

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) Henderson, Karen L.	2. Court or Organization US Circuit Court of Appeals, District of Columbia Circuit	3. Date of Report 05/15/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Circuit Court 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 US Courthouse, Room 3118 333 Constitution Avenue, NW Washington, DC 20001		
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 16

Name of Person Reporting

Henderson, Karen L.

Date of Report

05/15/2014

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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE AND TYPE

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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. _____

2. _____

3. _____

4. _____

5. _____

FINANCIAL DISCLOSURE REPORT

Page 3 of 16

Name of Person Reporting
Henderson, Karen L.

Date of Report
05/15/2014

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*

☒ NONE *(No reportable gifts.)*

SOURCE	DESCRIPTION	VALUE
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.)*

CREDITOR	DESCRIPTION	VALUE CODE
1.		
2.		
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 16

Name of Person Reporting

Henderson, Karen L.

Date of Report

05/15/2014

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. Wells Fargo Bank Account		None	J	T					
2. Suntrust Bank Checking Account	A	Interest	J	T					
3. Suntrust Bank Investment Account Contains:									
4. **Suntrust Cash Account	A	Dividend	K	T					
5. Allis Chalmers Energy Inc.: Common		None	J	W					
6. Morgan Stanley Account Contains:									
7. **Morgan Stanley Cash Accounts	A	Interest	K	T					
8. **AT&T Inc.: Common	B	Dividend	K	T					
9. **Alcatel-Lucent: Common		None	J	T					
10. **NCR Corp: Common		None	J	T					
11. **Teradata Corp: Common		None	J	T					
12. **LSI Corporation: Common	A	Dividend	J	T					
13. **International Business Machines: Common	A	Dividend	K	T					
14. IRA: Morgan Stanley Contains:									
15. **AT&T Inc.: Common	C	Dividend	L	T					
16. **Citigroup Inc.: Common	A	Dividend	J	T					
17. **Alcatel-Lucent: Common		None	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 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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 16

Name of Person Reporting

Henderson, Karen L.

Date of Report

05/15/2014

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. **Intl Business Machines Corp.: Common	B	Dividend	L	T					
19. **NCR Corp.: Common		None	J	T					
20. **Teradata Corp: Common		None	J	T					
21. **Morgan Stanley Cash Accounts	A	Interest	L	T					
22. **LSI Corporation: Common	A	Dividend	J	T					
23. **Traveler's Companies: Common	A	Dividend	J	T					
24. Merrill Lynch Account Contains:									
25. **Merrill Lynch Cash Accounts	A	Interest	M	T					
26. Merrill Lynch IRA Contains:									
27. **AT&T, Inc.: Common	A	Dividend	K	T					
28. **Alcatel-Lucent: Common	A	Dividend	J	T					
29. **LSI Corporation: Common	A	Dividend	J	T					
30. **Marathon Oil Corp: Common	B	Dividend	M	T					
31. **Marathon Petroleum: Common	B	Dividend	M	T					
32. **Merrill Lynch Cash Accounts	A	Interest	K	T					
33. Wells Fargo Rollover IRA Contains:									
34. **Wells Fargo PT Money Market Fund	A	Interest	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 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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 16

Name of Person Reporting

Henderson, Karen L.

Date of Report

05/15/2014

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)

35. **United States Treasury Bills Due 01/03/2013	A	Interest			Redeemed	01/03/13	P1		
36. **United States Treasury Bills Due 07/05/2013		None			Buy	01/03/13	P1		
37. **United States Treasury Bills Due 07/05/2013	A	Interest			Redeemed	07/05/13	P1		
38. **United States Treasury Bills Due 01/16/2014		None	P1	T	Buy	07/18/13	P1		
39. Stanley Black & Decker Corp.: Common	B	Dividend	L	T					
40. Bank America Corp.: Common	B	Dividend	N	T					
41. The Boeing Co.: Common	D	Dividend	O	T					
42. Campbell Soup Co.: Common	C	Dividend	N	T					
43. Colgate-Palmolive Co.: Common	E	Dividend	P1	T					
44. General Electric Co.: Common	E	Dividend	P1	T					
45. The Goodyear Tire & Rubber Co.: Common	A	Dividend	L	T					
46. IBM Corp.: Common	D	Dividend	N	T					
47. Exxon-Mobil Corp.: Common	E	Dividend	O	T					
48. Kinder Morgan	C	Dividend	L	T					
49. Pfizer Co.: Common	D	Dividend	N	T					
50. Marathon Group: Common	C	Dividend	M	T					
51. Marathon Petroleum: Common	C	Dividend	N	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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 16

Name of Person Reporting

Henderson, Karen L.

Date of Report

05/15/2014

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)
52. Monsanto: Common	C	Dividend	N	T					
53. Chevron Corporation: Common	D	Dividend	N	T					
54. Weyerhaeuser Co.: Common	C	Distribution	M	T					
55. US Steel Group: Common	A	Dividend	J	T					
56. Allstate: Common	A	Dividend	K	T					
57. Delhaize Group Spons: Common	A	Dividend	J	T					
58. DirecTV Group, Inc.: Common		None	J	T					
59. Discover Financial Services: Common	A	Dividend	J	T					
60. Federal Signal Corp: Common		None	L	T					
61. Halliburton Co.: Common	A	Dividend	K	T					
62. Morgan Stanley: Common	A	Dividend	J	T					
63. News Corp Ltd.: Common	A	Dividend			Closed	05/09/13	J		
64. 21st Centruy Fox	A	Dividend	J	T	Spinoff (from line 63)	05/09/13	J		
65. Royal Dutch Shell: Common	F	Dividend	P1	T					
66. Schlumberger Ltd.: Common	D	Dividend	N	T					
67. Titanium Metals Corp: Common		None	J	T					
68. Transocean Inc.: Common	B	Dividend	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	

FINANCIAL DISCLOSURE REPORT

Page 8 of 16

Name of Person Reporting

Henderson, Karen L.

Date of Report

05/15/2014

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)
69. Valhi Inc.: Common	A	Dividend	J	T					
70. Total S.A. :Common Stock	A	Dividend	K	T					
71. Springtree Associates Partnership: 1% Interest (Columbia, SC)	A	Rent	J	W					
72. Wells Fargo Bank Accounts:	A	Interest	M	T					
73. First Citizens Bank Account	A	Interest	M	T					
74. NBSC Money Market Account	A	Interest	M	T					
75. BB&T Money Market Account	A	Interest	M	T					
76. SCB&T Money Market Account	A	Interest	L	T					
77. TD Bank Money Market Account	A	Interest	M	T					
78. Minnesota Mutual Life Insurance Policy	B	Dividend	L	T					
79. John Hancock Life Insurance Policy	A	Dividend	J	T					
80. Merrill Lynch SEP Contains:									
81. **Merrill Lynch SEP Cash Accounts	A	Dividend	J	T					
82. **Chevron Corp: Common	D	Dividend	M	T					
83. **American Euro Pacific Growth Fund		None			Sold	09/20/13	L	A	
84. **Thornburg International Value Fund	A	Dividend	M	T					
85. Wells Fargo Bank Trust Contains:									

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	

FINANCIAL DISCLOSURE REPORT

Page 9 of 16

Name of Person Reporting

Henderson, Karen L.

Date of Report

05/15/2014

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)

86. **Cash accounts		None	J	T					
87. **Dodge & Cox International Stock Fund	A	Dividend	J	T	Sold (part)	07/11/13	J	A	
88.					Sold (part)	10/10/13	J	A	
89. **Nuveen Limited Term Muni Fund	A	Dividend	J	T	Buy (add'l)	05/10/13	J		
90.					Sold (part)	07/11/13	J	A	
91.					Buy (add'l)	10/15/13	J		
92. **Nuveen Funds High Yield Muni Fund	A	Dividend	J	T	Sold (part)	02/08/13	J	A	
93.					Buy (add'l)	07/15/13	J		
94.					Buy (add'l)	10/15/13	J		
95. **Pimco Foreign Bond Fund	A	Dividend	J	T	Sold (part)	02/08/13	J	A	
96.	A	Distribution			Buy (add'l)	07/15/13	J		
97.					Buy (add'l)	10/15/13	J		
98. **Dreyfus Tax Exempt Cash Management Fund		None	J	T					
99. **Dreyfus Emerging Markets Debt Fund	A	Dividend	J	T	Sold (part)	02/08/13	J	A	
100.	A	Distribution			Buy (add'l)	07/15/13	J		
101.					Sold (part)	10/11/13	J	A	
102. **JP Morgan Mid Cap Value Fund	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 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	

FINANCIAL DISCLOSURE REPORT

Page 10 of 16

Name of Person Reporting

Henderson, Karen L.

Date of Report

05/15/2014

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)

103. **Keeley Small Cap Value Fund	A	Dividend	J	T	Sold (part)	02/08/13	J	A	
104. **Vanguard REIT Viper Fund	A	Dividend	J	T	Sold (part)	02/12/13	J	A	
105.					Sold (part)	05/10/13	J	A	
106.					Buy (add'l)	07/15/13	J		
107.					Buy (add'l)	10/15/13	J		
108. **Vanguard FTSE Emerging Market Fund	A	Dividend	J	T	Buy (add'l)	02/12/13	J		
109.					Buy (add'l)	05/10/13	J		
110.					Buy (add'l)	07/15/13	J		
111.					Sold (part)	10/15/13	J	A	
112. **Harbor Capital Appreciation Fund	A	Dividend	K	T	Buy (add'l)	02/12/13	J		
113.	A	Distribution			Sold (part)	05/08/13	J	A	
114.					Sold (part)	07/11/13	J	A	
115.					Sold (part)	10/11/13	J	A	
116. **MFS Value Fund	A	Dividend	J	T	Buy (add'l)	02/12/13	J		
117.	A	Distribution			Sold (part)	05/08/13	J	A	
118.					Sold (part)	07/11/13	J	A	
119. **Oppenheimer Developing Market	A	Dividend	J	T	Buy (add'l)	02/12/13	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 \$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	

FINANCIAL DISCLOSURE REPORT

Page 11 of 16

Name of Person Reporting

Henderson, Karen L.

Date of Report

05/15/2014

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.	A	Distribution			Sold (part)	10/10/13	J	A	
121. **SPDR DJ Wilshire International Fund	A	Dividend	J	T	Sold (part)	05/10/13	J	A	
122.					Buy (add'l)	07/10/13	J		
123. **Artisan International Growth Fund	A	Dividend	J	T	Sold (part)	05/08/13	J	A	
124.					Sold (part)	07/11/13	J	A	
125.					Sold (part)	10/10/13	J	A	
126. **Credit Suisse Commodity Return		None	J	T	Buy (add'l)	02/12/13	J		
127.					Buy (add'l)	05/10/13	J		
128.					Sold (part)	09/26/13	J	A	
129. **Ishares S&P 500 Index Fund	A	Dividend	J	T	Sold (part)	05/10/13	J	A	
130.					Sold (part)	07/11/13	J	A	
131. **Nuveen Intermediate Duration Bond Fund	A	Dividend	J	T	Buy (add'l)	02/12/13	J		
132.					Sold (part)	05/08/13	J	A	
133.					Buy (add'l)	10/15/13	J		
134. **Ridgeworth SEIX HY Fund	A	Dividend	J	T	Sold (part)	02/08/13	J	A	
135.	A	Distribution			Buy (add'l)	07/15/13	J		
136. **American Century Tax Free Bond Fund	A	Dividend	J	T	Sold (part)	02/08/13	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	

FINANCIAL DISCLOSURE REPORT

Page 12 of 16

Name of Person Reporting

Henderson, Karen L.

Date of Report

05/15/2014

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.	A	Distribution			Buy (add'l)	05/10/13	J		
138.					Sold (part)	07/11/13	J	A	
139.					Buy (add'l)	10/15/13	J		
140. **Diamond Hill Long-Short Fund	A	Dividend	J	T	Sold (part)	02/08/13	J	A	
141.					Sold (part)	07/10/13	J	A	
142. **Hussman Strategic Growth Fund	A	Dividend			Sold	02/08/13	J	A	
143. **Laudus Mondrian International Fixed Income Fund	A	Distribution	J	T	Sold (part)	02/08/13	J	A	
144.					Buy (add'l)	07/15/13	J		
145. **Merger Fund SH Ben int	A	Dividend	J	T	Buy (add'l)	02/12/13	J		
146.					Buy (add'l)	07/15/13	J		
147. **Eaton Vance Global Macro Fund	A	Dividend	J	T	Buy	07/15/13	J		
148. **Ipath Dow Jones -UBS Commodity Fund		None	J	T	Buy	09/30/13	J		
149. **Ishares Russell 2000 Fund		None			Sold	02/12/13	J	A	
150. **Artisan Mid Cap Fund	A	Dividend	J	T	Buy (add'l)	02/12/13	J		
151.					Buy (add'l)	07/15/13	J		
152.					Sold (part)	10/10/13	J	A	
153. **Driehaus Active Income Fund	A	Dividend	J	T	Buy (add'l)	02/12/13	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 \$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	

FINANCIAL DISCLOSURE REPORT

Page 13 of 16

Name of Person Reporting

Henderson, Karen L.

Date of Report

05/15/2014

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.					Buy (add'l)	07/15/13	J		
155.					Buy (add'l)	10/15/13	J		
156. **Gateway Fund	A	Dividend			Buy (add'l)	02/12/13	J		
157.					Sold	07/11/13	J	A	
158. **AQR Managed Futures		None			Buy	07/15/13	J		
159.					Sold	10/10/13	J	A	
160. **ASG Global Alternatives	A	Dividend	J	T	Buy	07/15/13	J		
161.					Buy (add'l)	10/15/13	J		
162. **Fidelity Emerging Markets	A	Dividend	J	T	Buy	10/15/13	J		
163. **Kalmar Growth with Value Small Cap FD		None			Buy	02/12/13	J		
164.					Sold	11/07/13	J	A	
165. **Kalmar Growth with Value Small Cap Ins		None	J	T	Buy	11/07/13	J		
166. Wells Fargo Brokerage Account Contains:									
167. **Cash Accounts		None	J	T					
168. **US Treasury Bill Due 03/14/13	B	Interest			Redeemed	03/14/13	P1		
169. **US Treasury Bill Due 9/12/13		None			Buy	03/14/13	P1		
170.	B	Interest			Redeemed	09/12/13	P1		

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	

FINANCIAL DISCLOSURE REPORT

Page 14 of 16

Name of Person Reporting

Henderson, Karen L.

Date of Report

05/15/2014

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. **US Treasury Bill due 3/13/14		None	P1	T	Buy	09/12/13	P1		

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	

FINANCIAL DISCLOSURE REPORT

Page 15 of 16

Name of Person Reporting

Henderson, Karen L.

Date of Report

05/15/2014

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

Part VII, Line 43 - Colgate declared a 2 for 1 stock split March 7, 2013 for shareholders owning shares as of April 23, 2013(record date). The additional shares were distributed to shareholders May 15, 2013.

Part VII, Line 63 & 64 - News Corp. split into two different companies effective June 18, 2013 to separate its publishing and media divisions. The company created for the publishing division was named News Corp and the company created for the media division was named 21st Century Fox. The shares owned at the time of this report as a result of this split are shares in 21st Century Fox.

FINANCIAL DISCLOSURE REPORT

Page 16 of 16

Name of Person Reporting

Henderson, Karen L.

Date of Report

05/15/2014

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/ **Karen L. Henderson**

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