

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)

|                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                          |                                                                  |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting</b> (last name, first, middle initial)<br><br>King, Robert B.                                                                                                                      | <b>2. Court or Organization</b><br><br>U.S. Court of Appeals, 4th Circuit                                                                                                                                                                                                                | <b>3. Date of Report</b><br><br>05/07/2014                       |
| <b>4. Title</b> (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)<br><br>U. S. Circuit Judge - Active                                                  | <b>5a. Report Type</b> (check appropriate type)<br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final<br><b>5b.</b> <input type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br><br>01/01/2013<br>to<br>12/31/2013 |
| <b>7. Chambers or Office Address</b><br><br>300 Virginia Street, East<br>Suite 7602<br>Charleston, WV 25301                                                                                               |                                                                                                                                                                                                                                                                                          |                                                                  |
| <p align="center"><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</p> |                                                                                                                                                                                                                                                                                          |                                                                  |

## I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

|                                      |                                       |
|--------------------------------------|---------------------------------------|
| 1. Vice Chairman, Board of Directors | WVU College of Law Alumni Association |
| 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. |  |

**FINANCIAL DISCLOSURE REPORT**

Page 2 of 10

Name of Person Reporting

King, Robert B.

Date of Report

05/07/2014

**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.)*

DATE

SOURCE AND TYPE

INCOME

(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.)*

DATE

SOURCE AND TYPE

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.)*

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

1.

2.

3.

4.

5.

FINANCIAL DISCLOSURE REPORT

Page 3 of 10

Name of Person Reporting

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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.       |             |            |

# FINANCIAL DISCLOSURE REPORT

Page 4 of 10

Name of Person Reporting

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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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 1. TimeWarner Inc. (common)                                                                                                 | B                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 2. Cisco Systems Inc. (common)                                                                                              | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 03/06/13                | K                               | D                              |                                                                   |
| 3. Proctor & Gamble Co. (common)                                                                                            | C                                       | Dividend                                      | L                                               | T                                         | Sold<br>(part)                                  | 04/03/13                | K                               | E                              |                                                                   |
| 4. Intel Corp. (common)                                                                                                     | C                                       | Dividend                                      | J                                               | T                                         | Sold<br>(part)                                  | 01/11/13                | K                               | A                              |                                                                   |
| 5. Microsoft Corp. (common)                                                                                                 | B                                       | Dividend                                      | L                                               | T                                         | Sold<br>(part)                                  | 04/03/13                | J                               | A                              |                                                                   |
| 6. RF Micro Devices Inc. (common)                                                                                           |                                         | None                                          |                                                 |                                           | Sold                                            | 03/11/13                | K                               | A                              |                                                                   |
| 7. Morgan Stanley Co. (common)                                                                                              | A                                       | Dividend                                      | L                                               | T                                         | Sold<br>(part)                                  | 12/06/13                | K                               | A                              |                                                                   |
| 8. Starbucks Corp. (common)                                                                                                 | B                                       | Dividend                                      | L                                               | T                                         | Sold<br>(part)                                  | 12/09/13                | K                               | E                              |                                                                   |
| 9. Legg Mason Clearbridge Appreciation Fund<br>Class C                                                                      | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 04/01/13                | L                               | B                              |                                                                   |
| 10. Legg Mason American Leading Companies                                                                                   | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 04/01/13                | K                               | A                              |                                                                   |
| 11. Legg Mason Emerging Markets Trust                                                                                       | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 02/13/13                | J                               | A                              |                                                                   |
| 12. Legg Mason International Equity Trust                                                                                   | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 02/13/13                | J                               | A                              |                                                                   |
| 13. Legg Mason Small- Cap Value Trust                                                                                       | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 04/01/13                | K                               | A                              |                                                                   |
| 14. Legg Mason Clearbridge Aggressive<br>Growth Fund                                                                        | A                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 15. Legg Mason Clearbridge Fundamental<br>Value Fund                                                                        | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 04/01/13                | J                               | A                              |                                                                   |
| 16. Royce Pennsylvania Mutual Fund                                                                                          | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 04/03/13                | J                               | A                              |                                                                   |
| 17. RoyceTotal Return Fund                                                                                                  | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 04/01/13                | J                               | A                              |                                                                   |

|                         |                                  |                             |                                |                                 |                         |
|-------------------------|----------------------------------|-----------------------------|--------------------------------|---------------------------------|-------------------------|
| 1. Income Gain Codes:   | A = \$1,000 or less              | B = \$1,001 - \$2,500       | C = \$2,501 - \$5,000          | D = \$5,001 - \$15,000          | E = \$15,001 - \$50,000 |
| (See Columns B1 and D4) | F = \$50,001 - \$100,000         | G = \$100,001 - \$1,000,000 | H1 = \$1,000,001 - \$5,000,000 | H2 = More than \$5,000,000      |                         |
| 2. Value Codes          | J = \$15,000 or less             | K = \$15,001 - \$50,000     | L = \$50,001 - \$100,000       | M = \$100,001 - \$250,000       |                         |
| (See Columns C1 and D3) | N = \$250,001 - \$500,000        | O = \$500,001 - \$1,000,000 | P1 = \$1,000,001 - \$5,000,000 | P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes   | P3 = \$25,000,001 - \$50,000,000 |                             | P4 = More than \$50,000,000    |                                 |                         |
| (See Column C2)         | Q = Appraisal                    | R = Cost (Real Estate Only) | S = Assessment                 | T = Cash Market                 |                         |
|                         | U = Book Value                   | V = Other                   | W = Estimated                  |                                 |                         |

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Page 5 of 10

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☐ NONE (No reportable income, assets, or transactions.)

| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                                                |   |          |   |   |      |          |   |   |  |
|----------------------------------------------------------------|---|----------|---|---|------|----------|---|---|--|
| 18. Royce Trustshares Fund                                     | A | Dividend |   |   | Sold | 04/03/13 | J | A |  |
| 19. Dell Computer Corp. (common)                               | A | Dividend |   |   | Sold | 10/30/13 | J | A |  |
| 20. E.I. DuPont De Nemours & Co. (common)                      | A | Dividend | J | T |      |          |   |   |  |
| 21. (H) Mineral interests, Tyler County, WV<br>See below a - f |   |          |   |   |      |          |   |   |  |
| 22. - a. HG Energy, successor to East<br>Resources, Inc.       | B | Royalty  | J | W |      |          |   |   |  |
| 23. - b. Ergon Oil Purchasing                                  | A | Royalty  | J | W |      |          |   |   |  |
| 24. - c. CNX Gas, successor to Conssol Gas Co.                 |   | None     | J | W |      |          |   |   |  |
| 25. - d. Jay-Bee Production                                    | A | Royalty  | J | W |      |          |   |   |  |
| 26. - e. BD Oil Gathering Corp.                                | A | Royalty  | J | W |      |          |   |   |  |
| 27. - f. Texas Keystone, Inc.                                  | A | Royalty  | J | W |      |          |   |   |  |
| 28. - g. Petroedge Energy (X)                                  |   | None     | J | W |      |          |   |   |  |
| 29. Mineral Interests, Doddridge County, WV                    |   | None     | J | W |      |          |   |   |  |
| 30. Mineral Interests, Wetzel County, WV                       |   | None     | J | W |      |          |   |   |  |
| 31. Time Warner Cable Inc. (common)                            | A | Dividend | L | T |      |          |   |   |  |
| 32. AOL Inc. (common)                                          |   | None     | J | T |      |          |   |   |  |
| 33. First Trust Financials Alphadex Fund                       | A | Dividend |   |   | Buy  | 05/28/13 | K |   |  |
| 34.                                                            |   |          |   |   | Sold | 11/06/13 | K | A |  |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|-------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
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| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$50,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                           | T = Cash Market                                              |                         |

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Page 6 of 10

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☐ NONE (No reportable income, assets, or transactions.)

| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                                |   |          |   |   |                |          |   |   |  |
|------------------------------------------------|---|----------|---|---|----------------|----------|---|---|--|
| 35. First Trust Japan Alphadex Fund A Div      | A | Dividend |   |   | Buy            | 05/28/13 | K |   |  |
| 36.                                            |   |          |   |   | Sold           | 11/06/13 | K | A |  |
| 37. First Trust Value Index                    | A | Dividend |   |   | Buy            | 05/28/13 | J |   |  |
| 38.                                            |   |          |   |   | Sold           | 11/06/13 | J | A |  |
| 39. Prudential Short Term Corp. Bond Z         | A | Dividend | L | T | Buy            | 04/03/13 | N |   |  |
| 40.                                            |   |          |   |   | Sold<br>(part) | 04/23/13 | M | A |  |
| 41.                                            |   |          |   |   | Sold<br>(part) | 04/25/13 | K | A |  |
| 42.                                            |   |          |   |   | Sold<br>(part) | 08/28/13 | L | A |  |
| 43. Apple Inc.                                 | A | Dividend | K | T | Buy<br>(add'l) | 01/25/13 | J |   |  |
| 44. Pepsico                                    | A | Dividend | K | T | Buy            | 04/25/13 | K |   |  |
| 45. American Century Equity Income Fund        | A | Dividend | L | T | Buy            | 04/23/13 | L |   |  |
| 46. Blackrock Global Allocation Fund           | A | Dividend | L | T | Buy            | 04/23/13 | L |   |  |
| 47. Prudential Global Real Estate Fund Class 2 | A | Dividend | K | T | Buy            | 04/23/13 | L |   |  |
| 48. Prudential Short Term Corp. Bond Inc. Z    | B | Dividend | L | T | Buy            | 04/03/13 | M |   |  |
| 49. Home Depot Inc.                            | A | Dividend | K | T | Buy            | 05/06/13 | K |   |  |
| 50. Pfizer Inc.                                | A | Dividend | K | T | Buy            | 05/06/13 | K |   |  |
| 51. Hess Corp.                                 | A | Dividend | K | T | Buy            | 09/10/13 | K |   |  |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
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| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                  | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$5,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                          | T = Cash Market                                              |                         |

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Page 7 of 10

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|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 52. Kraft Foods                                                                                                             | A                                       | Dividend                                      | K                                               | T                                         | Buy                                             | 09/10/13                | K                               |                                |                                                                   |
| 53. John Hancock Classic Value Fund                                                                                         | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 01/09/13                | J                               |                                |                                                                   |
| 54. MSF Emerging Markets Debt Fund                                                                                          | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 10/22/13                | J                               |                                |                                                                   |
| 55.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 01/09/13                | J                               | A                              |                                                                   |
| 56.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 07/29/13                | J                               | A                              |                                                                   |
| 57.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 11/27/13                | J                               |                                |                                                                   |
| 58. Oakmark Intl. Fund                                                                                                      | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 01/08/13                | J                               |                                |                                                                   |
| 59.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 11/27/13                | J                               |                                |                                                                   |
| 60.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 05/28/13                | J                               | A                              |                                                                   |
| 61.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 07/29/13                | J                               | A                              |                                                                   |
| 62. Facebook (See Part VIII)                                                                                                |                                         | None                                          | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 63. Apple Inc. (See Part VIII)                                                                                              | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 64. American Century Fund (See Part VIII)                                                                                   | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 65. Blackrock Equity Dividend Fund (See Part VIII)                                                                          | A                                       | Dividend                                      | J                                               | T                                         | Sold<br>(part)                                  | 01/09/13                | J                               | A                              |                                                                   |
| 66.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 07/29/13                | J                               | A                              |                                                                   |
| 67. Cohen & Steers Realty Fund (See Part VIII)                                                                              | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 10/23/13                | J                               | A                              |                                                                   |
| 68. Lazard Emerging Markets (See Part VIII)                                                                                 | A                                       | Dividend                                      | J                                               | T                                         | Buy<br>(add'l)                                  | 01/09/13                | J                               |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
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| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                  | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
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| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                          | T = Cash Market                                              |                         |

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Page 8 of 10

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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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 69.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 05/28/13                | J                               |                                |                                                                   |
| 70. Mainstay Large Cap Growth Fund (See Part VIII)                                                                          | A                                       | Dividend                                      | J                                               | T                                         | Buy<br>(add'l)                                  | 01/09/13                | J                               |                                |                                                                   |
| 71.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 07/29/13                | J                               |                                |                                                                   |
| 72.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 11/27/13                | J                               | A                              |                                                                   |
| 73. Neuberger Berman High Inc. Bond Fund (See Part VIII)                                                                    | A                                       | Dividend                                      | J                                               | T                                         | Buy<br>(add'l)                                  | 07/29/13                | J                               |                                |                                                                   |
| 74.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 01/09/13                | J                               | A                              |                                                                   |
| 75. Oppenheimer Rising Dividends Fund (See Part VIII)                                                                       | A                                       | Dividend                                      | J                                               | T                                         | Buy<br>(add'l)                                  | 07/29/13                | J                               |                                |                                                                   |
| 76.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 11/27/13                | J                               | A                              |                                                                   |
| 77. Principal Preferred Sec. Fund (See Part VIII)                                                                           | A                                       | Dividend                                      | J                                               | T                                         | Sold<br>(part)                                  | 07/29/13                | J                               | A                              |                                                                   |
| 78. TCW Total Return Bond Fund (See Part VIII)                                                                              | A                                       | Dividend                                      | J                                               | T                                         | Sold<br>(part)                                  | 01/09/13                | J                               | A                              |                                                                   |
| 79.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 07/29/13                | J                               | A                              |                                                                   |
| 80. Eagle Small Cap Growth Fund (See Part VIII)                                                                             | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 01/09/13                | J                               | A                              |                                                                   |
| 81. Harbor International Fund (See Part VIII)                                                                               | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 01/09/13                | J                               | A                              |                                                                   |
| 82. First Eagle Gold Fund (See Part VIII)                                                                                   | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 05/28/13                | J                               | A                              |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                  | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$5,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                          | T = Cash Market                                              |                         |

# FINANCIAL DISCLOSURE REPORT

Page 9 of 10

Name of Person Reporting

King, Robert B.

Date of Report

05/07/2014

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

The assets on Lines 62 (bought 11/28/12) and 63 (bought 12/10/12) were inadvertently omitted from the 2012 Financial Disclosure Report.

The assets on Lines 64, 65, 67, 68, 70, 73, 75, 77, 78, 80, 81, and 82 were all purchased on 12/11/12 and were also inadvertently omitted from the 2012 Financial Disclosure Report.

# FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

King, Robert B.

Date of Report

05/07/2014

## 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/ **Robert B. King**

**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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Washington, D.C. 20544