

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) Austin, Andrew W.	2. Court or Organization U.S. District Court - W.D. Texas	3. Date of Report 05/30/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Full-time U.S. Magistrate Judge	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 United States Courthouse 501 West 5th Street Austin, Texas 78701		
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. Executive Committee member	Lloyd Lochridge American Inn of Court
2. Treasurer	Violet Crown Sports Association (Cycling Team)
3. Board member	Bikeshare of Austin
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. 2013	University of Texas School of Law; Teaching	\$4,498.00
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	Austin Independent School District - 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. Georgia Tech University	3/5-6/2013	Atlanta, GA	Attend/present at seminar on courthouse design	Transportation, lodging, food, parking
2. Smithsonian	5/28-29/2013	New York City, NY	Attend/present at Cooper-Hewitt museum on new Austin Courthouse	Transportation, meals
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. MUTUAL FUNDS									
2. - American Balanced Fund	D	Dividend	N	T					
3. - Am. Funds Tax-Exempt Bond Fund of America	B	Dividend	K	T					
4. - Invesco Tax-Free Intermed. Fund Class A	A	Dividend	K	T					
5. - EEICX	B	Dividend	K	T					
6. - UBS Core Plus Bond Fund - A	A	Dividend			Sold	8/16/13	J	A	
7. - PSTCX	A	Dividend			Sold	01/31/13	K	B	
8. - BBN	B	Dividend	K	T	Buy	01/31/13	K		
9. UBS BANK USA DEPOSIT ACCT	B	Interest	K	T					
10. STOCKS:									
11. - RBSPRG	B	Dividend	K	T					
12. - BCSPRA	B	Dividend	K	T					
13. - GYB	A	Dividend	K	T					
14. - EROC	A	Dividend	J	T					
15. CORPORATE BONDS:									
16. - Genworth Fin. Bond	A	Interest	K	T					
17. IRA # 1									

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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	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

18. - Am. Funds Target Date 2045 A	A	Dividend	K	T					
19. - Am. Fund. Bond Fund of America Class A	B	Dividend	L	T					
20. STOCKS:									
21. - DOW	A	Dividend	J	T					
22. - MMM	A	Dividend	K	T					
23. - UBSPRD	A	Dividend	K	T					
24. - UBS Bk. Dep. Acct.	A	Interest	J	T					
25. IRA # 2									
26. - Am. Funds Target Date 2045 A	B	Dividend	K	T					
27. - Am. Funds Am. High Income Trust Fund Class A	D	Dividend	M	T					
28. - Am. Funds Intermed. Bond Fund of Am Class A	A	Dividend	L	T					
29. - Am. Funds Bond Fund of America Class A	C	Dividend	M	T					
30. - Am. Funds Capital World Bond Fund Class A	C	Dividend	M	T					
31. FROST BANK MONEY MKT & CHECKING ACCOUNTS	A	Interest	J	T					
32. 529 ACCOUNT # 1									
33. - American Funds:									
34. - Wash. Mut. Inv. Fund	A	Dividend			Distributed	07/31/13	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. - Growth Fund of America	A	Dividend			Distributed	12/26/13	J		
36. - Cap. World Growth & Income	A	Dividend	J	T	Distributed (part)	12/26/13	J		
37. - Income Fund of America	A	Dividend			Distributed	12/26/13	J		
38. - Short Term Bond Fund of America	A	Dividend			Distributed (part)	07/31/13	K		
39.					Distributed	12/26/13	K		
40. 529 ACCOUNT # 2									
41. - Wash. Mut. Inv. Fund	B	Dividend	K	T	Distributed (part)	03/11/13	J		
42.					Distributed (part)	08/29/13	J		
43.					Distributed (part)	11/29/13	J		
44. - Growth Fund of America	A	Dividend	K	T	Distributed (part)	03/11/13	J		
45.					Distributed (part)	08/29/13	J		
46.					Distributed (part)	11/29/13	J		
47. - Cap. World Growth & Income	A	Dividend	K	T	Distributed (part)	03/11/13	J		
48.					Distributed (part)	08/29/13	J		
49.					Distributed (part)	11/29/13	J		
50. - Income Fund of America	A	Dividend	K	T	Distributed (part)	08/29/13	J		
51.					Distributed (part)	11/29/13	J		

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52. MUNICIPAL BONDS									
53. - Abilene TX	A	Interest			Redeemed	02/22/13	J		
54. - Central Tx Reg. Mobility Authority	A	Interest	J	T	Buy	08/16/13	J		
55.									

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

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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/ Andrew W. Austin**

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