AO 10
Rev. 1/2022

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2021

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)	2. Court or Organization	3. Date of Report
CAUTHRON, ROBIN J.	WESTERN DISTRICT OF OKLAHOMA	05/15/2022
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)	**5a. Report Type (check appropriate type)**	**6. Reporting Period**
U. S. DISTRICT JUDGE (SENIOR STATUS)	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2021 **to** 12/31/2021
7. Chambers or Office Address		
4001 U.S. COURTHOUSE 200 N.W. 4TH STREET OKLAHOMA CITY, OK 73102		

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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 345 Trustees, Executors, Administrators, and Custodians; § 350 Power of Attorney; § 355 Outside Positions.)*

☑ NONE *(No reportable positions.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.		
2.		
3.		
4.		
5.		

II. AGREEMENTS. *(Reporting individual only; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 340 Agreements and Arrangements)*

☑ NONE *(No reportable agreements.)*

	DATE	PARTIES AND TERMS
1.		
2.		
3.		

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 320 Income; § 360 Spouses and Dependent Children.)*

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
1.	2021	Self-employed lawyer
2.		
3.		
4.		

IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.*

(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)

☑ NONE *(No reportable reimbursements.)*

	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.					
2.					
3.					
4.					
5.					

V. GIFTS. *(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable gifts.)*

	SOURCE	DESCRIPTION	VALUE
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 335 Liabilities; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable liabilities.)*

	CREDITOR	DESCRIPTION	VALUE CODE
1.			
2.			
3.			
4.			
5.			

Name of Person Reporting	Date of Report
CAUTHRON, ROBIN J.	05/15/2022

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ NONE *(No reportable income, assets, or transactions.)*

A		B		C		D				
Description of Assets (including trust assets)		Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure		(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)	
1.	Allegiance Credit Union [redacted]	A	Interest	K	T					
2.	Legg Mason Partners: Appreciation Fund (mutual fund)	A	Dividend	J	T					
3.	John Powell, Ltd. Partnership Tulsa County, OK real est.		None	K	R					See VIII, Explanations
4.	Winston Oil Co. 1981-1982 Ltd. Partnership, Marion, OH		None	J	W					
5.	Dage Oil Co., Ltd. Partnership Oklahoma City, OK		None	J	W					
6.	Mineral interest in Woods County, OK	A	Royalty	J	W					
7.	Persuasive Strategies, LLC	A	Interest	K	T					
8.	-Denbury, Plano, TX (minerals)	A	Royalty	J	T					
9.	BROKERAGE ACCOUNT #1									
10.	-American Fund: American Balanced Fund C (mutual fund)	A	Dividend	J	T					
11.	-American Fund: Capital Income Builder Fund (mutual fund)	A	Dividend	J	T					
12.	-Amer. Fund: Capital World Growth & Income Fund C (mut fund)	A	Dividend	J	T					
13.	-Income Fund of America C (mutual fund)	A	Dividend	J	T					
14.	-Chesapeake Energy Corp (common stock)	A	Dividend	J	T					
15.	-Superior Energy Services, Inc. (common stock)	A	Dividend	J	T					
16.	-Janus Forty Fund	A	Dividend	J	T					
17.	-Mainstay Lg Cap Growth Fund	A	Dividend	J	T					

1 Income Gain Codes: (See Columns B1 and D4)	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	
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000		
	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 (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market		
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VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ 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 (1) Amount Code 1 (A-H)	B (2) Type (e g , div , rent, or int)	C Gross value at end of reporting period (1) Value Code 2 (J-P)	C (2) Value Method Code 3 (Q-W)	D Transactions during reporting period (1) Type (e g , buy, sell, redemption)	D (2) Date mm/dd/yy	D (3) Value Code 2 (J-P)	D (4) Gain Code 1 (A-H)	
18. -Blackrock Eq Dividend Fd	A	Dividend	J	T					
19. -Seligman Lg Cap Value Fd	A	Dividend	J	T					
20. -Alger Small Cap Growth Fd	A	Dividend	J	T					
21. -TCW Small Cap Growth Fd	A	Dividend	J	T					
22. -Perkins Small Cap Value	A	Dividend	J	T					
23. -Royce Premier Fund	A	Dividend	J	T					
24. -AIM Developing Mkts Fd	A	Dividend	J	T					
25. -Lazard Emerging Markets	A	Dividend	J	T					
26. -Henderson Int'l Opp Fund	A	Dividend	J	T					
27. -Nuveen Trwds Int'l Val Fd	A	Dividend	J	T					
28. -Thornburg Int'l Value Fd	A	Dividend	J	T					
29. -Enterprize Prod. Partners	A	Dividend	J	T					
30. -Nustar Energy	A	Dividend	J	T					
31. -Plains All American	A	Dividend	J	T					
32. -Kayne & Midstream Energy Fund	A	Dividend	J	T					
33. -Alerian Master Ltd. Partnership	A	Dividend	J	T					
34. -Clearbridge Energy	A	Dividend	J	T					

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35. -Clearbridge AMER. Energy MLP	A	Dividend	J	T					
36. -Goldman Sachs MLP Energy	A	Dividend	J	T					
37. -First Trust North American	A	Dividend	J	T					
38. -Energy Transfer Equity	A	Dividend	J	T					
39. New York Life Ins. (whole life)	A	Interest	K	T					
40. IRA ACCOUNT #1									
41. -Microsoft (common)	A	Dividend	K	T					
42. -Google		None	J	T					
43. -Shopify Incisin	A	Dividend	J	T					
44. Stock Exchange Bank, [redacted]	A	Interest	K	T					
45. BROKERAGE ACCT #2									
46. -Berkshire Hathaway A		None	M	T					
47. -Microsoft (common)	A	Dividend	K	T					
48. -Walmart (common)	A	Dividend	J	T					
49. -Apple	A	Dividend	K	T					
50. -Amazon		None	M	T					
51. -Berkshire Hathaway B		None	K	T					

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52. -Waste Management	A	Dividend	J	T					
53. -Teradyne	A	Dividend			Sold	09/17/21	J	C	
54. -Advanced Micro Device	A	Dividend			Sold	09/17/21	J	B	
55. -Zebra Technologies	A	Dividend	K	T					
56. -Clover Health	A	Dividend			Buy	06/09/21	K		
57.					Sold	12/14/21	J	A	
58. -Coinbase Global		None			Buy	04/15/21	K		
59.					Sold	06/09/21	K	A	
60. -Pfizer	A	Dividend	J	T	Buy	12/14/21	J		
61. Ford Motor Co	A	Dividend	J	T					
62. SEP IRA ACCOUNT #2									
63. - Insured Deposit money market fund (Wells Nelson & Associates, PLLC)	A	Interest	L	T					
64. -ATT	A	Dividend	K	T					
65. -Phillip Morris	A	Dividend	J	T					
66. -Berkshire B		None	K	T					
67. -Nvidia Corp.		None	K	T	Buy	11/05/21	K		
68. BROKERAGE ACCT #3									

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69. -Insured Deposit money market fund (D A Davidson & Co.)	A	Int./Div.	J	T					See VIII, Explanations
70. -Chevron Corp.	A	Dividend	J	T					
71. -Texas Instruments	A	Dividend	J	T					
72. -Altria Croup	A	Dividend	J	T					
73. -AT&T	A	Dividend	J	T					
74. -Amazon		None	L	T					
75. BROKERAGE ACCT #4									
76. -Altria Group	B	Dividend	J	T					
77. -Amazon		None	M	T					
78. -AT&T	B	Dividend	K	T					
79. -Chevron	B	Dividend	K	T					
80. -Texas Instruments	B	Dividend	L	T					

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

PART VII. Investments and Trusts

Line 3 - John Powell Limited Partnership was purchased in 1973 for $26,000.
Line 69 - Wells Nelson was bought by D A Davidson.

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CAUTHRON, ROBIN J.	05/15/2022

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/ ROBIN J. CAUTHRON

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 G-330
One Columbus Circle, N.E.
Washington, D.C. 20544