

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) Lauck, M H.	2. Court or Organization United States District for the Eastern District of Virginia	3. Date of Report 11/20/2015
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U. S. District 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 U.S. District Court, EDVA 701 East Broad Street, Suite 6112 Richmond, VA 23219-3528		
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. Custodian	Wells Fargo Custodial Accounts
2. Board Member	Federal Bar Association
3. Council Member	State-Federal Judicial Council of Virginia
4. Member	Professionalism Advisory Committee
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 8

Name of Person Reporting

Lauck, M H.

Date of Report

11/20/2015

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. 2014

- salary and benefits

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. _____

FINANCIAL DISCLOSURE REPORT

Page 3 of 8

Name of Person Reporting

Lauck, M H.

Date of Report

11/20/2015

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.	Dana DiCarlo and Scott Plank	Weekend trip, personal consultation, meals	\$7,850.00
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.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 8

Name of Person Reporting

Lauck, M H.

Date of Report

11/20/2015

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. Wells Fargo bank accounts	A	Interest	J	T					
2. Wells Fargo Custodial bank accounts	A	Interest	J	T					
3. Brokerage account #1									
4. - Exxon	A	Dividend	K	T					
5. - International Business Machines	A	Dividend	J	T					
6. - Pfizer	A	Dividend	J	T					
7. - Under Armor, Inc.		None	K	T					
8. - Verizon	A	Dividend	J	T					
9. Brokerage account #2									
10. - AT&T	A	Dividend	J	T					
11. - Baxter Int'l Inc	A	Dividend	J	T	Buy	01/27/14	J		
12. - Celgene Corp		None	J	T	Sold (part)	06/25/14	J	C	
13. - Cisco Sys Inc	A	Dividend			Sold	01/27/14	J	C	
14. - Coach Inc	A	Dividend			Sold	12/03/14	J		
15. - ConocoPhillips	A	Dividend	J	T					
16. - Devon Energy Corp New	A	Dividend	J	T	Sold (part)	09/25/14	J	A	
17. - Dun & Bradstreet Corp Del New	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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = More than \$50,000,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$250,001 - \$500,000,000	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 \$5,000,000,000	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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 8

Name of Person Reporting

Lauck, M H.

Date of Report

11/20/2015

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)

18. - Dunkin Brands Group Inc	A	Dividend	J	T	Sold (part)	01/27/14	J	A	
19. - E M C Corp Mass		None	J	T					
20. - Eaton Corp	A	Dividend	J	T					
21. -General Electric Company	A	Dividend	J	T	Buy	01/27/14	J		
22. - International Business Machines	A	Dividend	J	T					
23. - Lowes Companies	A	Dividend	J	T	Sold (part)	12/03/14	J	B	
24. - Nuance Communications Inc		None	J	T					
25. - Omnicon	A	Dividend	J	T					
26. - Target Corp	A	Dividend	K	T					
27. - Travelers Cos Inc Com	A	Dividend	J	T	Sold (part)	12/03/14	J	C	
28. - US Bankcorp Del Com New	A	Dividend	J	T					
29. - Wells Fargo & Co New	A	Dividend	J	T	Sold (part)	01/27/14	J	B	
30. - Canadian Imperial Bank Bond	A	Interest	J	T					
31. - Home Depot Inc Bond	A	Interest	J	T					
32. - Int'l Paper Co Bond	B	Interest	K	T					
33. - Kohl's Corp Bond	A	Interest	K	T	Buy	04/17/14	K		
34. - SunTrust Bank Atlanta CD	A	Interest			Redeemed	05/28/14	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
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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 8

Name of Person Reporting

Lauck, M H.

Date of Report

11/20/2015

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)

35. - Fidelity Tax Free Money Market	A	Interest	K	T					
36. - GE SSP program (retirement)									
37. - GE Stock Fund	A	Dividend	J	T					
38. - GE US Eqty fund	B	Dividend	J	T					
39. - GE Income Fund	A	Dividend	J	T					
40. TIAA CREF (retirement)									
41. - TIAA Traditional		None	K	T					
42. - CREF Stock		None	M	T					
43. - CREF Growth		None	K	T					
44. - CREF Equity Index		None	K	T					
45. - CREF Social Choice		None	K	T					
46. AT&T (Custodian)	A	Dividend	J	T					
47. Pepco Holdings (Custodian)	A	Dividend	J	T					
48. BNY Mellon (Custodian)	A	Dividend	J	T					
49. Dominion Resources	A	Dividend	J	T					
50. VA529 College Savings Plan, prepaid, age-based, no control		None	L	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 \$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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 8

Name of Person Reporting

Lauck, M H.

Date of Report

11/20/2015

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

Part VII. Investments and Trusts: Reporting of Trust #1 from past years is no longer required as the filer, [REDACTED] did not create the trust, and no [REDACTED] can receive income or have a beneficial interest in the trust.

IN REPLY TO THE LETTER OF OCTOBER 21, 2015 FROM THE COMMITTEE REQUESTING ADDITIONAL INFORMATION:

Part VII Line 49 Dominion Resources was in fact reported in the prior 2013 Annual Report on Line 92 (where it appears with an (X) as it exceeded the reporting threshold in that year).

Part VII Line 7 Under Armor Inc. stock. This is correctly listed as having income "None." It is common stock that pays no dividend.

Part VII Lines 41-45 TIAA-CREF retirement funds. As I read the Filing Instructions, these are correctly listed.

In prior years, my accountant and I tried to establish whether there was income in the TIAA-CREF accounts, but when I spoke to TIAA-CREF we were told that they do not identify income; they only report the change in investment value during the year. When we contacted the Committee in regard to the 2013 Annual Report and explained the situation, we were referred by a staff member to page 47 in the instructions and told to report it as we are currently doing.

Page 47 of the Filing Instructions states "Certain retirement and investment funds do not credit income to the individual accounts, but instead report a "unit value" to participants. If no income is reported as having been credited to the filer's account, leave Column B(1) blank and enter "None" in Column B(2).

The TIAA-CREF statements do not identify any amounts as income. The statements list only beginning balances, additions (retirement contributions by the participant and the school during the period), gain/loss, and ending balances.

Because the Filing Instructions state that "Filers are not required to disclose as income any increase or decrease in the value of their account resulting solely from the change in market value of assets," I do not think there is any income that is reportable. TIAA-CREF reports only plan contributions and the change in value during the year.

We have sought feedback from the Committee as to my reading of these instructions for purposes of this amendment. We have not received an answer as of the due date for this amendment.

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

Lauck, M H.

Date of Report

11/20/2015

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/ M H. Lauck**

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