

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) HIGGINBOTHAM, PATRICK E	2. Court or Organization U.S. COURT OF APPEALS, FIFTH	3. Date of Report 05/15/2010
4. Title (Article III judges indicate active or senior status, magistrate judges indicate full- or part-time) U.S. CIRCUIT JUDGE (SENIOR JUDGE)	5a. Report Type (check appropriate type) ☐ Nomination, ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2009 to 12/31/2009
7. Chambers or Office Address 903 SAN JACINTO BLVD, ROOM 400 AUSTIN, TX 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)

POSITION	NAME OF ORGANIZATION ENTITY
1. TRUSTEE, CHAIR, BOARD OF TRUSTEES	THE CENTER FOR AMERICAN & INTERNATIONAL LAW (FORMERLY THE SOUTHWESTERN LEGAL FOUNDATION)
2. BOARD OF OVERSEERS	RAND - INSTITUTE FOR CIVIL JUSTICE
3. ETHICS 2000 COMMISSION, MEMBER	AMERICAN BAR ASSOCIATION
4. CO-INDEPENDENT EXECUTOR	TRUST #1
5. INDEPENDENT EXECUTOR	TRUST #2

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

☒ NONE (No reportable agreements.)

DATE	PARTIES AND TERMS
1.	
2.	
3.	

Higginbotham, Patrick E.

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HIGGINBOTHAM, PATRICK E

Date of Report
05/15/2010

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. 2009	ST. MARY'S UNIVERSITY (TEACHING)	\$ 90,940.14
2. 2009	MATTHEW BENDER (WRITING)	\$ 3,026.00
3. 2009	DUKE UNIVERSITY (TEACHING)	\$ 4,500.00
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. SEE ATTACHEMENTS				
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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identify if buyer/seller of private transaction
1.	BANK OF AMERICA ACCOUNT	A	Interest	J	T					
2.	NEW YORK LIFE INSURANCE COMPANY	A	Interest	J	T					
3.	BEAL BANK ACCOUNTS	A	Interest	J	T					
4.	VERIZON COMMON STOCK	A	Dividend	J	T	PARTIAL	2/12	K	A	
5.	COMCAST COMMON STOCK	A	Dividend	J	T					
6.	AT&T CORP COMMON STOCK	A	Dividend	J	T					
7.	FLORIDA ST BRD ED	A	Interest	J	T					
8.	BAY AREA TOLL AUTH CA	A	Interest	J	T					
9.	FULTON CNTY GA DEV AUTH SPL FACS REV DELTA (MUNI BOND)		None	J	T					
10.	CHEROKEE CO GA HOSP AUTH RV CTFS REF MBIA	B	Interest	K	T	PARTIAL	12/1	J	A	
11.	COCONINO YAVAPALAZ JT	A	Interest	J	T					
12.	MARICOPA CO AZ UNITSCH	A	Interest	J	T					
13.	HAWAII ST	A	Interest	J	T					
14.	CYPRESS-FAIRBANKS TEX	B	Interest	K	T					
15.	HOUSTON TEX INDPT SCH	B	Interest	K	T					
16.	CHAFFAM CNTY GA HOSP REV	A	Interest	J	T					
17.	FULCO GA HOSP AT RV ANTIC CTFS ST	B	Interest	K	T					

1 Income Gain Codes
(See Columns B1 and D4)

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

G = \$1,001 - \$2,500
H = \$100,001 - \$1,000,000

C = \$2,501 - \$5,000
D = \$5,001 - \$15,000

E = \$15,001 - \$50,000
F = \$50,001 - \$100,000

G = \$100,001 - \$500,000

2 Value Codes
(See Columns C1 and D3)

J = \$15,000 or less
K = \$250,001 - \$500,000

L = \$15,001 - \$50,000
M = \$50,001 - \$1,000,000

N = \$1,000,001 - \$5,000,000
O = \$5,000,001 - \$1,000,000

P = \$15,001 - \$50,000
Q = \$50,001 - \$100,000

R = \$100,001 - \$250,000
S = \$250,001 - \$500,000

3 Value Method Codes
(See Column C2)

Q = Appraisal
R = Book Value

S = Cost (Real Estate Only)
T = Other

U = Assessment
V = Estimated

W = Each Market

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Name of Person Reporting

HIGGINBOTHAM, PATRICK E

Date of Report

05/15/2010

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 except 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 Month Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller of private transaction
18.	GEORGE L. SMITH II GA WILD CONGR RV (MUNI BOND)	A	Interest	J	T					
19.	FULTON CNTY GA DEV AT RV GA TECH FNDTN (MUNI BOND)	A	Interest	J	T					
20.	AGL RESOURCES INC COMMON STOCK	B	Dividend	K	T					
21.	AT & T CORP (FORMERLY BELL SOUTH CORP)	A	Dividend			SELL	2/12	J	A	
22.	BLACKROCK GLOBAL ALLOCATION FD INC	A	Dividend	I	T					
23.	DTF ENERGY COMPANY COMMON STOCK	A	Dividend	J	T					
24.	DUKE ENERGY CORP COMMON STOCK	A	Dividend	J	T					
25.	EXXON MOBIL CORP COMMON STOCK	C	Dividend	M	T					
26.	GENERAL ELECTRIC COMMON STOCK	A	Dividend			SELL	2/12	J	A	
27.	POST PROPERTIES INC REIT	A	Dividend			SELL	2/12	J	A	
28.	MS MUN INC OPPT ST III	A	Dividend			SELL	2/12	J	A	
29.	MS QUALITY MUN SECS (MUTUAL FUND)	A	Dividend			SELL	2/12	J	A	
30.	PIMCO TOTAL RETURN FD (MUTUAL FUND)	A	Dividend	J	T					
31.	PIONEER HIGH YIELD FUND CLASS C	A	Dividend	J	T					
32.	VAN KAMPEN SENIOR INC'M TR	A	Dividend	J	T	PARTIAL	2/12	J	A	
33.	TRUST #1		None			NO VALUE				
34.	TRUST #2 - RENTAL PROPERTIES (TARRANT COUNTY, TX)	A	Rent	N	W					

1. Income/Gain Codes
(See Columns B1 and D1)

A = \$1,000 or less

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

J = \$15,000 or less

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

P1 = \$25,000,001 - \$50,000,000

2. Value Codes
(See Columns C1 and D3)

Q = Appraisal

T = Book Value

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

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

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

O = \$350,001 - \$1,000,000

R = Real Estate (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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Name of Person Reporting

HIGGINBOTHAM, PATRICK E

Date of Report

05/15/2019

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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
35. TRUST #2 - ROYALTY INTEREST (TULSA, OK)	A	Royalty	J	W					
36. RENTAL PROPERTY (PENSACOLA, FL)	D	Rent	M	W					
37. ROYALTY INTEREST (TULSA, OK)	B	Royalty	J	W					
38. IRA, BANK OF AMERICA	B	Interest	L	T					
39. IRA, BANK OF AMERICA (MONEY MARKET)	A	Interest	J	T					
40. CHASE ACCOUNT (TRUST #1)		None			NO VALUE				
41. MERRILL LYNCH BANK U.S.A		None	L	T					
42. MERRILL LYNCH BANK & TRUST	A	Interest	L	T					
43. COCA COLA	B	Dividend	K	T					
44. ORLANDO FL UTL CMMN UTL SYS RV SER A RF OID MBIA	A	Interest	J	T					
45. CENTRAL GREENE PA SCH DIST SER B RF OID FSA	A	Interest	J	T					
46. ROCHESTER NH XLCA	A	Interest	J	T					
47. ERIE CNTY NY SER D-2 RF MBIA	A	Interest	J	T					
48. HOUSTON TEX CMTY CLG SYS RV JR SER A RF MBIA	A	Interest			REDEMPTION	4/15	J	A	
49. RENTAL PROPERTY (AUSTIN, TX)	D	Rent	M	W					
50. DELTA AIR LINES INC		None	J	T					
51. IDEARC INC		None			SELL	2/12	J	A	

1. Income/Gain Codes

(See Columns B1 and D1)

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

P1 = \$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 = \$900,001 - \$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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Name of Person Reporting

HIGGINBOTHAM, PATRICK E

Date of Report

06/15/2010

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)	(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 Month : Day :	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if prior to transaction)
52. SPECTRA ENERGY CORP	A	Dividend	J	T	PARTIAL	2-12	J	A	
53. FAIRPOINT COMMUNICATIONS		None			SELL	2-12	J	A	

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

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

2. Value Codes
(See Columns C1 and D3)

J = \$15,000 or less

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

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

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

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
(See Column C2)

Q = Appraisal
R = Book Value

R = Cost (Real Estate Only)
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of Report.)*

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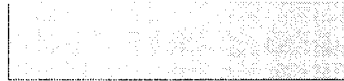
05-15-2019

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

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting
Higginbotham, Patrick E.

Date of Report
April 20, 2010

SECTION IV. REIMBURSEMENTS AND GIFTS

Attachment to AQ-10 - Financial Disclosure Statement

Patrick E. Higginbotham
Report Dated: April 20, 2010

<u>SOURCE</u>	<u>DESCRIPTION</u>
Tobin Project/ALI Elections, Scholarship Conference Duke Law School	Participant - Durham, North Carolina Feb. 27 - 28, 2009 (transportation, lodging, meals, cab, airport parking)
Judicial Conference of the Fifth Circuit	Member Participant - New Orleans, LA May 3 - 6, 2009 (transportation, lodging, meals)
New York Criminal Bar Association	Guest Speaker - New York, NY June 15, 2009 (transportation, lodging, meals)
Duke Law School Senior Lecturing Fellow	Participant - Durham, NC Nov. 23, 2009 (paid to teach, expenses not reimb.)