

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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) Austin, Andrew W.	2. Court or Organization U.S. District Court - W.D. Texas	3. Date of Report 05/14/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Full-time U.S. Magistrate Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
7. Chambers or Office Address United States Courthouse 501 West 5th Street Suite 4190 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. Executive Committee member	Lloyd Lochridge American Inn of Court
2. Treasurer	Violet Crown Sports Association (Cycling Team)
3. Board member	The Trail Foundation
4. Adjunct professor	University of Texas School of Law
5.	

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.	

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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. 2019	University of Texas School of Law - teaching	\$5,004.00
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. 2019	Austin Independent School District - salary
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.				
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)	(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 mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1. MUTUAL FUNDS									
2. - American Balanced Fund	D	Dividend	N	T					
3. - Am. Funds Tax-Exempt Bond Fund of America	B	Dividend	K	T					
4. - Invesco Tax-Free Intermed. Fund Class A	A	Dividend			Sold	09/10/19	K		
5. CLOSED END FUNDS & ETFs									
6. - BBN	B	Dividend	K	T					
7. - LDP	B	Dividend	K	T					
8. - AFAXX	B	Dividend	L	T					
9. - NMCO	A	Dividend	K	T	Buy	09/17/19	K		
10. UBS BANK USA DEPOSIT ACCT	A	Interest	J	T					
11. STOCKS:									
12. - GYB	B	Dividend			Redeemed	12/06/19	K	D	
13. CORPORATE BONDS:									
14. - Genworth Fin. Bond	B	Interest	K	T					
15. MUNICIPAL BONDS									
16. - Central Tx Reg. Mobility Authority	A	Interest	K	T					
17. IRA # 1									

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 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. - UBS Bk. Dep. Acct.	A	Interest	K	T					
19. - EDIV	A	Dividend			Sold	09/13/19	J		
20. - IDV	A	Dividend	J	T					
21. - GE	A	Dividend			Sold	09/13/19	J		
22. - WAB	A	Dividend			Spinoff (from line 21)	02/26/19	J		
23.					Sold	04/12/19	J		
24. - PDVYX	A	Dividend			Sold	09/13/19	K		
25. - GIOIX	A	Dividend			Sold	02/13/19	J		
26. - DSL	B	Dividend	J	T					
27. - LDP	B	Dividend	K	T					
28. - F	A	Dividend	J	T					
29. - RDSA	A	Dividend	J	T					
30. - LSIZX	A	Dividend			Sold	09/13/19	J	A	
31. - LUV	A	Dividend			Sold	09/13/19	J		
32. - VRP	A	Dividend	J	T					
33. - SEMMX	A	Dividend	J	T					
34. - UNTS FT SBRIENT BAKERS DZN	A	Interest			Redeemed	02/22/19	J		

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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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35. - SLB	C	Dividend			Sold	09/13/19	J		
36. - MLPA	A	Dividend	J	T					
37. - T	A	Dividend	J	T					
38. - Genl Elec Co B/E corp bond	A	Interest	J	T					
39. - QABA	A	Dividend			Sold	09/13/19	J		
40. - OXY		None	J	T	Buy	12/19/19	J		
41. - WPC		None	J	T	Buy	12/17/19	J		
42. - BIICX	A	Dividend	J	T	Buy	09/24/19	J		
43. - USIPX	A	Dividend	K	T	Buy	09/16/19	K		
44. - PSDYX	A	Dividend	K	T	Buy	09/16/19	K		
45.					Sold (part)	12/17/19	J		
46. - DOW	A	Dividend	J	T	Buy	05/23/19	J		
47. IRA # 2									
48. - Am. Funds Target Date 2045 A	A	Dividend	L	T					
49. - Am. Funds Intermed. Bond Fund of Am Class A	B	Dividend	L	T					
50. - Am. Funds Bond Fund of America Class A	C	Dividend	M	T					
51. - Am. Funds Capital World Bond Fund Class A	B	Dividend	M	T					

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52. - Am. Funds Growth & Inc. Port.	C	Dividend	M	T					
53. FROST BANK MONEY MKT & CHECKING ACCOUNTS	A	Interest	L	T					

1 Income Gain Codes:	A =\$1,000 or less	B =\$1,001 - \$2,500	C =\$2,501 - \$5,000	D =\$5,001 - \$15,000	E =\$15,001 - \$50,000
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of 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: **s/ Andrew W. Austin**

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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Washington, D.C. 20544