

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

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) CAUTHRON, ROBIN J.	2. Court or Organization WESTERN DISTRICT OF OKLAHOMA	3. Date of Report 04/27/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U. S. DISTRICT JUDGE (SENIOR STATUS)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2020 to 12/31/2020
7. Chambers or Office Address 4001 U.S. COURTHOUSE 200 N.W. 4TH STREET OKLAHOMA CITY, OK 73102		
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.)*

<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. 2020	Self-employed lawyer
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.)*

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.

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CAUTHRON, ROBIN J.

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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. Allegiance Credit Union Oklahoma City, OK	A	Interest	K	T					
2. Legg Mason Partners: Appreciation Fund (mutual fund)	A	Dividend	J	T					
3. John Powell, Ltd. Partnership Tulsa County, OK real est.		None	K	R					See VIII, Explanations
4. Winston Oil Co. 1981-1982 Ltd. Partnership, Marion, OH		None	J	W					
5. Dage Oil Co., Ltd. Partnership Oklahoma City, OK		None	J	W					
6. Mineral interest in Woods County, OK	A	Royalty	J	W					
7. Persuasive Strategies, LLC	A	Interest	K	T					
8. -Denbury, Plano, TX (minerals)	A	Royalty	J	T					
9. BROKERAGE ACCOUNT #1									
10. -American Fund: American Balanced Fund C (mutual fund)	A	Dividend	J	T					
11. -American Fund: Capital Income Builder Fund (mutual fund)	A	Dividend	J	T					
12. -Amer. Fund: Capital World Growth & Income Fund C (mut fund)	A	Dividend	J	T					
13. -Income Fund of America C (mutual fund)	A	Dividend	J	T					
14. -Chesapeake Energy Corp (common stock)	A	Dividend	J	T					
15. -Superior Energy Services, Inc. (common stock)	A	Dividend	J	T					
16. -Janus Forty Fund	A	Dividend	J	T					
17. -Mainstay Lg Cap Growth 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	

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☐

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. -Blackrock Eq Dividend Fd	A	Dividend	J	T					
19. -Seligman Lg Cap Value Fd	A	Dividend	J	T					
20. -Alger Small Cap Growth Fd	A	Dividend	J	T					
21. -TCW Small Cap Growth Fd	A	Dividend	J	T					
22. -Perkins Small Cap Value	A	Dividend	J	T					
23. -Royce Premier Fund	A	Dividend	J	T					
24. -AIM Developing Mkts Fd	A	Dividend	J	T					
25. -Lazard Emerging Markets	A	Dividend	J	T					
26. -Henderson Int'l Opp Fund	A	Dividend	J	T					
27. -Nuveen Trwds Int'l Val Fd	A	Dividend	J	T					
28. -Thornburg Int'l Value Fd	A	Dividend	J	T					
29. -Enterprize Prod. Partners	A	Dividend	J	T					
30. -Nustar Energy	A	Dividend	J	T					
31. -Plains All American	A	Dividend	J	T					
32. -Kayne & Midstream Energy Fund	A	Dividend	J	T					
33. -Alerian Master Ltd. Partnership	A	Dividend	J	T					
34. -Clearbridge Energy	A	Dividend	J	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. -Clearbridge AMER. Energy MLP	A	Dividend	J	T					
36. -Goldman Sachs MLP Energy	A	Dividend	J	T					
37. -First Trust North American	A	Dividend	J	T					
38. -Energy Transfer Equity	A	Dividend	J	T					
39. New York Life Ins. (whole life)	A	Interest	K	T					
40. IRA ACCOUNT #1									
41. -Microsoft (common)	A	Dividend	K	T					
42. -Google		None	J	T					
43. -Shopify Incisin	A	Dividend	J	T					
44. Stock Exchange Bank, Woodward, OK	A	Interest	K	T					
45. BROKERAGE ACCT #2									
46. -Berkshire Hathaway A		None	M	T					
47. -Microsoft (common)	A	Dividend	K	T					
48. -Walmart (common)	A	Dividend	J	T	Buy (add'l)	12/16/20	J		
49. -Apple	A	Dividend	K	T					
50. -Amazon		None	M	T					
51. -Berkshire Hathaway B		None	K	T	Buy (add'l)	08/13/20	K		

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52. -Alteryx	A	Dividend			Buy	01/07/20	J		
53.					Sold	12/16/20	J	A	
54. -WW Int'l	A	Dividend			Buy	06/11/20	J		
55.					Sold	08/12/20	J	A	
56. -Waste Management	A	Dividend	J	T	Buy	06/11/20	J		
57. -Teradyne	A	Dividend	J	T	Buy	06/24/20	J		
58. -Advanced Micro Device	A	Dividend	J	T	Buy	08/06/20	J		
59. -Zebra Technologies	A	Dividend	K	T	Buy	11/27/20	K		
60. -Shopify		None			Buy	01/13/20	J		
61.					Sold	05/12/20	L	A	
62. Ford Motor Co	A	Dividend	J	T	Buy	12/16/20	J		
63. SEP IRA ACCOUNT #2									
64. - Insured Deposit money market fund (Wells Nelson & Associates, PLLC)	A	Interest	L	T					
65. -ATT	A	Dividend	K	T					
66. -Altria Group	A	Dividend			Sold	02/13/20	K	A	
67. -OneOK	A	Dividend			Sold	05/06/20	J	A	
68. -Phillip Morris	A	Dividend	J	T					

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69. -Union Pacific Corp.	A	Dividend			Sold	01/13/20	J	A	
70. -Berkshire B		None	K	T					
71. -Alteryx	A	Dividend			Buy	02/13/20	J		
72.					Sold	12/16/20	J	A	
73. -Sorrento		None			Buy	05/19/20	J		
74.					Sold	06/09/20	J	A	
75. -Shopify		None			Buy	02/13/20	K		
76.					Sold	03/03/20	K	A	
77. BROKERAGE ACCT #3									
78. -Insured Deposit money market fund (Wells Nelson & Assoc., PLLC)	A	Int./Div.	J	T					
79. -Chevron Corp.	A	Dividend	J	T					
80. -Texas Instruments	A	Dividend	J	T					
81. -Altria Croup	A	Dividend	J	T					
82. -AT&T	A	Dividend	J	T					
83. -Amazon		None	L	T					
84. BROKERAGE ACCT #4									
85. -Altria Group	B	Dividend	J	T	Buy	01/28/20	J		

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
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86. -Amazon		None	M	T	Buy	01/28/20	L		
87. -AT&T	B	Dividend	K	T	Buy	01/28/20	K		
88. -Chevron	B	Dividend	K	T	Buy	01/28/20	K		
89. -Texas Instruments	B	Dividend	L	T	Buy	01/28/20	K		

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

PART VII. Investments and Trusts

Line 3 - John Powell Limited Partnership was purchased in 1973 for \$26,000.

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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/ **ROBIN J. CAUTHRON**

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