

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) CHIECHI, CAROLYN P.	2. Court or Organization U.S. TAX COURT	3. Date of Report 04/25/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) JUDGE (SENIOR STATUS- ON RECALL)	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 ROOM 233 400 SECOND STREET, N.W. WASHINGTON, D.C. 20217-0002		
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. Executor until 12/5/13	Estate of [REDACTED]
2.	
3.	
4.	
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. 09/1992	Sutherland, Asbill & Brennan (SAB) (See VIII. Additional Information or Explanations)
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.)*

<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.		
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. SAB HR 10 Plan	D	Int./Div.	P1	T					
2. Coca Cola Co., Common Stock	B	Dividend	K	T					
3. BP PLC, Common Stock	B	Dividend	K	T					
4. Merck & Co., Common stock	A	Dividend	K	T					
5. Express Scripts Holding Co., common stk		None	J	T					
6. Stryker Corp., Common stock	A	Dividend	K	T					
7. RBC Wealth Management US Government Money Market Fund		None	J	T					
8. WalMart Stores, Inc., Common Stk	B	Dividend	L	T					
9. Marriott Int'l, Inc. New, Class A, Common Stk	A	Dividend	K	T					
10. Marriott Vacations Worldwide Corp cmn stk		None	J	T					
11. Host Hotels and Resorts Inc., Common Stk.		None	J	T					
12. PNC Financial Corp., Common Stk	A	Dividend	K	T					
13. Microsoft Corp., Common Stk	C	Dividend	M	T	Donated (part)				
14. Medtronic Common Stk	A	Dividend	K	T					
15. Bank of America (MM/Ckg Accts)	A	Interest	L	T					
16. Boeing, Co., Common Stock	A	Dividend	J	T					
17. NIKE, Class B Common Stock	A	Dividend	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	

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18. Dell Computer, Common Stk	A	Dividend			Redeemed	10/30/13	J		Cash merger
19. Apple Inc., common stk	A	Dividend	K	T					
20. Google Inc., common stk		None	K	T					
21. Amgen. Inc., Common Stk	A	Dividend	J	T					
22. General Electric, Common Stk	A	Dividend	J	T					
23. UBS Bank USA Deposit (Money Market Fund)		None	J	T					
24. Berkshire Hathaway B, Common Stock		None	J	T					
25. Cisco Systems Inc., Common Stock	A	Dividend	J	T					
26. Johnson & Johnson, Common Stock	A	Dividend	J	T					
27. Liberty Media Hldg. Ser. A Inter, Common Stock		None	J	T					
28. Liberty Media Corp. cmn stk		None	J	T					
29. Starz Ser. A, Common Stock		None	J	T	Spinoff (from line 28)	01/14/13	J		
30. DIRECTV, common stock		None	J	T					
31. Amazon.com, Inc. Common Stock		None	J	T					
32. American Int'l Group, Common Stock	A	Dividend	J	T					
33. Anadarko Pete., Common Stock	A	Dividend	J	T					
34. Autodesk Inc. Delaware, Common Stock		None	J	T					

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35. Bed Bath & Beyond Inc., Common Stock		None	J	T					
36. Biogen Idec Inc., Common Stock		None	K	T					
37. Broadcom Corp. C1 A, Common Stock		None	J	T					
38. Cablevision Systems Corp., Common Stock	A	Dividend	J	T					
39. AMC Networks, Inc., cmn stk		None	J	T					
40. Madison Square Garden Inc., Common Stock		None	J	T					
41. Cree Research Inc., Common Stock		None	J	T					
42. Electronic Arts Inc., Common Stock		None	J	T					
43. Expedia Inc., Common Stock	A	Dividend	J	T					
44. Trip Advisors, Inc., cmn stk		None	J	T					
45. Forest Laboratories Inc., Common Stock		None	J	T					
46. Contingent Value Rights rec'd from Sanofi Adventis		None	J	T					
47. Nat'l Oilwell Varco Inc., Common Stock	A	Dividend	J	T					
48. Home Depot Inc., Common Stock	A	Dividend	J	T					
49. IAC/Interactive Corp. New, Common Stock	A	Dividend	J	T					
50. Liberty Ventures Series A, Common Stock		None	J	T					
51. HSN Inc., Common Stock	A	Dividend	J	T					

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52. Interval Leisure Group, Common Stock	A	Dividend	J	T					
53. Tree. Com, Common Stock		None	J	T					
54. Intel Corp, Common Stock	A	Dividend	J	T					
55. L-3 Comm. Hldg Inc., Common Stock	A	Dividend	J	T					
56. Engility Holdings, Inc., Common Stock		None	J	T					
57. Beneficial interest in Lehman Bros Holdings Inc Plan Trust		None	J	W					See VIII for explanation
58. Liberty Global Inc. Cl A, Common Stock		None	J	T					
59. Bank of America Corp., Common Stock	A	Dividend	J	T					
60. Micron Tech Inc., Common Stock		None	J	T					
61. Pall Corp, Common Stock	A	Dividend	J	T					
62. Pepsico Inc, Common Stock	A	Dividend	J	T					
63. Pfizer Inc, Common Stock	A	Dividend	J	T					
64. Proctor & Gamble, Common Stock	A	Dividend	J	T					
65. Sandisk Corp, Common Stock	A	Dividend	J	T					
66. Seagate Corp, Common Stock	A	Dividend	J	T					
67. Texas Instruments, Common Stock	A	Dividend	J	T					
68. Time Warner Inc New, Common Stock	A	Dividend	J	T					

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69. Time Warner Cable, Inc., Common Stock	A	Dividend	J	T					
70. AOL, Inc., Common Stock		None	J	T					
71. Tyco International Ltd., Common Stock	A	Dividend	J	T					
72. ADT Corp. Com, Common Stock	A	Dividend	J	T					
73. Pentair Ltd., Common Stock	A	Dividend	J	T					
74. TE Connectivity Ltd., Common Stock)	A	Dividend	J	T					
75. Covidien PLC, Common Stock	A	Dividend	J	T					
76. Mallinckrodt Pub Ltd Co, Common Stock		None	J	T	Spinoff (from line 75)	07/08/13	J		
77. United Health Gp Inc, Common Stock	A	Dividend	J	T					
78. Walt Disney Co, Common Stock		None	J	T					
79. Weatherford Int'l Ltd., Common Stock		None	J	T					
80. Yahoo Inc, Common Stock		None	J	T					
81. EBay, Inc., Common Stk.		None	J	T					
82. Live Nation Entm't Inc, Com Stk		None	J	T					
83. UBS IRA	E	Int./Div.	P1	T					
84. --BP PLC, Common Stk									
85. --General Electric, Common Stock									

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86. --Goldman Sachs, Common Stock									
87. --AT&T Inc., Common Stock									
88. --Schlumberger, Common Stock									
89. --Target, Common Stock									
90. --St. Paul Travelers, Common Stock									
91. --Columbia Marsico Focus Eq. A Mutual Fund					Buy	06/26/13	J		
92.					Buy (add'l)	12/16/13	J		
93. --Hartford Cap Appreciation A Mutual Fund					Buy	12/31/13	J		
94. --Kinetics New Paradigm Fund Cl A Mutual Fund									
95. --UBS Bank USA Deposit (Money Market Fund)									
96. --First Niagara Bank 0.30% fixed rate CD, due 2/11/13					Redeemed	02/11/13	K		
97. --Bank of India 0.55% fixed rate CD, due 5/08/13					Redeemed	05/08/13	M		
98. --Abbott Labs common stock									
99. --Abbvie Inc, Common Stock					Spinoff (from line 98)	01/02/13	J		
100. --Johnson & Johnson common stock									
101. --Apple Inc., common stock									
102. --Fifth Third Bank 0.35% fixed rate CD, due 2/21/14					Buy	08/15/13	M		

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103. --Banco Popolar 0.30% fixed rate CD, due 11/21/13					Buy	08/15/13	M		
104.					Redeemed	11/21/13	M		
105. --Bank of Baroda NY 0.30% fixed rate CD, due 2/24/14					Buy	08/15/13	M		
106. Estate of aunt	E	Int./Div.			Distributed	08/09/13	P1		
107. --Wells Fargo Ckg./Savings Accounts					Closed	12/05/13	K		See VIII for explanation
108. --Exxon Mobil common stock					Distributed	08/09/13	M		1/2 ds't'd to me per will
109. Exxon Mobil common stock	A	Dividend	L	T					See l. 108
110. --Centerpoint Energy common stock					Distributed	08/09/13	J		1/2 ds't'd to me per will
111. Centerpoint Energy common stock	A	Dividend					J		See l. 110
112.					Sold	10/07/13	J	A	
113. --Colgate Palmolive common stock					Distributed	08/09/13	P1		1/2 ds't'd to me per will
114. Colgate Palmolive common stock	C	Dividend	O	T					See l. 113
115. --Genon Energy common stock					Merged (with line 116)	01/23/13	J		rec'd l. 116 in merger
116. --NRG Energy, Inc. Common Stock						01/23/13	J		rec'd in merger w/l.115
117. --NRG Energy, Inc. Common Stock					Distributed	08/09/13	J		1/2 ds't't to me per will
118. NRG Energy, Inc. common stock		None							See l. 117
119.					Sold	10/07/13	J		

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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 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. --Southern Co. common stock					Distributed	08/09/13	J		1/2 dst'd to me per will
121. Southern Co. common stock	A	Dividend	J	T					See l. 120
122. Fidelity Bank--IRA		None	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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CHIECHI, CAROLYN P.

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

II. AGREEMENTS (Cont'd).

At least for the foreseeable future, I decided to continue to have certain of the amounts I had accumulated in the HR 10 Plan, which is sponsored by SAB of which I was a partner through September 30, 1992, and which is an independently managed, fully funded, defined contribution plan that allows for self-directed investments, to be managed by the advisor retained by SAB. In July 2000, I rolled over into an IRA at Morgan Stanley the balance of those amounts. In 2007, I rolled over my Morgan Stanley IRA accounts into IRA accounts at UBS Financial Services, Inc. (UBS).

I have a vested interest in the Sutherland, Asbill & Brennan Defined Benefit Plan for Partners and Nonlegal Personnel. The benefit I am entitled to receive under that plan is an annual income on a straight-line basis of \$6,782.15 per year, commencing at normal retirement age of 65 and which became effective as of 1/1/09. Annual amount is paid equally over 12 months. Pursuant to the terms of the plan, I was not entitled to a lump-sum payout when I withdrew as a partner from SAB effective October 1, 1992, because, as a relatively new plan, the benefits to the participants of the plan were not fully funded. The plan provides that pension payments were to begin automatically after I attained the normal retirement age of 65. The amount of the pension payments are in no way affected by the profitability of SAB or by the performance of the trust fund. If the trustee of the plan were to realize a better or a worse investment rate than assumed in the actuarial calculations for the plan, SAB either would contribute less or more to provide the defined benefit of all participants. The plan may be terminated either because of a change in the law or a decision by the partners of SAB to discontinue this benefit. In the event of plan termination, ERISA provides very specific rules for the allocation of plan assets among participants, with those who have already retired being given fully funded benefits first. If SAB were not able to provide all benefits, the Pension Benefit Guaranty Corporation would pick up the liability for any shortfall up to the benefit levels insured by that agency. It is my understanding that, except in that unlikely event, my benefit under the plan is a fixed amount.

VII. INVESTMENTS AND TRUSTS

P. 7, line 57

In 2012 Lehman Bros. Holdings, Inc., commenced bankruptcy proceedings, its stock was canceled, and its stockholders received proportionate beneficial interests in or rights to the Lehman Bros Holdings, Inc., plan trust. Although I placed a yearend value in my 2012 financial disclosure report on my interest in or right to that plan trust, upon reflection I believe that a value really was not ascertainable for that interest or right at the end of 2012 or at the end of 2013 because of the uncertainties involved in the bankruptcy proceedings. Nonetheless, I indicated that the value code is J, i.e., "\$15,000 or less".

P. 10, line 107

Bank account proceeds were distributed to my [REDACTED] and me, the sole beneficiaries of my [REDACTED] estate, in such amounts as to make all distributions from the estate on an equal basis to us.

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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/ CAROLYN P. CHIECHI

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)

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