

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) COX, EMMETT R.	2. Court or Organization U.S. COURT OF APPEALS, ELEVENTH CIRCUIT	3. Date of Report 12/18/2014
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 01/01/2013 to 12/31/2013
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	ASSOCIATION (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.

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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE 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	K	T					
3. TD AMERITRADE CASH (X)	A	Interest	J	T					
4. BRISTOL-MYERS SQUIBB (STOCK)	A	Dividend	J	T					
5. OCCIDENTAL PETROLEUM CORP (STOCK)	A	Dividend	J	T					
6. SOUTHERN CO (STOCK)	A	Dividend	J	T					
7. T D AMERITRADE FDIC INSURED DEPOSIT ACCOUNT (X)	A	Interest	J	T					
8. AMERICAN FUNDS EURO PACIFIC GROWTH A (MUTUAL FUND)	A	Dividend	J	T					
9. AMERICAN FUNDS EURO PACIFIC GROWTH F (MUTUAL FUND)	A	Dividend	J	T					
10. AMERICAN FUNDS NEW WORLD F (MUTUAL FUND)	A	Dividend	J	T	Buy (add'l)	12/16/13	J		
11. FRANKLIN FEDERAL ALA T/F INCOME CL A (MUTUAL FUND)	B	Dividend	K	T					
12. HARBOR FD CAP APPRECIATION (MUTUAL FUND)	A	Dividend	K	T					
13. JENSEN QUALITY GROWTH (MUTUAL FUND)	A	Dividend			Sold	09/19/13	J	B	
14. LOOMIS SAYLES BD FD INSTL (MUTUAL FUND)	B	Dividend	K	T	Buy (add'l)	09/20/13	J		
15. MAINSTAY FUNDS: ICAP SELECT EQUITY FD CL I (MUTUAL FUND)	A	Dividend	J	T					
16. PIMCO FUNDS COMMODITY.REAL RET STRAT INSTL (MUTUAL FUND)		None	J	T	Buy	12/16/13	J		
17. T ROWE PRICE TAX FREE SHORT INTERMEDIATE (MUTUAL FUND)	A	Dividend	K	T	Sold (part)	01/25/13	J	A	

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	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	F = \$50,001 - \$100,000 (See Columns C1 and D3)	J = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	K = \$15,001 - \$50,000 P1 = \$1,000,001 - \$5,000,000	L = \$50,001 - \$100,000 P2 = \$5,000,001 - \$25,000,000	M = \$100,001 - \$250,000 P4 = More than \$50,000,000
3. Value Method Codes	N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	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 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.					Sold (part)	04/25/13	J	A	
19.					Sold (part)	07/25/13	J	A	
20.					Sold (part)	10/25/13	J	A	
21. TEMPLETON GLOBAL BOND FUND A (MUTUAL FUND)	A	Dividend	J	T					
22. THIRD AVENUE TR INTL VALUE FD (MUTUAL FUND)	A	Dividend	J	T	Sold (part)	12/12/13	J	C	
23. FDIC INSURED DEPOSIT ACCOUNT	A	Interest	J	T					
24. ISHARES RUSSELL 1000 VALUE ETF (MUTUAL FUND)	A	Dividend	K	T	Sold (part)	12/12/13	J	B	
25. ISHARES RUSSELL 3000 ETF (MUTUAL FUND)	A	Dividend			Buy (add'l)	03/13/13	J		
26.					Sold	12/12/13	K	D	
27. ISHARES US REAL ESTATE ETF (MUTUAL FUND)	A	Dividend			Sold	12/12/13	J	B	
28. AMERICAN FUNDS EUROPACIFIC GROWTH F2 (MUTUAL FUND)		None			Sold	04/29/13	J	C	
29. AMERICAN FUNDS NEW WORLD (MUTUAL FUND)	A	Dividend	J	T	Buy	04/29/13	J		
30. CLIPPER FUND INC COM (MUTUAL FUND)		None			Sold	03/12/13	J	B	
31. HARBOR FD COMMODITY REAL RETURN STRTGY INST (MUTUAL FUND)	A	Dividend			Sold	12/12/13	J	A	
32. JANUS INV FUND PERKINS MID CP VL INV (MUTUAL FUND)	B	Dividend	J	T	Sold (part)	12/12/13	J	C	
33. OPPENHEIMER DEVELOPING MKTS CL A (MUTUAL FUND)	A	Dividend	J	T	Sold (part)	12/12/13	J	C	

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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34. PIMCO FDS EMERGING LOCAL BOND (MUTUAL FUND)	A	Dividend			Sold	12/12/13	J	A	
35. PROFESSIONALLY MGD PTFL OSTERWEIS FD (MUTUAL FUND)		None			Sold (part)	04/29/13	J	C	
36.					Sold	12/12/13	J	B	
37. THIRD AVENUE TR REAL ESTATE VALUE FD (MUTUAL FUND)	A	Dividend	J	T					
38. VANGUARD INTERMEDIATE-TERM TAX-EX FUND (MUTUAL FUND)	A	Dividend			Sold	12/12/13	K	A	
39. WASATCH SMALL CAP GROWTH FD (MUTUAL FUND)	A	Dividend	K	T					
40. VANGUARD CAPITAL OPPORTUNITY INV (MUTUAL FUND)	A	Dividend	J	T	Buy	09/16/13	J		
41.					Buy (add'l)	11/08/13	J		
42. VANGUARD DIVIDEND GROWTH (MUTUAL FUND)	A	Dividend			Sold	10/31/13	J	B	
43.					Buy (add'l)	10/18/13	J		
44. ARMY AVIATION CENTER FCU (Y)									
45. AMERICAN FUNDS FUNDAMENTAL INVESTORS F (MUTUAL FUND) (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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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

SECTION I. POSITIONS

ASSOCIATION IS A NOT-FOR-PROFIT ASSOCIATION THAT HOLDS TITLE TO AND MANAGES THE
COMMON AREA FOR

SECTION VII INVESTMENTS AND TRUSTS

VANGUARD DIVIDEND GROWTH (MUTUAL FUND) WAS INADVERTENTLY OMITTED FROM THE 2012 FINANCIAL DISCLOSURE REPORT. THE STOCK WAS ORIGINALLY PURCHASED IN 2011, ADDITIONAL STOCK HAS BEEN PURCHASED SINCE THEN AND THE FULL AMOUNT WAS SOLD OCTOBER 31, 2013.

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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
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Washington, D.C. 20544