

1. Person Reporting (last name, first, middle initial) Moody, Jr., James M.	2. Court or Organization U. S. District Court, Eastern District of Arkansas	3. Date of Report 07/25/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U. S. District Judge-nomination	5a. Report Type (check appropriate type) ☒ Nomination Date 07/25/2013 ☐ Initial ☐ Annual ☐ Final	6. Reporting Period 01/01/2012 to 06/30/2013
	5b. ☐ Amended Report	
7. Chambers or Office Address 401 West Markham Room 240 Little Rock, Arkansas 72201		
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.	Trustee	Trust #1
2.	Trustee	Trust #2
3.	Trustee	Trust #3
4.	Managing Member	Moody Manor LLC
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. 01/01/2011	State of Arkansas Judicial Retirement System. Vested in retirement benefits to begins at age 65.
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. 2011	State of Arkansas Judicial salary	\$134,000.00
2. 2012	State of Arkansas Judicial salary	\$134,000.00
3. 2013	State of Arkansas Judicial salary	\$79,482.00
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. Exempt				
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.)*

SOURCE	DESCRIPTION	VALUE
1. Exempt		
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

Name of Person Reporting

Moody, Jr., James M.

Date of Report

07/25/2013

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. Banco Santander, S. A. Common Stock	A	Dividend	J	T	Exempt				
2. Alcoa Inc Common Stock	A	Dividend	K	T					
3. Chimera Investment Corp Common Stock	A	Dividend	J	T					
4. Duke Entergy Corp Common Stock	A	Dividend	K	T					
5. Ford Motor Company Common Stock	A	Dividend	J	T					
6. General Electric Co. Common Stock	A	Dividend	J	T					
7. GSV Inc. Common Stock		None	J	T					
8. Huntsman Corp Common stock	A	Dividend	K	T					
9. Intel Corp Common Stock	A	Dividend	K	T					
10. iShares Silver Trust (ETF)		None	K	T					
11. Kinetics Paradigm Fund		None	J	T					
12. Medical Properties Trust Inc Common Stock		None	K	T					
13. Nucor Corp Common Stock	A	Dividend	K	T					
14. Micron Technology inc Common Stock		None	J	T					
15. Pfizer inc Common Stock	A	Dividend	K	T					
16. QR Entergy Common Stock	A	Dividend	K	T					
17. The Southern Company	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	

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18. Vanguard Growth Index Fund	B	Distribution	M	T					
19. Vanguard Windsor II Fund	C	Distribution	M	T					
20. Trust 1									
21. -American Funds AMCAP Fund A	C	Distribution	N	T					
22. -American Funds Growth Fund	C	Distribution	M	T					
23. -American Funds New Prospective Fund	C	Distribution	M	T					
24. -American Funds New World Fund	C	Distribution	K	T					
25. -Federated Kaufman Fund R	C	Distribution	K	T					
26. Trust 2									
27. -American FundsAMCAP Fund A	C	Distribution	K	T					
28. -American Funds Growth Fund	C	Distribution	K	T					
29. -American Funds New Prospective Fund	C	Distribution	K	T					
30. -American Funds New World Fund	C	Distribution	K	T					
31. Trust 3									
32. -Arkansas State University Rev Housing System Bond	B	Interest	L	T					
33. -Arkadelphia AR PUB ED FACS REV Ouachita Baptist Bond	C	Interest	L	T					
34. -ARK ST RFDG Water Waste Disposal Bond	B	Interest	K	T					

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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 \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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35. -Arkansas State Higher Education Bond	B	Interest	K	T					
36. -Batesville AR School District Bond	B	Interest	L	T					
37. -Bryant AR School District 25 Construction Bond	C	Interest	L	T					
38. -Clinton AR School District 1 Construction Bond	B	Interest	L	T					
39. -Conway AR School District 1 Faulkner County Bond	B	Interest	K	T					
40. -Conway County School District 001 Bond	B	Interest	K	T					
41. -ElDorado AR School District 15 Bond	B	Interest	L	T					
42. -Little Rock AR RFDG Library Construction Bond	B	Interest	K	T					
43. -Norrth Little Rock Health Facilities Board Bond	B	Interest	K	T					
44. -North Little Rock AR School District 1 Bond	B	Interest	K	T					
45. -Paris AR School Disrict 7 Bond	C	Interest	L	T					
46. -Pulaski Technical CollegeAR Revenue Bond	C	Interest	L	T					
47. -Rogers AR Sewer Revenue Improvement Bond	C	Interest	L	T					
48. -University of Arkansas Revenue Varsity Facilites Bond	C	Interest	L	T					
49. Summit Bank Acconts	A	Interest	M	T					
50. Telcoe Federal Credit Union Accounts	A	Interest	J	T					
51. Moody Manor LLC Union Co.	E	Distribution	N	T					

1. Income Gain Codes:
(See Columns B1 and D4)

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
P3 =\$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 =\$500,001 - \$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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	(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)
52. Little Praire Land Co.	D	Distribution	M	T					
53.									
54.									
55.									

1. Income Gain Codes:
(See Columns B1 and D4)

A =\$1,000 or less
F =\$50,001 - \$100,000
J =\$15,000 or less
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P3 =\$25,000,001 - \$50,000,000
Q =Appraisal
U =Book Value
2. Value Codes
(See Columns C1 and D3)

B =\$1,001 - \$2,500
G =\$100,001 - \$1,000,000
K =\$15,001 - \$50,000
O =\$500,001 - \$1,000,000
R =Cost (Real Estate Only)
V =Other
3. Value Method Codes
(See Column C2)

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
J12 =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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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/ James M. Moody, Jr.**

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

FINANCIAL STATEMENT

NET WORTH

Provide a complete, current financial net worth statement which itemizes in detail all assets (including bank accounts, real estate, securities, trusts, investments, and other financial holdings) all liabilities (including debts, mortgages, loans, and other financial obligations) of yourself, your spouse, and other immediate members of your household.

ASSETS				LIABILITIES			
Cash on hand and in banks		106	751	Notes payable to banks-secured (auto)		25	864
U.S. Government securities				Notes payable to banks-unsecured			
Listed securities – see schedule		564	866	Notes payable to relatives			
Unlisted securities – see schedule		736	000	Notes payable to others			
Accounts and notes receivable:				Accounts and bills due			
Due from relatives and friends				Unpaid income tax			
Due from others				Other unpaid income and interest			
Doubtful				Real estate mortgages payable – personal residence		274	562
Real estate owned – personal residence		540	000	Chattel mortgages and other liens payable			
Real estate mortgages receivable				Other debts-itemize:			
Autos and other personal property		150	000				
Cash value-life insurance							
Other assets itemize:							
				Total liabilities		300	426
				Net Worth	1	797	191
Total Assets	2	097	617	Total liabilities and net worth	2	097	617
CONTINGENT LIABILITIES				GENERAL INFORMATION			
As endorser, comaker or guarantor				Are any assets pledged? (Add schedule)	No		
On leases or contracts				Are you defendant in any suits or legal actions?	No		
Legal Claims				Have you ever taken bankruptcy?	No		
Provision for Federal Income Tax							
Other special debt							