

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) WIENER, JR., JACQUES L.	2. Court or Organization US COURT OF APPEALS 5TH CIRCUIT	3. Date of Report 5/7/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) JUDGE 5TH CIRCUIT COURT-SENIOR STATUS	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 COURT OF APPEALS BLDG 600 CAMP STREET, ROOM 244 NEW ORLEANS, LA 70130		
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.	SENIOR OFFICER	COUNCIL, LOUISIANA STATE LAW INSTITUTE
2.	TRUSTEE	TRUST #1
3.		
4.		
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.)*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. 2013

FISHER & PHILLIPS, LLP (ATTORNEY/PARTNER)

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. _____

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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.	SEE PART VIII	SEE PART VIII	\$0.00
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) 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. CASH:									
2. BANCORPSOUTH ACCOUNT #1	A	Interest	N	T					
3. BANCORPSOUTH ACCOUNT #2	A	Interest	K	T					SEE PART VII
4. BANCORPSOUTH ACCOUNT #3	A	Interest	J	T					
5. REGIONS BANK ACCOUNT #1	A	Interest	K	T					
6. REGIONS BANK ACCOUNT #2	A	Interest	K	T					
7. FEDERATED TAX FREE OBLIG	A	Int./Div.	L	T					
8. MORGAN STANLEY BANK N.A.	A	Int./Div.	L	T	Buy	07/30/13	K		
9. CITIBANK NA BANK DEPOSIT PROGRAM	A	Interest			Sold	07/30/13	K		
10. JP MORGAN BROKERAGE CASH BALANCE	A	Interest	N	T					
11. JP MORGAN BROKERAGE CASH BALANCE	A	Interest			Closed	02/01/13	K		SEE PART VII
12. JPM TAX FREE RESV SWEEP FUND	A	Int./Div.	M	T					
13.									
14. MUTUAL FUNDS:									
15. JPM SHORT DURATION BOND FD-SEL	B	Dividend	O	T	Sold (part)	02/07/13	L	A	
16. JPM STRATEGIC INCOME OPP FD	B	Dividend	L	T	Buy (add'l)	07/22/13	J		
17. JPM HIGH YIELD FD-SEL	D	Dividend	L	T	Sold (part)	07/22/13	L	B	

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 = \$250,001 - \$500,000,000	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	

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18. DODGE & COX INTERNATIONAL STOCK	B	Dividend	M	T	Buy (add'l)	02/07/13	K		
19.					Buy (add'l)	11/06/13	K		
20. EATON VANCE FLOATING RATE I	C	Dividend	L	T	Sold (part)	07/22/13	L	B	
21. JPM INTERNATIONAL CURRENCY INCOME FD		None			Sold	02/07/13	L		
22. MATTHEWS ASIA DIVIDEND INSTITUTIONAL	B	Dividend	K	T					
23. ARTISAN INTL VALUE FUND-INV	A	Dividend	K	T					
24. BARC 100% PP CNY	A	Interest	J	T	Buy (add'l)	01/31/13	J		
25.					Buy (add'l)	02/28/13	J		
26.					Buy (add'l)	03/29/13	J		
27.					Buy (add'l)	04/30/13	J		
28.					Buy (add'l)	05/31/13	J		
29.					Buy (add'l)	06/28/13	J		
30.					Buy (add'l)	07/31/13	J		
31.					Buy (add'l)	08/30/13	J		
32.					Buy (add'l)	09/30/13	J		
33.					Buy (add'l)	10/31/13	J		
34.					Buy (add'l)	11/29/13	J		

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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.					Buy (add'l)	12/31/13	J		
36. BBH FD INC	B	Dividend	M	T					
37. CULLEN HIGH DIV EQUITY FUND	B	Dividend			Sold (part)	11/06/13	L	E	
38.					Sold	11/06/13	J	A	
39. DB MARKET PLUS SX5E 3/19/14		None	K	T					
40. DOUBLELINE FDS TR	C	Dividend	L	T					
41. GATEWAY FUND-Y	A	Dividend	L	T	Buy (add'l)	07/22/13	K		
42. HSBC AMERICAS MARKET PLUS 8/27/13		None			Sold	08/27/13	K	C	
43. ISHARES CORE S&P MID-CAP ETF	A	Dividend	L	T					
44. ISHARES RUSSELL 1000 VALUE INDEX	A	Dividend	K	T					
45. JPM LARGE CAP GROWTH FD-SEL		None			Sold	07/22/13	K	C	
46. JPM MANAGED INCOME-INSTL	B	Dividend	O	T					SEE PART VII
47. JPM MANAGED INCOME-SEL	A	Dividend	J	T	Buy	04/01/13	J		SEE PART VII
48. JPM SHORT TERM INTERM MUNI BOND-SEL	A	Dividend	M	T	Buy (add'l)	07/22/13	K		
49.					Buy (add'l)	11/06/13	K		
50. JPM TR I TAX AWARE REAL RTRN FD- SEL	A	Dividend	L	T					
51. JPM US EQUITY FD-SEL	C	Dividend	L	T	Sold (part)	07/22/13	J	B	

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52. MFS INTL VALUE-I	B	Dividend	L	T	Buy (add'l)	02/07/13	K		
53. SPDR S&P 500 ETF TRUST	C	Dividend	M	T					
54. SPDR GOLD TRUST		None			Sold	11/06/13	K		
55. UBS BREN SPX 6/12/13		None			Redeemed	06/12/13	K	C	
56. ISHARES MSCI CHINA	A	Dividend			Buy	02/08/13	K		
57.					Sold	07/22/13	K		
58. MS BREN BRENT		None	K	T	Buy	05/01/13	K		
59. OPPENHEIMER DEVELOPING MARKET	A	Dividend	L	T	Buy	12/10/13	K		
60. PIMCO FDS UNCONSTR BD	A	Dividend	L	T	Buy	07/22/13	L		
61. RIVERPARK/WEDGEWOOD	A	Dividend	L	T	Buy	07/22/13	K		
62. TEMPLETON GLOBAL BOND	B	Dividend	K	T	Buy	02/07/13	K		
63. VANGUARD EMERGING MARKETS	A	Dividend			Buy	02/07/13	K		
64.					Sold	07/22/13	K		
65.									
66. STOCKS:									
67. BOEING	B	Dividend	M	T					
68. CHEVRON COPR NEW	A	Dividend	K	T					

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69. EXXON MOBIL CORP	B	Dividend	M	T					
70. LUFKIN INDUSTRIES	A	Dividend			Donated (part)				
71.					Donated				
72. GREEN DOT CORP		None	K	T	Donated (part)				
73.					Donated (part)				
74.					Donated (part)				
75.									
76.									
77. 1ST SUMMIT BANCORP OF JOHNSTON, INC (PER ANNUAL REPORT)	B	Dividend	L	W					SEE PART VII
78.									
79. STOCKS: UNLISTED									
80. COASTAL CLUB		None	M	W					
81. CONTENT DIRECTIONS INC B		None			Sold	12/30/13	K		
82. CONTENT DIRECTIONS INC C		None			Sold	12/30/13	K		
83. CONTENT DIRECTIONS INC C		None			Sold	12/30/13	J		SEE PART VII
84.									

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85. INVESTMENTS/PARTNERSHIPS:									
86. WW URBAN PROPERTIES LLC	D	Distribution	J	W					
87. WW RURAL PROPERTIES LLC	C	Distribution	K	W					
88. CENTRAL INDUSTRIAL COMPLEX		None	J	U					
89. LAMA LIMITED PARTNERSHIP		None	J	W					
90. LAMA '89 LIMITED PARTNERSHIP	A	Distribution	J	W					
91. RENREW MINERALS, LTD	G	Distribution	O	W					
92. TEE ENERGY, CO., LLC		None	N	W					
93. JADOBE INVESTMENTS 1998, LLC	C	Distribution	J	W					
94. JADOBE INVESTMENTS 2000, LLC	E	Distribution	M	W					
95. JASAN, LLC		None	M	W					
96. LOUIS ROSEN COMPANY, LLC		None			Distributed	04/23/13	N		LOUIS ROSEN WW, LLC
97. PROVEN LEGACY, LLC		None	M	W	Buy (add'l)	4/29/13	J		
98. TENFOLD, INC.	C	Distribution	J	W					
99. NEXT IGEN LLC-SERIES A	G	Distribution	N	W					
100. NEXT IGEN LLC-SERIES B		None	K	W	Buy (add'l)	1/31/13	J		
101. NEXT IGEN LLC-SERIES C		None	K	W	Buy (add'l)	02/27/13	J		

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102.					Buy (add'l)	06/04/13	J		
103.					Buy (add'l)	08/01/13	J		
104.					Buy (add'l)	09/05/13	J		
105. NEXT IGEN LLC-SERIES D		None	L	W	Buy (add'l)	03/26/13	J		
106.					Buy (add'l)	05/02/13	J		
107.					Buy (add'l)	06/04/13	J		
108. NEXT IGEN LLC-SERIES E	G	Distribution	L	W					
109. NEXT IGEN LLC-SERIES F		None	K	W					
110. NEXT IGEN LLC-SERIES G		None	K	W					
111. NEXT IGEN LLC-SERIES H		None	L	W					
112. YETA, LLC		None	N	W	Buy (add'l)	06/19/13	J		
113.					Buy (add'l)	07/24/13	J		
114.					Buy (add'l)	08/12/13	J		
115.					Buy (add'l)	09/18/13	K		
116. DEANSAN, LLC		None	N	W	Buy (add'l)	05/21/13	J		
117.					Buy (add'l)	10/22/13	J		
118. BIG PINK, LLC		None	J	W	Buy	08/06/13	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	

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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) Amount Code I (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)

119.					Buy (add'l)	09/26/13	J		
120. JPM ACCESS MULTI-STRATEGY FUND	B	Int./Div.	L	W					
121. POWERSHARES DB COMMODITY INDEX			L	T	Buy (add'l)	11/06/13	J		
122. LOUIS ROSEN WW, LLC			N	W	Buy	04/23/13	J		
123. YETA GAIN, LLC	E	Distribution	J	W	Buy	05/07/13	J		
124.					Buy (add'l)	05/08/13	K		
125.									
126. NOTE RECEIVABLES									
127. ALLAIN PERSONAL LOAN-NOTE RECEIVABLE		None	J	U					
128. SPRINGMAN PERSONAL LOAN-NOTE RECEIVABLE		None	K	U	Buy	12/16/13	K		

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

RE: V-GIFTS: NONE AS TRUE GIFTS, BUT ON A RECIPROCAL BASIS-I ACCEPT INVITATIONS FOR HUNTING OR FISHING WITH FRIENDS WHO I INVITE TO HUNT OR FISH WITH ME. SOME SUCH RECIPROCAL INVITORS/INVITEE, ARE ATTORNEYS, MANY OF WHOM WERE FRIENDS AND HUNTING OR FISHING PARTNERS BEFORE I BECAME A JUDGE. I NEVERTHELESS RECUSE MYSELF WHEN SUCH FRIENDS ARE REPRESENTING CLIENTS BEFORE THIS COURT.

RE: VII-ASSETS OF TRUST FOR BENEFIT OF [REDACTED] MEMBER OF WHICH I AM TRUSTEE AS INDICATED IN PART I.

RE: VII-JPM MANAGED INCOME-SEL FUND CHANGED ITS NAME TO JPM MANAGED INCOME-INSTL FUND ON MARCH 3, 2013. A NEW INVESTMENT OF JPM MANAGED INCOME-SEL FUND WAS PURCHASED ON APRIL 1, 2013.

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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/ JACQUES L. WIENER, 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
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