

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

*Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)*

1. Person Reporting (last name, first, middle initial) Yeakel III, Earl L.	2. Court or Organization District Court, W.D. Texas	3. Date of Report 05/14/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2018 to 12/31/2018
5b. ☐ Amended Report		
7. Chambers or Office Address United States Courthouse 501 West 5th Street Austin, Texas 78701		
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.)*

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Member	University of Texas Longhorn Foundation Advisory Council
2.	Member	Texas Commission on Uniform State Laws
3.	Member	National Conference of Commissioners on Uniform State Laws
4.	Member	Board of Advisors, Austin Lawyers Chapter, The Federalist Society
5.	President	Hon. Lee Yeakel Intellectual Property American Inn of Court
6.	Trustee	Austin Rotary Club Foundation
7.	Trustee	American Inns of Court Foundation
8.	Trustee & Member of Executive Committee	Headliners Club of Austin

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

☒ NONE *(No reportable agreements.)*

	<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.		
2.		
3.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 8

Name of Person Reporting

Yeakel III, Earl L.

Date of Report

05/14/2019

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***A. Filer's Non-Investment Income**NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1.		
2.		
3.		
4.		

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2018	Employees Retirement System of Texas - Retirement
2. 2018	Fisher Winslow Risk Advisors - Commission Sales
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. Federal Bar Association	January 12, 2018	Irving, Texas	Northern District of Texas Bench-Bar Conference	Transportation & Meals
2. National Conference of Commissioners on Uniform State Laws	January 24-28, 2018	Tucson, Arizona	Committee on Style Meeting	Transportation, Meals, & Lodging
3. The Naples Round Table, Inc.	February 17-20, 2018	Naples, Florida	The Naples Round Table Institute	Transportation, Meals, & Lodging
4. National Conference of Commissioners on Uniform State Laws	May 2-6, 2018	Madison, Wisconsin	Committee on Style Meeting	Transportation, Meals, & Lodging

FINANCIAL DISCLOSURE REPORT

Page 3 of 8

Name of Person Reporting Yeakel III, Earl L.	Date of Report 05/14/2019
--	---

5.	National Conference of Commissioners on Uniform State Laws	September 5-9, 2018	Chicago, Illinois	Committee on Style Meeting	Transportation, Meals, & Lodging
6.	The Eastern District of Texas Bar Association	October 17-19, 2018	Plano, Texas	Eastern District of Texas Bench-Bar Conference	Transportation, Meals, & Lodging
7.	National Conference of Commissioners on Uniform State Laws	November 1-3, 2018	Tucson, Arizona	International Legal Developments Committee Meeting	Transportation, Meals, & Lodging

FINANCIAL DISCLOSURE REPORT

Page 4 of 8

Name of Person Reporting

Yeakel III, Earl L.

Date of Report

05/14/2019

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.			

FINANCIAL DISCLOSURE REPORT

Page 5 of 8

Name of Person Reporting

Yeakel III, Earl L.

Date of Report

05/14/2019

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 mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

1. SCHW Common Stock	A	Dividend	J	T					
2. CVX Common Stock	C	Dividend	M	T					
3. XOM Common Stock	B	Dividend	K	T					
4. F Common Stock	A	Dividend	J	T					
5. MSFT Common Stock	A	Dividend	K	T					
6. Rogers Communications, Inc. Class B Common Stock	A	Dividend	K	T					
7. Royal Dutch Shell PLC Common Stock	B	Dividend	K	T					
8. LUV Common Stock	C	Dividend	N	T					
9. SPND.OB Common Stock		None	J	T					
10. DIS Common Stock	A	Dividend	K	T					
11. Fidelity Blue Chip Growth Mutual Fund	A	Dividend	L	T					
12. Fidelity Blue Chip Growth Mutual Fund	C	Distribution							
13. Fidelity China Region Mutual Fund	A	Dividend	J	T					
14. Fidelity New Millenium Mutual Fund	A	Dividend	K	T					
15. Fidelity New Millennium Mutual Fund	C	Distribution							
16. Fidelity Municipal Money Market Mutual Fund	A	Dividend	J	T					
17. Fidelity Gov't Money Market Premium Class	A	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 \$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 8

Name of Person Reporting

Yeakel III, Earl L.

Date of Report

05/14/2019

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 mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

18. Vanguard Total Stock Market Index Admiral Mutual Fund	A	Dividend	K	T					
19. Prosperity Bank (CD)	A	Interest			Matured	03/05/18	K	A	
20. Prosperity Bank (Checking)	A	Interest	L	T					
21. Wells Fargo Bank (Checking)	A	Interest	J	T					
22. Wells Fargo Bank (Checking)	A	Interest	J	T					
23. Wells Fargo Bank (Savings)	A	Interest	M	T					
24. IBC Bank (Checking)		None	J	T	Open	11/05/18	J		
25. Federated Gov't Obl. Tax Mgd. Fund #636	A	Dividend	J	T					
26. Federal Farm Credit Bank 3.45% Note	B	Interest	K	T					
27. U.S. Treasury 5.5% Note	D	Interest	M	T					
28. Vanguard Wellesley Inc. Fund Admiral Shares	B	Dividend	K	T					
29. Luby's Inc.		None	J	T					
30. United States Series I Savings Bonds	B	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 7 of 8

Name of Person Reporting

Yeakel III, Earl L.

Date of Report

05/14/2019

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

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

Yeakel III, Earl L.

Date of Report

05/14/2019

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: s/ Earl L. Yeakel III

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