

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) Higginbotham, Patrick E.	2. Court or Organization U.S. Court of Appeals, Fifth	3. Date of Report 07/15/2015
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Circuit Judge (Senior Judge)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2014 to 12/31/2014
5b. ☒ Amended Report		
7. Chambers or Office Address 903 San Jacinto Blvd, Room 400 Austin, TX 78701		
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. Board of Overseers	Rand - Institute for Civil Justice
2. Independent Executor	Trust #2
3. Trustee	The Center for American and International Law
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.	
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. 2014	St. Mary's University (Teaching)	\$92,889.00
2. 2014	Matthew Bender & Co, Inc. (Writing)	\$3,184.00
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.	
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. RAND	Spring 2014	Santa Monica, CA	Panelist for 2014 Spring Board Meeting	Reimbursement for Travel & Lodging
2. American Law Institute	May 19-21, 2014	Washington D.C.	Attending ALI 91st Annual Meeting	Judges and Public Lawyers Reimbursement Program
3. St. Mary's University	July 23 - August 7, 2014	Innsbruck, Austria	Teaching	Per Diem Expense Payment & Travel Reimbursement
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. New York Life Insurance Company	A	Interest	K	T					
2. Verizon Common Stock	A	Dividend	J	T					
3. Comcast Common Stock	A	Dividend	J	T					
4. AT&T Common Stock	A	Dividend	J	T					
5. Frontier Communications Common Stock	A	Dividend	J	T					
6. Virtus Strategic Growth Fund A	B	Distribution	J	T					
7. Capital One Bank Account	A	Interest	N	T					
8. BAC MITTS DJUBS - ER	A	Interest	J	T					
9. Florida St BRD ED	A	Interest	J	T					
10. Bay Area Toll Auth CA	A	Interest			Redeemed	04/01/14	J	A	
11. Coconimo-Yavapai AZ JT	A	Interest	J	T					
12. Maricopa CO AZ	A	Interest	J	T					
13. Hawaii ST	A	Interest	J	T					
14. Cypress-Fairbanks TEX	B	Interest	K	T					
15. Houston TEX INDPT SCH	B	Interest	K	T					
16. AGL Resources Inc Common Stock	B	Dividend	L	T					
17. Blackrock Global Allocation Fd Inc C	D	Dividend	M	T					

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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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 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. Duke Energy Corp	A	Dividend	K	T					
19. Exxon Mobil Corp	C	Dividend	M	T					
20. Pimco Total Refund Fd	A	Dividend	K	T					
21. Pioneer High Yield Fund CL C	B	Dividend	K	T					
22. Invesco Senior Income Trust	A	Dividend	J	T					
23. Trust #1	A	Rent			Merged (with line 24)	01/01/14	J	A	
24. Trust #2 - Rental Properties (Tarrant County, TX)	A	Rent	N	W					
25. Trust #2 - Royalty (Tulsa, OK)	A	Royalty	J	W					
26. Rental Property (Pensacola, FL)	D	Rent			Sold	08/07/14	M	G	
27. Royalty Interest (Tulsa, OK)	A	Royalty	J	W					
28. Chase Account (Trust #1)		None			Merged (with line 24)	01/01/14	J	A	
29. Merrill Lynch Bank U.S.A.		None	J	T					
30. Merrill Lynch Bank & Trust	A	Interest	J	T					
31. Coca Cola	B	Dividend	L	T					
32. Rental Property (Austin, TX)	D	Rent	M	W					
33. Delta Air Lines	A	Dividend	J	T					
34. Spectra Energy Corp	A	Dividend	J	T					

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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	
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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35. Dallas TEX Wtrwks & Swr	A	Interest	J	T					
36. Land (Blanco, TX)		None	N	T	Buy	09/22/14	N		

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

In relation to the sale of the rental property listed on Section VII, line 26, the Judge was assisted by an attorney friend who refused to bill the Judge for his services. The Judge is recused in cases in which this friend and his firm are interested.

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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/ Patrick E. Higginbotham**

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