

UNITED STATES DISTRICT COURT
SOUTHERN DISTRICT OF ALABAMA
UNITED STATES COURTHOUSE
113 ST. JOSEPH STREET
MOBILE, ALABAMA 36602

SELF INITIATED
AMENDMENT

KRISTI K. DUBOSE
UNITED STATES DISTRICT JUDGE

(251) 690-2020

May 14, 2007

Honorable Ortrie D. Smith
Chair Committee on Financial Disclosure
Administrative Office of Courts
One Columbus Circle, NE
Washington, DC 20544

In Re: Financial Disclosure

Dear Judge Smith,

Thank you for your letter of May 3, 2007, advising me of the need for additional information in order for my financial disclosure to be complete. Specifically, per your instruction, I need to amend Part VII, page 4, line 6 as follows:

Merrill Lynch - IRA Mutual Funds:

Munder Midcap Core	K	T
AEW Real Estate Fund	K	T
American Growth Fund	L	T
American Funds Fundamental	M	T
American Funds EuroPacific	L	T
American Capital	L	T
American Funds Bond Fund	M	T
Dryden Small Cap Value C	K	T
Sentinel Small Company Fund	K	T
Janus Adviser Mid Cap	K	T
Cohen & Steers International Realty	K	T
JP Morgan Highbridge	L	T
Calamos Growth	K	T

RECEIVED
2007 MAY 21 P 12:09
FINANCIAL
DISCLOSURE OFFICE

Thank you for your assistance in this matter. Please advise if I need to provide further information.

Sincerely,

Kristi K. DuBose

United States District Judge

**FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2006**

*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) DuBose, Kristi K	2. Court or Organization U.S. District Court S.D. of Al	3. Date of Report 04/10/2007
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge Active	5a. Report Type (check appropriate type) <input type="checkbox"/> Nomination, Date <input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final	6. Reporting Period 01/01/2006 to 12/31/2006
7. Chambers or Office Address 113 St. Joseph Street Mobile, AL 36602	8. On the basis of the information contained in this Report and any modification pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	
<p>IMPORTANT NOTES: <i>The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information. Sign on last page.</i></p>		

I. POSITIONS. *(Reporting individual only; see pp. 9-13 of instructions.)*

NONE *(No reportable positions.)*

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Trustee	"Revocable Trust #1"
2.		
3.		
4.		
5.		

RECEIVED
 2007 APR 16 A 10:31
 FINANCIAL DISCLOSURE OFFICE

II. AGREEMENTS. *(Reporting individual only; see pp. 14-16 of instructions.)*

NONE *(No reportable agreements.)*

	<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.		
2.		
3.		

Name of Person Reporting

DuBose, Kristi K

Date of Report

04/10/2007

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of instructions.)*

A. Filer's Non-Investment Income

NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> <i>(yours, not spouse's)</i>
1.		
2.		
3.		
4.		
5.		

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. 2006	self-employed - utility power products distributor
2.	
3.	
4.	
5.	

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

(Includes those to spouse and dependent children. See pp. 25-27 of instructions.)

NONE *(No reportable reimbursements.)*

<u>SOURCE</u>	<u>DESCRIPTION</u>
1.	
2.	
3.	
4.	
5.	

FINANCIAL DISCLOSURE REPORT

Page 3 of 6

Name of Person Reporting

DuBose, Kristi K

Date of Report

04/10/2007

V. GIFTS. *(Includes those to spouse and dependent children. See pp. 28-31 of 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 instructions.)*

NONE *(No reportable liabilities.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.	First Gulf Bank - Fairhope, AL	line of credit for UPI, Inc. (personally guaranteed)	O
2.	Merrill Lynch	letter of credit for escrow account	M
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting DuBose, Kristi K	Date of Report 04/10/2007
---	------------------------------

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of the 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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. Regions Bank-CD	D	Interest	M	T					
2. Region Bank CD	A	Interest	K	T					
3. Region Bank IRA	A	Interest	J	T					
4. Treasury Bonds	B	Interest	K	T	buy	month	J	A	us treasury
5. Merrill Lynch- Municipal Bonds	G	Interest	P1	T					
6. Merrill Lynch- IRA			O	T					
7. Colonial Properties	B	Dividend	K	T					
8. Hatfield and Company	C	Rent	L	T					
9. Utility Power Incorporated	G	Dividend	P1	U					
10. Hartford Inflation Plus Mutual Fund	A	Dividend	J	T					
11. Revocable Trust #1									
12.									
13.									
14.									
15.									
16.									
17.									

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	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	T = Cash Market
3. Value Method Codes (See Column C2)	P3 = \$25,000,001 - \$50,000,000 Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	P4 = More than \$50,000,000 S = Assessment W = Estimated		

FINANCIAL DISCLOSURE REPORT

Page 5 of 6

Name of Person Reporting	Date of Report
DuBose, Kristi K	04/10/2007

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

Part VII #11- The Revocable Trust #1 is unfunded

Part VII #4(d)(2) these are purchased on a monthly basis

FINANCIAL DISCLOSURE REPORT

Page 6 of 6

Name of Person Reporting	Date of Report
DuBose, Kristi K	04/10/2007

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  Date 4/10/07

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544