

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

*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) Yeakel III, Earl L.	2. Court or Organization District Court, W.D. Texas	3. Date of Report 05/15/2017
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 01/01/2016 to 12/31/2016
7. Chambers or Office Address United States Courthouse 501 West 5th Street Austin, Texas 78701		
IMPORTANT NOTES: <i>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>		

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. Member	University of Texas Longhorn Foundation Advisory Council
2. Member	Texas Commission on Uniform State Laws
3. Member	National Conference of Commissioners on Uniform State Laws
4. Member	Board of Advisors, Austin Lawyers Chapter, The Federalist Society
5. President	Hon. Lee Yeakel Intellectual Property American Inn of Court
6. Trustee	Austin Rotary Club Foundation
7. Trustee	American Inns of Court Foundation

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. 2016	Employees Retirement System of Texas - Retirement
2. 2016	Beck Benefits Company - Commission Sales
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. National Conference of Commissioners on Uniform State Laws	January 27-31, 2016	Tucson, Arizona	Committee on Style Meeting	Transportation, Meals, & Lodging
2. Texas Center for the Judiciary	March 31-April 1, 2016	Galveston, Texas	Civil Justice Conference	Transportation, Meals, & Lodging
3. National Conference of Commissioners on Uniform State Laws	April 27-May 1, 2016	Louisville, Kentucky	Committee on Style Meeting	Transportation, Meals, & Lodging
4. American Conference Institute	June 27-29, 2016	New York, New York	Aviation Claims and Litigation & Transactional Insurance Conferences	Transportation, Meals, & Lodging

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5.	State Bar of Texas	July 21-22, 2016	San Antonio, Texas	12th Annual Advanced Patent Litigation Course	Transportation, Meals, & Lodging
6.	National Conference of Commissioners on Uniform State Laws	September 7-11, 2016	Chicago, Illinois	Committee on Style Meeting	Transportation, Meals & Lodging
7.	Louisiana Association of Self Insured Employers	September 14, 2016	San Antonio, Texas	12th Annual National Alliance of Medicare Set-Aside Professionals Conference	Transportation
8.	The Eastern District of Texas Bar Association	October 19-21, 2016	Plano, Texas	Eastern District of Texas Bench Bar Conference	Transportation, Meals, & Lodging
9.	National Conference of Commissioners on Uniform State Laws	November 11-12, 2016	Chicago, Illinois	Drafting Chairs & Reporters Workshop	Transportation, Meals, & Lodging
10.	National Conference of Commissioners on Uniform State Laws	November 14-15, 2016	Washington, D.C.	State Dep't Advisory Committee on Private Int'l Law- Public Meeting on Judgments	Transportation, Meals, & Lodging

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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.	Prosperity Bank	Line of Credit	L
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. SCHW Common Stock	A	Dividend	J	T					
2. CVX Common Stock	C	Dividend	M	T					
3. XOM Common Stock	A	Dividend	K	T					
4. F Common Stock	A	Dividend	J	T					
5. MSFT Common Stock	A	Dividend	J	T					
6. Rogers Communications, Inc. Class B Common Stock	A	Dividend	K	T					
7. Royal Dutch Shell PLC Common Stock	B	Dividend	K	T					
8. LUV Common Stock	B	Dividend	N	T					
9. SPND.OB Common Stock		None	J	T					
10. DIS Common Stock	A	Dividend	K	T					
11. Fidelity Blue Chip Growth Mutual Fund	A	Dividend	L	T					
12. Fidelity Blue Chip Growth Mutual Fund	B	Distribution							
13. Fidelity China Region Mutual Fund	A	Dividend	J	T					
14. Fidelity New Millenium Mutual Fund	A	Dividend	K	T					
15. Fidelity New Millennium Mutual Fund	C	Distribution							
16. Fidelity Municipal Money Market Mutual Fund	A	Dividend	J	T					
17. Fidelity Gov't Money Market Premium Class	A	Dividend	K	T					

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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18. Vanguard Total Stock Market Index Admiral Mutual Fund	A	Dividend	K	T					
19. Prosperity Bank (CD)	A	Interest			Matured	07/28/16	L	A	
20. Prosperity Bank (CD)	A	Interest	K	T					
21. Prosperity Bank (Checking)	A	Interest	L	T					
22. Wells Fargo Bank (Checking)	A	Interest	J	T					
23. Wells Fargo Bank (Checking)	A	Interest	J	T					
24. Wells Fargo Bank (Savings)	A	Interest	M	T					
25. Alps ETF Tr Alerian MLP	A	Dividend			Sold	02/10/16	J	A	
26. Altria Group Inc Common Stock	A	Dividend			Sold	12/16/16	J	B	
27. American Electric Power Co. Inc. Common Stock	A	Dividend			Buy (add'l)	02/10/16	J		
28. American Electric Power Co Inc Common Stock					Sold	12/16/16	J	A	
29. Bank of Montreal Common Stock	A	Dividend			Sold	12/16/16	J	A	
30. BCE Inc Common Stock	A	Dividend			Sold	12/16/16	J	A	
31. Dominion Resources Inc VA Common Stock	A	Dividend			Sold	12/16/16	J	A	
32. HSBC Holdings PLC	A	Dividend			Sold	06/27/16	J	A	
33. Merck & Co Inc Common Stock	A	Dividend			Sold	12/16/16	J	A	
34. Microchip Technology Inc. Common Stock	A	Dividend			Sold	12/16/16	J	B	

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35. Lockheed Martin Corp Common Stock	A	Dividend			Sold	12/16/16	J	B	
36. GlaxoSmithKline PLC	A	Dividend			Sold	12/16/16	J	A	
37. Simon Property Group Inc.	A	Dividend			Sold	12/16/16	J	A	
38. Prime Money Market Fund (Mutual Fund)	A	Dividend			Sold	06/20/16	J	A	
39. Federated Gov't Obl. Tax Mgd. Fund #636	A	Dividend	J	T	Buy (add'l)	01/05/16	J		
40. Federated Gov't Obl. Tax Mgt. Fund #636					Buy (add'l)	01/07/16	J		
41. Federated Gov't Obl. Tax Mgt. Fund #636					Buy (add'l)	01/20/16	J		
42. Federated Gov't Obl. Tax Mgt. Fund #636					Buy (add'l)	02/17/16	J		
43. Federated Gov't Obl. Tax Mgt. Fund #636					Buy (add'l)	02/22/16	J		
44. Federated Gov't Obl. Tax Mgt. Fund #636					Redeemed (part)	04/01/16	J	A	
45. Federated Gov't Obl. Tax Mgt. Fund #636					Buy (add'l)	04/04/16	J		
46. Federated Gov't Obl. Tax Mgt. Fund #636					Buy (add'l)	04/12/16	K		
47. Federated Gov't Obl. Tax Mgt. Fund #636					Buy (add'l)	04/13/16	J		
48. Federated Gov't Obl. Tax Mgt. Fund #636					Redeemed (part)	05/02/16	J	A	
49. Federated Gov't Obl. Tax Mgt. Fund #636					Buy (add'l)	05/03/16	J		
50. Federated Gov't Obl. Tax Mgt. Fund #636					Buy (add'l)	06/02/16	J		
51. Federated Gov't Obl. Tax Mgt. Fund #636					Redeemed (part)	06/03/16	J	A	

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52. Federated Gov't Obl. Tax Mgt. Fund #636					Redeemed (part)	07/01/16	K	A	
53. Federated Gov't Obl. Tax Mgt. Fund #636					Buy (add'l)	07/05/16	J		
54. Federated Gov't Obl. Tax Mgt. Fund #636					Buy (add'l)	07/07/16	J		
55. Federated Gov't Obl. Tax Mgt. Fund #636					Buy (add'l)	07/13/16	J		
56. Federated Gov't Obl. Tax Mgt. Fund #636					Buy (add'l)	07/28/16	K		
57. Federated Gov't Obl. Tax Mgt. Fund #636					Buy (add'l)	07/29/16	J		
58. Federated Gov't Obl. Tax Mgt. Fund #636					Buy (add'l)	08/16/16	J		
59. Federated Gov't Obl. Tax Mgt. Fund #636					Buy (add'l)	09/02/16	J		
60. Federated Gov't Obl. Tax Mgt. Fund #636					Buy (add'l)	09/21/16	J		
61. Federal Home Loan Bank 2.20% Note	A	Interest			Matured	07/28/16	K	A	
62. Federal Home Loan Bank 1.45% Note	A	Interest			Matured	04/12/16	K	A	
63. Federal Farm Credit Bank 3.45% Note	B	Interest	K	T					
64. U.S. Treasury 5.5% Note	D	Interest	M	T					
65. Vanguard Wellesley Inc. Fund Admiral Shares	A	Dividend	K	T	Buy	07/01/16	K		
66. Luby's Inc.		None	J	T					
67. United States Series I Savings Bonds		None	J	T					

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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/ **Earl L. Yeakel III**

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