

FINANCIAL DISCLOSURE REPORT FINAL FILING

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) Moody, James M.	2. Court or Organization USDC, Eastern Division	3. Date of Report 06/09/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge-Senior	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☐ Annual ☒ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2013 to 03/07/2014
7. Chambers or Office Address 500 West Capitol Suite C-446 Little Rock, AR 72201-3396		
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.	Trustee	Trust #1-Part VII Line 37
2.	Trustee	Trust #2-Part VII Line 58
3.	Trustee	Trust #3-Part VII Line 97
4.	Trustee	Trust #4-Part VII Line 121
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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE 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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

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.)*

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. One Bank NA-Account	A	Interest	L	T					
2. Summit Bank NA-Account	A	Interest	J	T					
3. Regions Bank NA-Account	A	Interest	J	T					
4. Telco Federal Credit Union-Account	A	Interest	M	T					
5. Regions Bank/Morgan Keegan (IRA)- Account	B	Int./Div.	K	T					
6. BH & M Oil Comm Stock	B	Dividend	J	T					
7. Radius Real Estate Venture	A	Int./Div.	K	T	Buy	02/11/14	K		
8. Header 1-1									
9. Goldman Sachs Bank,USA-Account(X)	A	Interest	L	T					
10. Raymond James Bank, FSB-Account(X)	A	Interest	L	T					
11. Virtus Premium Alphasector fund calss i(VAPIX)	A	Dividend	N	T					
12. Virtus Dynamic Alphsector (VIMNX)	A	Dividend	M	T					
13. Ishares MSCI Eafe (EFA)	A	Dividend	K	T					
14. SPDR S&P 500 ETF (SPY)	A	Dividend	K	T					
15. First Trust ETF II Consumer (FXD) Discretionary (FXD)	A	Dividend			Sold	03/28/13	K	D	
16. First Trust ETF II Consumer Staples (FXG)	A	Dividend			Sold	03/28/13	L	D	
17. First Trust ETF Fund II Alphasdex Fund Annual (FXO)	A	Dividend			Sold	03/28/13	K	D	

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	
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18. FIRST TRUST HEALTH CARE ALPHADEX FD ETF (FXH)	A	Dividend			Sold	03/28/13	L	C	
19. First Trust ETF II Indls Prod Durable Alphadex Fund (FXR)	A	Dividend			Sold	03/28/13	L	D	
20. First Trust ETF II Utilities(FXU)	A	Dividend			Sold	03/28/13	K	B	
21. First Trust Exchange Alphadex (FDT)	A	Dividend			Sold	03/28/13	K	D	
22. First Trust Exchange Alphadex Emerging(FEM)	A	Dividend			Sold	03/28/13	K	A	
23. Ishares TR Barclays TIPS Bd (TIP)	A	Dividend			Sold	03/28/13	K	A	
24. Ishares TR Iboxx Inv CPBD (LQD)	A	Dividend			Sold	03/28/13	K	A	
25. Isahres Barclys 7-10 YR (IEF)	A	Dividend			Sold	03/28/13	K	A	
26. Ishares TR DJ US Real Est (IYR)	A	Dividend			Sold	06/11/13	K	D	
27. Ishares TR High Yld Corp (HYG)	A	Dividend			Sold	03/28/13	K	A	
28. Ishares TR Barclys MBS BD (MBB)	A	Dividend			Sold	03/28/13	K	A	
29. Ishares TR Fltg Rate Nt (FLOT)	A	Dividend			Sold	04/03/13	K	A	
30. SPDR Gold Tr Fgold Shs (GLD)	A	Dividend	K	T					
31. Ishares Emg mkts-EEM	A	Dividend			Buy	09/17/13	M		
32. Ishares Emg mkts-EEM	A	Dividend			Sold	02/11/14	M		
33. Ishares Eafe-EFA	A	Dividend			Buy	03/28/13	K		
34. Ishares Eafe-EFA	A	Dividend			Sold	02/25/14	K		

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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. Ishares US Real-IYR	A	Dividend			Buy	03/28/13	J		
36. SPDR Gold -GLD	A	Dividend			Buy	02/25/14	K		
37. SPDR Gold -GLD	A	Dividend			Sold	03/07/14	K		
38. Ishares US Real-IYR	A	Dividend			Sold	06/11/13	J		
39. SPDR S& P 500etf-DPY	A	Dividend			Buy	06/11/13	M		
40. SPDR S& P 500etf-DPY	A	Dividend			Sold	03/07/14	K		
41. Virtus Premium Alphasector fund calss i(VAPIX)	A	Dividend			Buy	03/28/13	K		
42. Virtus Premium Alphasector fund calss i(VAPIX)	A	Dividend			Sold	02/25/14	K		
43. Virtus Dynamic Alphsector (VIMNX)	A	Dividend			Buy	03/28/13	J		
44. Virtus Dynamic Alphsector (VIMNX)	A	Dividend			Sold	02/25/14	J		
45. Header 1-2									
46. Muni Cash Trust	A	Interest	M	T					
47. Batesville Ar School Dist 001 RFDG & Const	A	Interest	L	T					
48. UA FAYetvl Var Fac	B	Interest	J	T					
49. AR St R Fdg Water Waste Disp & Poll CB/E	B	Interest			Sold	07/01/13	K	A	
50. AR St Univ Rev Hsg Sys FGIC B/E	C	Interest	L	T					
51. NLR Hlth Fac Board Hlth Care RV Ref Baptist Hth B/E	B	Interest			Sold	12/02/13	K	A	

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52. AR State High Ed Ser B	B	Interest	K	T					
53. Univ of Ark Univ Rev Var Fac Fyrtlle Campus A B/E FGIC	B	Interest	L	T					
54. Arkadeplhia AR Pub Ed Facs Rev Ouachita Baptst Univ B/E	C	Interest	L	T					
55. Rogers AR Sewere Imprvt Ambac B/E	C	Interest	L	T					
56. Russellevilee AR School	B	Interest			Sold	12/02/13	K	A	
57. Bryant AR School	C	Int./Div.	L	T					
58. Paris AR School	C	Interest	L	T					
59. Clinton Ar School- [REDACTED]	C	Interest			Sold	02/03/14	K	A	
60. Pulaksi [REDACTED]	C	Interest	L	T					
61. El Dorado Ar Sch Dist- [REDACTED]	C	Interest	L	T					
62. Little Rock Ar Hlth- [REDACTED]	C	Interest	K	T					
63. Conway AR- [REDACTED]	A	Interest	L	T	Buy	02/08/13	L		
64. Conway AR- [REDACTED]	A	Interest	K	T	Buy	03/13/13	K		
65. North Little Rock AR [REDACTED]	A	Interest	K	T	Buy	06/12/13	K		
66. Pulaski County- [REDACTED]	A	Interest	K	T	Buy	11/06/13	K		
67. Header 1-3									
68. Schwab Cash Money Market Fund (X)	A	Interest	M	T					

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69. Aloca Inc.	A	Int./Div.	J	T					
70. Bank of America Corp	A	Int./Div.	J	T					
71. Berkshire Hathaway, Inc.	A	Int./Div.	J	T					
72. BP Amoco Spons ADR-BP	A	Int./Div.	K	T					
73. Cisco	A	Int./Div.			Sold	02/15/13	K	B	
74. Costco	A	Int./Div.			Sold	10/18/13	K	D	
75. FISERV, Inc.	A	Int./Div.	K	T					
76. GlaxosmithKline	A	Int./Div.	K	T					
77. Lexmark Int Group	A	Int./Div.	K	T					
78. MGIC INvestment Corp	A	Int./Div.	K	T					
79. Markel Corp	A	Int./Div.	J	T					
80. Microsoft Corp	A	Int./Div.	K	T					
81. PNC Financial Svcs Grp	A	Int./Div.	J	T					
82. Petroleo BRasilerio, SA	A	Int./Div.			Sold	06/18/13	J	A	
83. Pfizer	A	Int./Div.	K	T					
84. Public Service Enterprise	A	Int./Div.	K	T					
85. Spectra Energy	A	Int./Div.			Sold	07/19/13	K	D	

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86. Telefonica de espana SA	B	Int./Div.	K	T					
87. Telefonos de Mexico	A	Int./Div.			Sold	02/12/13	J	A	
88. Tim Particiacoes	A	Int./Div.			Sold	08/06/13	J	A	
89. Thornburg Income Builder CL C-TIBCX	A	Int./Div.			Sold	01/03/13	M	C	
90. Oppenheimer GLocal CL C	A	Int./Div.			Sold	05/10/13	K	C	
91. Firstenergy-FE	A	Dividend	K	T	Buy	02/01/14	K		
92. Intel INTC	A	Dividend	K	T	Buy	03/31/13	K		
93. Windstream	A	Dividend	K	T	Buy	01/15/14	K		
94. Fidelity SLCT FSDPX	A	Dividend	M	T	Buy	06/30/13	M		
95. CALL-Vector group	A	Dividend	J	T	Buy	06/30/13	J		
96. Ishares silver Trust	A	Dividend	J	T	Buy	03/31/13	J		
97. US Steel	A	Dividend	K	T	Buy	06/30/13	K		
98. US Steel	A	Dividend			Sold	06/30/13	K	A	
99. Vector Group (VGR)	A	Dividend	J	T					
100. Header 1-4									
101. Raymond James Bank,FSB-Account	A	Interest	J	T					
102. Morgan Stanley Com Stock	A	Dividend	J	T					

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103. Wal-Mart Stores Com Stock	B	Dividend	K	T					
104. Discover Fiancial Svc	A	Dividend	J	T					
105. APPLE INCORPORATED (AAPL)	A	Dividend	K	T					
106. TOYOTA MOTOR CORP TM	A	Dividend	K	T					
107. VERIZON COMMUNICATIONS INCORPORATED (VZ)	A	Dividend	J	T					
108. Header 1-5									
109. Russellville AR School Dist Constr CFG	B	Interest			Sold	12/31/13	K	A	
110. LR AR School District Ser B	C	Interest	L	T					
111. General Motors Corp Note	A	Interest	J	T					
112. Muni Cash Trust Funds	A	Interest	K	T					
113. Roger AR School	C	Interest	L	T					
114. General Motors Co (GM)	A	Dividend	J	T					
115. Motors Liquidation (MTLQU)	A	Interest	J	T					
116. North Little Rock- [REDACTED]	A	Interest	K	T	Buy	06/12/13	K		
117. Conway Ar School Dist 5.04% [REDACTED]	B	Interest	K	T					
118. Header 2-1									
119. Raymond James Bank, FSB	A	Interest	J	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	K ~\$15,001 - \$50,000 O ~\$500,001 - \$1,000,000	L ~\$50,001 - \$100,000 P1 ~\$1,000,001 - \$5,000,000	M ~\$100,001 - \$250,000 P2 ~\$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	P3 ~\$25,000,001 - \$50,000,000 Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	P4 ~More than \$50,000,000 S =Assessment W =Estimated	T =Cash Market	

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Moody, James M.

Date of Report

06/09/2014

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)

120. Header 2-2									
121. Raymond James Bank, FSB	A	Interest	J	T					
122. Fed Ex COrp	A	Dividend	M	T					
123. Intel	B	Dividend	L	T					
124. Qualcomm, Inc	A	Dividend	K	T					
125. Apple Inc.-AAPL	A	Dividend	L	T					
126. Merck	A	Dividend	K	T					
127. Blackstone Group LP Comm Unit Ltd-BX	A	Distribution	K	T					
128. Header 2-3									
129. Raymond James Bank, FSB	A	Interest	J	T					
130. General Electric	A	Dividend	J	T					
131. Microsoft	A	Dividend	K	T					
132. Celegene Corp	A	Dividend	K	T					
133. Header 2-4									
134. Raymond James Bank, FSB	A	Int./Div.	J	T					
135. Goldman Sachs Bank, USA-Account	C	Interest	M	T					
136. Evergreen Solar, Inc.	A	Dividend	J	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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Name of Person Reporting

Moody, James M.

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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)
137. AT&T Incorporated (T)	A	Dividend	J	T					
138. Apple Inc. (AAPL)	A	Dividend	L	T					
139. Conocophillips (COP)	A	Dividend	L	T					
140. Merck (MRK)	A	Dividend	L	T					
141. Pfizer Inc. (PFE)	A	Dividend	J	T					
142. Phillips 66 (PSX)	A	Dividend	J	T					
143. IDeal Holding Ltd	A	Dividend	K	T					
144. Mineral interest)-Lafayette County Arkansas (X)	C	Royalty	J	W					
145. Rental #1-Nashville TN	C	Rent	K	W					
146. First Southwest Prime Funds (Y)	A	Int./Div.	J	T					
147. Banco Bilbsovizcaya (Y)									
148. Contax Paratiicipacoes (Y)									
149. Banco Santander SA_STD (Y)									
150. Plains Capital Bank-cash (Y)									

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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Moody, James M.

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

Letter of Inquiry listed 5 items.

On Page 4 Item 7-Added requested information

Missing from 2012 to 2013

Page 7/#62-Please note it was listed as item #56 in 2013 report

Page 7/#68-Added as Page 12/#146

Page 8/#81—Please note was listed as #78 in 2013 report

Page 9/#97—Please note listed as #83 in 2013 report

LETTER OF INQUIRY DATED 12/09/14

Please note that the following items from the 2012 report should have been noted with the designation (Y) for the 2013 year:

#62 Banco Bilbao Vizcaya

#68 Contax Participaciones

#81 Banco Santander SA STD

#87 Plains Capital Bank-cash

These items are added on line 147-150 of the 2013 report

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Name of Person Reporting

Moody, James M.

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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/ James M. Moody**

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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