

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

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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)*

<b>1. Person Reporting (last name, first middle initial)</b>  DuBose, Kristi K	<b>2. Court or Organization</b>  U.S. District Court S.D. of Al	<b>3. Date of Report</b>  04/10/2007
<b>4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)</b>  U.S. District Judge Active	<b>5a. Report Type (check appropriate type)</b> <input type="checkbox"/> Nomination,                      Date <input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final	<b>6. Reporting Period</b>  01/01/2006 to 12/31/2006
<b>7. Chambers or Office Address</b>  113 St. Joseph Street Mobile, AL 36602	<b>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.</b>  Reviewing Officer _____ Date _____	
<p><b>IMPORTANT NOTES:</b> <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.		

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**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**

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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 <b>DuBose, Kristi K</b>	Date of Report 04/10/2007
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**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		

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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

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Name of Person Reporting	Date of Report
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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  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