

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) DuBose, Kristi K.	2. Court or Organization U.S. District Court - Southern District of Alabama	3. Date of Report 07/09/2014
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 ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address 113 St. Joseph Street Mobile, AL 36602		
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	Revocable Trust #1
2. Board member	Federal Judges Association
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.)*

<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. Sept. 2013	Cape Electrical Supply (payment re: non-competition agreement)
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. Federal Judges Association	2/21/2013 - 2/23/2013	Dallas, TX	Executive Committee Meeting	Air/Meals/Lodging
2. Federal Judges Association	4/23/2013 - 4/25/2013	Washington, DC	Executive Committee Meeting	Air/Meals/Lodging
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) 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. IRA #1	A	Interest	J	T					
2. - Regions Bank (cash account)									
3. U.S. Treasury Bonds	B	Interest	L	T					
4. Real Property - Gilmer, Co., Georgia	D	Rent	M	W					
5. Real Property - Mobile, Co., Alabama (X)	D	Rent	M	W					
6. Sun Life Universal Policy	A	Interest	L	T					
7. Hatfield & Co., LLC	D	Rent	J	W					
8. Branch Banking and Trust	B	Interest	K	T					
9. IRA #2		None	J	T					
10. - GLD									
11. IRA #3	C	Int./Div.	M	T					
12. - FDAXX					Buy (add'l)	02/22/13	K		
13.					Buy (add'l)	03/07/13	J		
14.					Sold (part)	04/09/13	J		
15.					Sold	04/17/13	J		
16. - CEF					Buy (add'l)	04/09/13	J		
17.					Buy (add'l)	04/17/13	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 \$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. - GTU									
19. - INTL BK RECON & DEVEL SER GMTN [REDACTED]					Redeemed	02/22/13	K		
20. - NEW ZEALAND BOND [REDACTED] (Y)									
21. - INTL BK RECON & DEVEL NOTE [REDACTED] (Y)									
22. - COMMONWEALTH OF AUSTRALIA BOND [REDACTED] (Y)									
23. - AG GROWTH INTL INC SUB DB CV [REDACTED] (Y)									
24. - PENGROWTH ENERGY CORP [REDACTED] [REDACTED] (Y)									
25. - KINGDOM OF NORWAY BOND [REDACTED] (Y)									
26. - ATLANTIC PWR CORP SB DEB CV [REDACTED] (Y)									
27. - PEMBINA PIPELINE CORP [REDACTED] [REDACTED] (Y)									
28. - EPIBX (Y)									
29. IRA #4	C	Int./Div.	M	T					
30. - FDAAX					Buy	03/25/13	L		
31.					Sold (part)*	03/26/13	L		
32. - NEW ZEALAND BOND [REDACTED] [REDACTED] (X)					Sold	03/25/13	K		
33. - INTL BK RECON & DEVEL NOTE [REDACTED] (X)					Sold	03/26/13	K		
34. - COMMONWEALTH OF AUSTRALIA BOND [REDACTED] (X)					Sold	03/25/13	K		

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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				
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35. - AG GROWTH INTL INC SUB DB CV (X)					Sold	03/25/13	J		
36. - PENGROWTH ENERGY CORP (X)					Sold	03/25/13	J		
37. - KINGDOM OF NORWAY BOND (X)					Sold	03/26/13	K		
38. - ATLANTIC PWR CORP SB DEB CV (X)					Sold	03/25/13	J		
39. - PEMBINA PIPELINE CORP (X)					Sold	03/25/13	J	A	
40. - EPASX					Buy	03/26/13	J		
41. - EPHCX					Buy	03/26/13	K		
42. - EPLAX					Buy	03/26/13	K		
43. - EPUSX					Buy	03/26/13	K		
44. - EPHAX					Buy	03/26/13	K		
45. - EPIVX					Buy	03/26/13	K		
46. - EPIBX (X)					Sold (part)	03/26/13	K		
47. Brokerage Account #1 (H)									
48. FDAXX	A	Dividend	M	T	Buy	04/05/13	O		
49.					Buy (add'l)	04/12/13	M		
50.					Sold (part)	04/15/13	M		
51.					Sold (part)	04/16/13	K		

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52.					Sold (part)	04/17/13	K		
53.					Sold (part)	04/18/13	L		
54.					Sold (part)	04/22/13	K		
55.					Sold (part)	04/23/13	K		
56.					Sold (part)	05/07/13	L		
57.					Sold (part)	05/10/13	J		
58.					Sold (part)	05/10/13	K		
59.					Sold (part)	05/13/13	K		
60.					Sold (part)	05/14/13	K		
61.					Sold (part)	05/22/13	K		
62.					Buy (add'l)	05/24/13	J		
63.					Buy (add'l)	06/17/13	J		
64.					Buy (add'l)	06/25/13	J		
65.					Sold (part)	06/26/13	J		
66.					Sold (part)	06/28/13	J		
67.					Buy (add'l)	10/04/13	J		
68.					Sold (part)	10/10/13	J		

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69.					Sold (part)	10/28/13	K		
70.					Sold (part)	10/30/13	K		
71.					Sold (part)	11/01/13	J		
72.					Sold (part)	11/04/13	K		
73.					Sold (part)	11/07/13	J		
74.					Sold (part)	11/09/13	K		
75.					Buy (add'l)	11/22/13	J		
76. ATAZF		None	K	T	Buy	04/22/13	K		
77.					Buy (add'l)	06/28/13	J		
78. AZN		None	K	T	Buy	10/28/13	K		
79. BETSSON AB SERV B NPV ISIN [REDACTED]		None			Buy	05/07/13	K		
80.					Merged (with line 82)	05/22/13	K		
81. BETSSON AB REDEMPTION SHARES B (X)		None			Redeemed	06/17/13	J		
82. BETSSON AB SERV B NPV ISIN [REDACTED] (X)	B	Dividend	K	T	Buy (add'l)	07/02/13	J		
83. BPL		None			Buy	05/22/13	K		
84.					Sold	09/30/13	K		
85. CFS RETAIL PPTY TR STAPLED [REDACTED]	A	Dividend	K	T	Buy	04/18/13	K		

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86.					Buy (add'l)	11/07/13	J		
87. CHLKF	B	Dividend	K	T	Buy	04/15/13	K		
88. FOJCF		None	K	T	Buy	04/15/13	K		
89. FOEAF	B	Dividend	K	T	Buy	04/15/13	K		
90. FRENET AG SHS NAMEN AKT ISIN [REDACTED]	B	Dividend	K	T	Buy	05/22/13	K		
91.					Buy (add'l)	07/04/13	J		
92. FRHLF	A	Dividend	J	T	Buy	04/16/13	K		
93. ITOCF	A	Dividend	K	T	Buy	05/07/13	K		
94. KT		None	K	T	Buy	05/14/13	J		
95.					Buy (add'l)	07/01/13	J		
96. KWIPF	B	Dividend	K	T	Buy	05/10/13	K		
97. MLYNF	B	Dividend	K	T	Buy	04/17/13	K		
98. MKRMF		None	K	T	Buy	10/28/13	K		
99. MTAGF	A	Dividend	K	T	Buy	04/18/13	K		
100. NSRGY		None	J	T	Buy	05/22/13	J		
101. NZTCF	B	Dividend	K	T	Buy	04/18/13	K		
102.					Buy (add'l)	07/08/13	J		

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103. PRSEF	B	Dividend	K	T	Buy	05/07/13	K		
104. RDSA	A	Dividend	K	T	Buy	04/23/13	J		
105.					Buy (add'l)	11/19/13	K		
106. SGLMF	A	Dividend	K	T	Buy	04/17/13	J		
107.					Buy (add'l)	07/15/13	J		
108.					Buy (add'l)	11/01/13	J		
109. SNGNF	A	Dividend	K	T	Buy	04/16/13	K		
110. SPSTF	A	Dividend			Buy	07/26/13	K		
111.					Sold	10/28/13	K		
112. STO	A	Dividend	K	T	Buy	05/14/13	J		
113.					Buy (add'l)	10/30/13	K		
114. STTFF		None			Buy	04/15/13	K		
115.					Sold	11/04/13	K		
116. SWZCF		None	K	T	Buy	04/15/13	K		
117. TBVPF	A	Dividend			Buy	04/23/13	J		
118.					Sold	07/11/13	J	A	
119. TELNF	A	Dividend	K	T	Buy	04/15/13	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) 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)

120.					Buy (add'l)	07/08/13	J		
121. TKC		None	K	T	Buy	11/04/13	K		
122. TOT	A	Dividend	K	T	Buy	04/23/13	K		
123. TSCDF		None	K	T	Buy	11/04/13	K		
124. VEMLF	A	Dividend			Buy	04/15/13	J		
125.					Sold	06/25/13	J		
126. VIV	A	Dividend	K	T	Buy	05/14/13	K		
127.					Buy (add'l)	06/26/13	J		
128. WOLWF	A	Dividend	K	T	Buy	05/13/13	K		
129.					Buy (add'l)	07/08/13	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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DuBose, Kristi K.

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

Part 1, line 1: Revocable Trust # 1 is unfunded. (The unfunded trust was listed at Part VII, line 4, of the 2012, report. It was removed from Part VII of the 2013 report per page 59 of the filing instructions.)

Part VII:

To the extent possible, investment assets were identified by symbol or cusip number.

The filer owns or controls only those items listed on lines 1-6.

Part VII, lines 1 and 2: same as line 1 of the 2012 report.

Part VII, line 3: same as line 3 of the 2012 report.

Part VII, line 5: first rented in 2013.

Part VII, line 7, Column C(2): this represents the filer's good faith estimate of value, as the LLC's exact value is not known and a more accurate determination of value cannot be easily obtained by another method.

Part VII, lines 7-28: prior to 2013, these assets/accounts fell within the provisions of section 102(e)(1)(E) of the Ethics in Government Act, therefore they were not previously reportable. (X)

Part VII, lines 9, 76, 78, 79, 81, 83, 88, 94, 98, 100, 114, 116, 121, and 123 did not generate income during the reporting period.

Part VII, lines 20-28: these assets were moved from IRA #3 to IRA #4 (lines 32-39 and 46). No reportable transactions were associated with the move.

Part VII, line 30: all reportable transactions are listed, but the value is now below the reporting threshold by virtue of non-reportable transactions. (Y)

Part VII, line 76: formerly known (during 2013) as ATEA ASA SHS ISIN [REDACTED]

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Name of Person Reporting

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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/ **Kristi K. DuBose**

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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