

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) Fish, Allen J.	2. Court or Organization United States District Court, Northern District of Texas	3. Date of Report 05/15/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States District Judge (Senior)	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 1100 Commerce Street Suite 1404 Dallas, Texas 75242		
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. 2013	SMU Dedman School of Law - teaching for spring and fall terms
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. 2013	SMU Dedman School of Law - teaching	\$80,000.00
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. 2013	St. John's Episcopal School--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) 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. Texas Federal Credit Union Accounts, Dallas, TX	A	Dividend	K	T					
2. TIAA-CREF deferred annuity	A	Int./Div.			Sold	07/19/13	K		
3. IRA #1									
4. -Vanguard Total Stock Mkt Index Fund (VTSMX)	A	Dividend			Sold	07/19/13	K		
5. -Vanguard Inflation Protected Securities Fund (VIPSX)	B	Dividend			Sold	07/19/13	K		
6. IRA #2									
7. -Vanguard Total Stock Mkt Index Fund (VTSMX)	A	Dividend	J	T					
8. -Vanguard Inflation Protected Securities Fund (VIPSX)	A	Dividend	J	T					
9. IRA #3									
10. -Vanguard Total Stock Mkt VIPERS (VTI)	A	Dividend	J	T	Sold (part)	09/30/13	J	A	
11. -iShares TIPS Bond Fund (TIP)	A	Dividend	J	T	Buy (add'l)	10/01/13	J		
12. -iShares EAFE Index Trust (EFA)	A	Dividend	J	T	Sold (part)	09/30/13	J	A	
13. -Vanguard REIT VIPERS (VNQ)	A	Dividend	J	T	Buy (add'l)	10/04/13	J		
14. -SPDR Select Sector-Energy (XLE)	A	Dividend	J	T	Sold (part)	09/30/13	J	A	
15. -American Century Int'l Bond Fund (BEGBX)	A	Dividend	J	T	Buy (add'l)	10/08/13	J		
16. -iShares FTSE Xinhua China 25 (FXI)	A	Dividend			Sold	07/02/13	J	A	
17. -iShares Russell 1000 Value Trust (IWD)	A	Dividend	J	T	Sold (part)	09/30/13	J	A	

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 = \$250,000.01 - \$500,000.00	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. -iShares Russell 2000 Value Trust (IWN)	A	Dividend	J	T	Sold (part)	09/30/13	J	A	
19. -iShares EAFE Value Index Trust (EFV)	A	Dividend	J	T	Sold (part)	09/30/13	J	A	
20. -Vanguard Emerging Markets VIPERS (VWO)	A	Dividend	J	T	Buy (add'l)	10/04/13	J		
21. -SPDR Gold Trust Gold Shares (GLD)		None	J	T	Sold (part)	10/21/13	J	A	
22. -Berkshire Hathaway Class B (BRK/B)		None	L	T	Sold (part)	09/03/13	J	A	
23. IRA #4									
24. -Vanguard Total Stock Mkt VIPERS (VTI)	A	Dividend	J	T					
25. -iShares TIPS Bond Fund (TIP)	A	Dividend	J	T					
26. -iShares EAFE Index Trust (EFA)	A	Dividend	J	T					
27. -Vanguard REIT VIPERS (VNQ)	A	Dividend	J	T					
28. -SPDR Select Sector-Energy (XLE)	A	Dividend	J	T					
29. -iShares FTSE Xinhua China 25 (FXI)	A	Dividend	J	T					
30.									
31. Exxon Mobil Common Stock (XOM)	A	Dividend	K	T					
32. ING USA Annuity & Life Insurance Company deferred annuity	B	Interest	K	T					
33. Aviva Life & Annuity Company deferred annuity	D	Interest	M	T					
34. Charles Schwab Bank Accounts	A	Interest	L	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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	(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)
35. Oxford Life Insurance Company deferred annuity	C	Interest	M	T	Buy	08/28/13	M		

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

1. The items reported in paragraph VII(1) and (34) are credit union and bank accounts. Detailed transactional data are not being provided in accordance with the instructions.
2. The additional shares reported in paragraphs VII(11), (13), (15), and (20) were purchased with the proceeds of the partial sales reported in paragraphs VII(10), (12), (14), (17), (18), and (19).
3. The item reported in paragraph VII(35) was purchased with the proceeds of the sales reported in paragraphs VII(2), (4), and (5) and an annual IRA contribution for 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/ Allen J. Fish**

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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