

### **LR 3.4. Disclosure Statement**

(a) A corporation, association, joint venture, partnership, syndicate, or other similar entity appearing as a party or *amicus* in any proceeding shall file a Disclosure Statement, at the time of the filing of the initial pleading, or other court paper on behalf of that party or as otherwise ordered by the court, identifying all parent companies, subsidiaries, and affiliates that have issued shares or debt securities to the public. In emergency or any other situations where it is impossible or impracticable to file the Disclosure Statement with the initial pleading, or other court paper, it shall be filed within seven days of the date of the original filing, or such other time as the court may direct. For the purposes of this rule, “affiliate” shall be a person that directly, or indirectly through one or more intermediaries, controls, is controlled by, or is under common control with, the specified entity; “parent” shall be an affiliate controlled by such entity directly, or indirectly through intermediaries; and “subsidiary” shall be an affiliate controlled by such entity directly, or indirectly through one or more intermediaries.

(b) The purpose of this Disclosure Statement is to enable the judges of this court to determine the need for recusal pursuant to 28 U.S.C. §455 or otherwise. Counsel shall have the continuing obligation to amend the disclosure statement to reflect relevant changes.

(c) The statement shall identify the represented entity’s general nature and purpose and if the entity is unincorporated, the statement shall include the names of any members of the entity that have issued shares or debt securities to the public. No such listing need be made, however, of the names of members of a trade association or professional association. For purposes of this rule, a “trade association” is a continuing association of numerous organizations or individuals operated for the purpose of promoting the general commercial, professional, legislative, or other interests of the membership. The form of the Disclosure Statement is set forth in Appendix A to these Rules.

**IN THE UNITED STATES DISTRICT COURT  
FOR THE SOUTHERN DISTRICT OF ALABAMA**

\_\_\_\_\_ \*  
\*  
vs. \* Civil/Criminal Action No. \_\_\_\_\_  
\*  
\_\_\_\_\_ \*

**DISCLOSURE STATEMENT PURSUANT TO LOCAL RULE 3.4**

Pursuant to Local Rule 3.4 of the Southern District of Alabama and to enable Judges and Magistrate Judges to evaluate possible disqualification or recusal, the undersigned counsel for

\_\_\_\_\_,  
in the above captioned action, certifies that the following are parents, subsidiaries and/or affiliates of  
said party that have issued shares or debt securities to the public: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

**-or-**

Pursuant to Local Rule 3.4 of the Southern District of Alabama and to enable Judges and Magistrate Judges to evaluate possible disqualification or recusal, the undersigned counsel for

\_\_\_\_\_,  
in the above captioned action, certifies that there are no parents, subsidiaries and/or affiliates of said  
party that have issued shares or debt securities to the public.

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature of Attorney or Litigant