vlu & Rst Fun		None			Sold	07/08/09	K		
246. Landstar Systems Inc		None			Sold	11/10/09	J		
247. T Rowe Price Fincl Srvc Fund	A	Dividend	J	T	Sold (part)	11/10/09	J		
248. AvalonBay Communities Inc	A	Dividend	K	T	Buy (add'l)	03/05/09	J		
249.				T	Buy (add'l)	07/08/09	J		
250.				T	Buy (add'l)	11/10/09	J		
251. Essex Property Trust	A	Dividend		T	Sold (part)	03/05/09	J		
252.					Sold	07/08/09	J		
253. Archer Dan Midland Bond semi 4/15/11		None	K	T					
254. Bankers Trust Bond semi 10/15/11		None	K	T					
255. Oregon State Bond maty 6/1/12		None	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 = \$250,000,001 - \$500,000,000	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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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)
256. Pepsico Bond maty 4/1/12		None	J	T					
257. Wachovia Corp Bond semi 10/15/11	B	Interest	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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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of Report.)*

1. Deleted all assets from 2008 report that had been sold or matured.
2. Line 146 Changed maturity date from 2/15/11 to correct date of 12/15/11 on Household Finance Bond.
3. Line 193 should be listed as FBO#1 for American Gen Fin bond.
4. Line 194 should be listed as FBO#1 for Caterpillar Fin Bond.
5. Line 199 should be listed as FBO#1 for Home Prop of NY.
6. Deleted Line 210 from 2008 report of Royce Penn Mutual Fund due to reported again on Line 236 in the 2009 report. This was orginally reported in error without the FBO#1.
7. Deleted Line 245 from 2008 report of C&S Realty Rund FBO#2 due to already reported on Line 229 on the 2008 report or Line 227 on the 2009 report.
8. Deleted Line 255 from 2008 report of Royce Penn Mutual Fund due to already recorded on Line 173 on the 2009 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

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