

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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) Hanen, Andrew S.	2. Court or Organization United States District Court - Texas	3. Date of Report 05/14/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States District Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address United States District Judge Andrew S. Hanen United States Courthouse 600 E. Harrison St., #301 Brownsville, Texas 78520		
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.		

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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.)*

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. 2013

Self-employed attorney

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.

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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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Name of Person Reporting

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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. IRA Account #2 - Account Closed (See Notes 1 and 2)	A	Dividend							
2. -Merrill Lynch Money Mkt. Reserves					Sold	07/12/13	J	A	
3. -Apple					Sold	07/12/13	J	A	
4. -Consumer Dis.					Sold	07/12/13	J	A	
5. -Spdr Cons. STPL					Sold	07/12/13	J	A	
6. -Spdr Energy					Sold	07/12/13	J	A	
7. -Spdr Indus.					Sold	07/12/13	J	A	
8. -Spdr Gold					Sold	07/12/13	J	A	
9. -Vanguard Info					Sold	07/12/13	J	A	
10. IRA Account #3	B	Dividend	M	T					
11. -Merrill Lynch Money Mkt. Reserves									
12. -Alexion Phar					Sold	02/05/13	J	A	
13. -Apple									
14. -Nu Skin					Sold	06/03/13	J	A	
15. -Sourcefire					Sold	02/13/13	J	A	
16. -CYS Investments					Sold	06/03/13	J	A	
17. -Fresh Mkt					Sold	06/03/13	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 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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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 I (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. -CF Inds					Sold	02/05/13	J	A	
19. -Express Scripts					Sold	05/17/13	J	A	
20. -Linkedin					Sold	02/13/13	J	B	
21. -Rackspace					Sold	09/18/13	J	A	
22. -Ivy High Income					Sold	02/01/13	J	A	
23. -Spdr Gold					Sold	09/18/13	J	A	
24. -Arm Holdings					Buy	05/06/13	J		
25. -Arm Holdings					Sold	09/18/13	J	A	
26. -I Shares Biotech					Buy	05/17/13	J		
27. -I Shares Biotech					Buy	06/05/13	J		
28. -I Shares Biotech					Buy	09/19/13	J		
29. -I Shares Biotech					Buy	10/08/13	J		
30. -Vanguard Consumer STPL					Buy	05/17/13	J		
31. -Vanguard Consumer STPL					Buy	06/05/13	J		
32. -Vanguard Consumer STPL					Buy	09/19/13	J		
33. -Vanguard Consumer STPL					Buy	10/08/13	J		
34. -Vanguard Materials					Buy	05/17/13	J		

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(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		

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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)
35. -Vanguard Materials					Buy	06/05/13	J		
36. -Vanguard Materials					Buy	09/19/13	J		
37. -Vanguard Materials					Buy	10/08/13	J		
38. -Vanguard Energy					Buy	05/17/13	J		
39. -Vanguard Energy					Buy	06/05/13	J		
40. -Vanguard Energy					Buy	09/19/13	J		
41. -Vanguard Energy					Buy	10/14/13	J		
42. -Vanguard Consumer Dis.					Buy	05/17/13	J		
43. -Vanguard Consumer Dis.					Buy	06/05/13	J		
44. -Vanguard Consumer Dis.					Buy	09/19/13	J		
45. -Vanguard Consumer Dis.					Buy	10/08/13	J		
46. -Celgene					Buy	02/06/13	J		
47. -Celgene					Sold	06/10/13	J	A	
48. -OCWEN FINL					Buy	02/06/13	J		
49. -OCWEN FINL					Sold (part)	08/26/13	J	A	
50. -OCWEN FINL					Sold	09/18/13	J	B	
51. -Priceline					Buy	03/13/13	J		

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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	
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52. -Priceline					Sold	10/08/13	J	B	
53. -Tenet Healthcare					Buy	03/13/13	J		
54. -Tenet Healthcare					Sold	08/26/13	J	A	
55. -Google					Buy	02/13/13	J		
56. -Google					Sold	03/19/13	J	A	
57. -Visa					Buy	04/01/13	J		
58. -Visa					Sold	05/17/13	J	A	
59. -Gilead					Buy	04/02/13	J		
60. -Gilead					Sold	06/10/13	J	A	
61. -Eastman Chemical					Buy	02/13/13	J		
62. -Eastman Chemical					Sold	05/17/13	J	A	
63. -Holly Frontier					Buy	02/13/13	J		
64. -Holly Frontier					Sold	08/26/13	J	A	
65. -Vanguard Ind					Buy	05/17/13	J		
66. -Vanguard Ind					Buy	06/05/13	J		
67. -Vanguard Ind					Buy	09/19/13	J		
68. -Vanguard Ind					Buy	10/08/13	J		

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69. -Health Care Select					Buy	05/17/13	J		
70. -Health Care Select					Buy	06/05/13	J		
71. -Health Care Select					Buy	09/19/13	J		
72. -Health Care Select					Buy	10/08/13	J		
73. -Spdr Financial					Buy	05/17/13	J		
74. -Spdr Financial					Buy	06/05/13	J		
75. -Spdr Financial					Buy	09/19/13	J		
76. -Spdr Financial					Buy	10/08/13	J		
77. -Spdr Financial									
78. -Trip Advisor					Buy	02/13/13	J		
79. -Trip Advisor					Sold	06/03/13	J	B	
80. -Vanguard Info					Buy	05/17/13	J		
81. -Vanguard Info					Buy	06/05/13	J		
82. -Vanguard Info					Buy	09/19/13	J		
83. -Vanguard Info					Buy	10/08/13	J		
84. Retirement Account #1	D	Int./Div.	N	T					
85. -Fidelity Short Term Bond Fund									

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86. -Marshall Bond Fund									
87. -Dartmouth College Bonds									
88. -Fidelity Cash Reserves									
89. -Allstate Life Bonds					Redeemed	04/30/13	K	A	
90. -Barclays Bank Bonds									
91. -Microsoft Bonds									
92. -Walmart Bonds									
93. -Pimco Investment Grade Bonds					Sold	06/24/13	K	B	
94. -Goldman Sachs Bonds					Buy	06/26/13	K		
95. -George Washington Uni. Bonds					Buy	07/23/13	K		
96. Brokerage Account #1									
97. -Pearland ISD Municipal Bonds	B	Interest			Redeemed	03/01/13	L	A	
98. -Katy Tex. ISD Municipal Bonds	B	Interest			Redeemed	02/15/13	L	A	
99. -Port Neches Grove ISD Municipal Bonds	B	Interest	M	T					
100. -Brownsville Tx Uty Systm. Municipal Bonds	C	Interest	M	T					
101. -Hutto Tex. ISD Municipal Bonds	C	Interest	M	T					
102. -Burleson Tex ISD Municipal Bonds	C	Interest	M	T					

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103. -MS Tax Free Income Trust	A	Dividend	N	T					
104. Brokerage Account #2									
105. -Brownsville Tex Municipal Bonds	B	Interest			Redeemed	03/28/13	L	A	
106. -Lower Col. Riv. Auth. Municipal Bonds	A	Interest	J	T					
107. -Harris County Municipal Bonds	D	Interest	L	T					
108. -Sharyland ISD Municipal Bonds	B	Interest			Redeemed	02/15/13	L	A	
109. -Lancaster ISD Municipal Bonds	C	Interest	M	T					
110. -N. Tex. Twy. Auth. Municipal Bonds	C	Interest	L	T					
111. -Houston Tex. Higher Ed Municipal Bonds	B	Interest	K	T					
112. -BIF Tax Exempt	A	Dividend	L	T					
113. -Waco Tex Municipal Bonds	A	Interest	K	T	Buy	02/20/13	L		
114. Compass Bank	A	Interest	L	T					
115. Northwestern Mutual EOL Life Ins #117	A	Dividend	J	T					
116. Northwestern Mutual EOL Life Ins #714	A	Dividend	J	T					
117. Northwestern Mutual Whole Life Ins #642	A	Dividend	J	T					
118. Northwestern Mutual Whole Life Ins #817	C	Dividend	L	T					
119. Northwestern Mutual Whole Life Ins #811	C	Dividend	L	T					

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120. Northwestern Mutual EOL Life Ins #840	C	Dividend	K	T					
121. IRA Account #4	D	Int./Div.	N	T					
122. -Treasury Strips									
123. -Capstar Bank CD					Redeemed	07/01/13	J	A	
124. -Capital Income					Buy	01/15/13	J		
125. -Capital Income					Buy	02/15/13	J		
126. -Capital Income					Buy	03/15/13	J		
127. -Capital Income					Buy	04/15/13	J		
128. -Capital Income					Buy	05/15/13	J		
129. -Capital Income					Buy	06/17/13	J		
130. -Capital Income					Buy	07/15/13	J		
131. -Capital Income					Buy	07/31/13	J		
132. -American FDS					Buy	06/25/13	M		
133. -American FDS					Buy	07/31/13	J		
134. -Apple					Buy	07/12/13	J		
135. -Spdr Indus.					Buy	07/12/13	J		
136. -Spdr Cons. STPL					Buy	07/12/13	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)
137. -Spdr Energy					Buy	07/12/13	J		
138. -Consumer Dis.					Buy	07/12/13	J		
139. -Spdr Gold					Buy	07/12/13	J		
140. -Vanguard Info					Buy	07/12/13	J		
141. Brokerage Account #3									
142. -MS FT	A	Dividend	J	T					
143. -WF Money Mkt	A	Interest	J	T					
144. -Cisco	A	Dividend	J	T	Buy	08/07/13	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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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Note 1 - IRA Account #1 was closed last year and its assets were transferred to IRA Account #4. It no longer exists. Those transactions were shown on the 2012 Report.

Note 2 - IRA Account #2 was closed in 2013 and its assets were transferred to IRA Account #4. Since there is no category on these forms for a transfer, per the instructions I was given, these transactions are shown as sales in IRA Account #2 and purchases in IRA Account #4. Column C of Line 1, was left blank pursuant to the instruction that "If asset is entirely sold before the end of the reporting period Column C should be left blank."

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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/ Andrew S. Hanen**

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
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