

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) Harmon, Melinda	2. Court or Organization U. S. District Court	3. Date of Report 12/06/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Active Article III Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address United States Courthouse 515 Rusk, Suite 9114 Houston Texas 77002		
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
2.		
3.		
4.		
5.		

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

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.		
2.		
3.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 8

Name of Person Reporting

Harmon, Melinda

Date of Report

12/06/2017

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. 2016	ExxonMobil Employment Pension	\$14,252.88
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2016	Partner, Crain, Caton & James Law Firm
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.				
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 8

Name of Person Reporting

Harmon, Melinda

Date of Report

12/06/2017

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing 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 filing instructions.)*NONE *(No reportable liabilities.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.			
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 8

Name of Person Reporting

Harmon, Melinda

Date of Report

12/06/2017

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. IRA #1 (H)I									
2. ----ExxonMobil	F	Dividend	P1	T					
3. ----Invesco Amer Franchise A	E		O	T					
4. ----Morgan Stanley Bank Deposit Program	A	Interest	J	T					
5. IRA #2 (H)									
6. ----Morgan Stanley Bank Deposit Program	A	Interest	J	T					
7. ----Invesco Amer Franchise A	B		L	T					
8. IRA #3 (H)									
9. ----Triumph Resources		None	J	T					
10. ----Virtus Global Divid Income Fund	A	Dividend	J	T					
11. ----Invesco Amer Franchise A	D		M	T					
12. ----Alliance Bernstein Large Cap Growth Fund, Class C	B		K	T					
13. ----Morgan Stanley Bank Deposit Program	A	Interest	J	T					
14. LAW FIRM 401 K PROFIT SHARING PLAN	F	Int./Div.	P1	T					
15. REAL ESTATE, DALLAS, DALLAS COUNTY, TX PARCEL 2	B	Rent	J	Q					
16. EXTRAORDINARY LIFE POLICY, NORTHWESTERN MUTUAL	B	Dividend	L	T					
17. NORTHWESTERN MUTUAL "65 LIFE" POLICY #1	A	Dividend	J	T					

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 P3 = \$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 P4 = More than \$5,000,000	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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 8

Name of Person Reporting

Harmon, Melinda

Date of Report

12/06/2017

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)

18. NORTHWESTERN MUTUAL "65 LIFE" POLICY 2	A	Dividend	J	T					
19. NORTHWESTERN MUTUAL "65 LIFE" POLICY #3	A	Dividend	J	T					
20. ABT common		None			Sold	01/06/16	J	D	
21. ABBV common	A	Dividend	K	T	Sold (part)	06/30/16	J	C	
22. MO common	A	Dividend	J	T					
23. CVX common	A	Dividend	J	T					
24. GE common	A	Dividend	J	T					
25. KO common	A	Dividend			Sold	05/16/16	J	C	
26. COP		None			Sold	03/07/16	J		
27. XOM common	A	Dividend	J	T	Sold (part)	03/02/16	J		
28. JNJ common	A	Dividend	J	T	Sold (part)	03/02/16	J	C	
29. MSFT common	A	Dividend	J	T					
30. PEP common	A	Dividend			Sold	06/30/16	J	D	
31. PM common	A	Dividend	J	T	Sold (part)	03/02/16	J	C	
32. PG common	A	Dividend	J	T	Sold (part)	06/30/16	J	B	
33. RDSA common		None			Sold	01/25/16	J		
34. TOT common	A	Dividend			Sold	03/02/16	J		

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 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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 8

Name of Person Reporting

Harmon, Melinda

Date of Report

12/06/2017

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)

35. Raymond James Bank Deposit Program	A	Interest	J	T					
36. Chase Checking	A	Interest	K	T					
37. Chase Savings	A	Interest	J	T					
38. TXN common	A	Dividend	J	T					
39. CAT common		None			Sold	01/11/16	J		
40. FCX common		None			Sold	01/06/16	J		
41. GM common	A	Dividend	J	T	Buy	05/16/16	J		
42. HSBC common		None			Sold	01/11/16	J		
43. INTC common	A	Dividend	J	T					
44. MRK common	A	Dividend	J	T					
45. PSX common	A	Dividend			Sold	05/16/16	J	B	
46. PX common	A	Dividend			Sold	05/16/16	J	A	
47. UTX common	A	Dividend	J	T					
48. GOOGL		None	J	T	Buy	05/16/16	J		
49. AAPL	A	Dividend	J	T	Buy	05/16/16	J		
50. HD	A	Int./Div.	J	T	Buy	05/16/16	J		
51. CSCO	A	Int./Div.	J	T	Buy	06/30/16	J		

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 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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 8

Name of Person Reporting

Harmon, Melinda

Date of Report

12/06/2017

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

Part III-A Filers Exxon Pension payments were listed on the 2015 Report as \$13069.76. This was a mistake. The amount should have been \$14,257.92

Part VII

Line 3: Column B (2) is blank because there was no way to put "long term capital gain" for this mutual fund in the box

Line 7: Column B (2) is blank because there was no way to put "long term capital gain" for this mutual fund in the box

Line 10: Name Change from Zweig TL RTN Fd Inc.

Line 11 Column B(2) is blank because there was no way to put "long term capital gain" for this mutual fund in the box

Line 12 Column B(2) is blank because there was no way to put "long term capital gain" for this mutual fund in the box.

Line 14: Share in ABA Retirement Profit Sharing Plan. Participant's share is invested in the All Cap Index Equity Fund, a mutual fund and in a self-managed account investing in Dreyfus Appreciation Mutual Fund.

Line 15 Undivided 1/8 interest in a piece of property in Dallas, Dallas County, Texas. Date of appraisal December 6, 1994.

Line 24 The GE common stock reported on line 24 A was owned in 2015, but was mistakenly left off the report

Line 25 A number of the KO shares were sold 1/15/16 and the remainder sold on 5/16/16. There did not seem to be a way to report two sales. I reported the combined gains on both sales in Column D-4

Line 27 Should read "COP" common.. The computer would not allow me to enter anything but "COP."

Line 35 A number of the PEP shares were sold 1/25/16 and the remainder sold on 6/30/16. There did not seem to be a way to report two sales. I reported the combined gains on both sales in Column D-4.

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

Harmon, Melinda

Date of Report

12/06/2017

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/ Melinda Harmon**

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