

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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) COX, EMMETT R.	2. Court or Organization U.S. COURT OF APPEALS, ELEVENTH CIRCUIT	3. Date of Report 05/14/2015
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) SENIOR U.S. CIRCUIT JUDGE	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2014 to 12/31/2014
7. Chambers or Office Address 113 ST. JOSEPH STREET ROOM 433 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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. DIRECTOR AND SECRETARY	(SEE SECTION VIII FOR DESCRIPTION)
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.	

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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.)*

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. FLORIDA LAW REVIEW	3/19/14 - 3/21/14	GAINESVILLE, FL	TO PRESENT THE DUNWOODY LECTURE AT THE LAW SCHOOL	HOTEL COSTS TOTALING \$278 AND MEALS TOTALING \$85
2. APPELLATE PRACTICE SECTIONS OF THE ALABAMA, FLORIDA AND GEORGIA BAR ASSOCIATIONS	8/20/14 - 8/22/14	MONTGOMERY, AL	TO SERVE ON DISCUSSION SECTIONS FOR APPELLATE PRACTICE SEMINAR	HOTEL COSTS TOTALING \$187 AND MILEAGE OF \$187 (340 MILES AT 55 CENTS PER MILE)
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.)*

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.		

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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. PNC BANK - ACCOUNTS	A	Interest	K	T					
2. TRUSTMARK BANK - ACCOUNTS	A	Interest	L	T					
3. TD AMERITRADE CASH (X)	A	Interest	J	T					
4. BRISTOL-MYERS SQUIBB (STOCK)	A	Dividend	J	T					
5. CALIFORNIA RES CORP COM		None	J	T	Spinoff (from line 6)	12/01/14	J		
6. OCCIDENTAL PETROLEUM CORP (STOCK)	A	Dividend	J	T					
7. SOUTHERN CO (STOCK)	A	Dividend	J	T					
8. T D AMERITRADE FDIC INSURED DEPOSIT ACCOUNT (X)	A	Interest	J	T					
9. AMERICAN FUNDS EURO PACIFIC GROWTH A (MUTUAL FUND)	A	Dividend	J	T					
10. AMERICAN FUNDS EURO PACIFIC GROWTH F (MUTUAL FUND)	A	Dividend	J	T					
11. AMERICAN FUNDS NEW WORLD F (MUTUAL FUND)	A	Dividend	J	T					
12. FRANKLIN FEDERAL ALA T/F INCOME CL A (MUTUAL FUND)	B	Dividend	K	T					
13. HARBOR FD CAP APPRECIATION (MUTUAL FUND)	B	Dividend	K	T					
14. LOOMIS SAYLES BD FD INSTL (MUTUAL FUND)	C	Dividend	K	T					
15. MAINSTAY FUNDS: ICAP SELECT EQUITY FD CL I (MUTUAL FUND)	B	Dividend	J	T					
16. METROPOLITAN WEST HIGH YIELD FD C/M	A	Dividend	J	T	Buy	09/22/14	J		
17. PIMCO FUNDS COMMODITY.REAL RET STRAT INSTL (MUTUAL FUND)	A	Dividend			Sold	12/31/14	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	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

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☐ 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)

18. T ROWE PRICE TAX FREE SHORT INTERMEDIATE (MUTUAL FUND)	A	Dividend	K	T	Sold (part)	01/27/14	J	A	
19.					Sold (part)	04/25/14	J	A	
20.					Sold (part)	07/25/14	J	A	
21.					Sold (part)	09/22/14	J	A	
22.					Sold (part)	11/10/14	J	A	
23. TEMPLETON GLOBAL BOND FUND A (MUTUAL FUND)	A	Dividend	J	T					
24. THIRD AVENUE TR INTL VALUE FD (MUTUAL FUND)	A	Dividend	J	T					
25. VANGUARD REIT ETF INDEX	A	Dividend	J	T	Buy	01/23/14	J		
26. FDIC INSURED DEPOSIT ACCOUNT	A	Interest	J	T					
27. ISHARES RUSSELL 1000 VALUE ETF (MUTUAL FUND)	A	Dividend	K	T					
28. AMERICAN FUNDS NEW WORLD (MUTUAL FUND)	A	Dividend	J	T					
29. JANUS INV FUND PERKINS MID CP VL INV (MUTUAL FUND)	B	Dividend	J	T					
30. OPPENHEIMER DEVELOPING MKTS CL A (MUTUAL FUND)	A	Dividend	J	T					
31. THIRD AVENUE TR REAL ESTATE VALUE FD (MUTUAL FUND)	A	Dividend	J	T					
32. WASATCH SMALL CAP GROWTH FD (MUTUAL FUND)	B	Dividend	K	T					
33. VANGUARD CAPITAL OPPORTUNITY INV (MUTUAL FUND)	A	Dividend	J	T	Buy (add'l)	01/16/14	J		
34.					Sold (part)	08/06/14	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 = \$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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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)

35. AT&T INC COM	A	Dividend			Buy	02/04/14	J		
36.					Sold	12/26/14	J	A	
37. RAYMOND JAMES FDIC INSURED (X)	A	Interest	J	T					
38. IVY ASSET STRATEGY FUND CLASS Y	B	Dividend	J	T	Buy	08/11/14	J		
39.					Buy (add'l)	12/12/14	J		
40. JOHN HANCOCK DISCIPLINED VALUEMID CAP FUND	A	Dividend	J	T	Buy	08/11/14	J		
41.					Buy (add'l)	12/17/14	J		
42. JP MORGAN VALUE ADVANTAGE FUND	A	Dividend	J	T	Buy	08/11/14	J		
43.					Buy (add'l)	12/15/14	J		
44.					Buy (add'l)	12/22/14	J		
45. CLEARBRIDGE AGGRESSIVE GROWTH FUND	A	Dividend	J	T	Buy	08/11/14	J		
46.					Buy (add'l)	12/11/14	J		
47. MFS INTERNATIONAL NEW DISCOVERY FUND	A	Dividend	J	T	Buy	08/11/14	J		
48.					Buy (add'l)	12/12/14	J		
49. MAINSTAY EPOCH GLOBAL EQUITY YIELD FUND	A	Dividend	J	T	Buy	08/11/14	J		
50.					Buy (add'l)	09/30/14	J		
51.					Buy (add'l)	12/11/14	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
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52. MANNING & NAPIER WORLD OPPORTUNITIES SERIES CL A	A	Dividend	J	T	Buy	08/11/14	J		
53.					Buy (add'l)	09/16/14	J		
54.					Buy (add'l)	12/16/14	J		
55. NEUBERGER BERMAN GUARDIAN FUND CLASS A	B	Dividend	J	T	Buy	08/11/14	J		
56.					Buy (add'l)	12/16/14	J		
57. PRUDENTIAL JENNISON EQUITY INCOME FUND CLASS Z	A	Dividend	J	T	Buy	08/11/14	J		
58.					Buy (add'l)	09/22/14	J		
59.					Buy (add'l)	12/22/14	J		
60. ROBECO BP LONG/SHORT RESEARCH FUND INSTITUTIONAL CLASS	A	Dividend	J	T	Buy	08/11/14	J		
61.					Buy (add'l)	12/19/14	J		
62. WF ADVANTAGE ABSOLUTE RETURN FUND ADMIN CLASS	A	Dividend	J	T	Buy	08/11/14	J		
63.					Buy (add'l)	12/12/14	J		
64.					Buy (add'l)	12/31/14	J		
65. VANGUARD HEALTH CARE FUND INV	A	Dividend	J	T	Buy	03/05/14	J		
66.					Buy (add'l)	04/04/14	J		
67.					Buy (add'l)	05/01/14	J		
68.					Buy (add'l)	05/27/14	J		

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69.					Buy (add'l)	06/06/14	J		
70.					Buy (add'l)	06/30/14	J		
71.					Buy (add'l)	09/05/14	J		
72.					Buy (add'l)	11/03/14	J		
73.					Buy (add'l)	11/19/14	J		
74.					Buy (add'l)	12/04/14	J		

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

SECTION I. POSITIONS

██ IS A NOT-FOR-PROFIT ASSOCIATION THAT HOLDS TITLE TO AND MANAGES THE COMMON AREA FOR THREE CONDOMINIUM UNITS, ONE OF WHICH IS OWNED BY EMMETT R. COX AND ANN H. COX.

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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/ EMMETT R. COX**

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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544