

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)

|                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                          |                                                                  |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting</b> (last name, first, middle initial)<br><br>Higginson, Stephen A.                                                                                                                | <b>2. Court or Organization</b><br><br>United States Court of Appeals Fifth Circuit                                                                                                                                                                                                      | <b>3. Date of Report</b><br><br>05/15/2019                       |
| <b>4. Title</b> (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)<br><br>United States Circuit Judge Active Status                                     | <b>5a. Report Type</b> (check appropriate type)<br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final<br><b>5b.</b> <input type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br><br>01/01/2018<br>to<br>12/31/2018 |
| <b>7. Chambers or Office Address</b><br><br>600 Camp Street<br>Room 300<br>New Orleans, LA 70130                                                                                                          |                                                                                                                                                                                                                                                                                          |                                                                  |
| <p align="center"><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</p> |                                                                                                                                                                                                                                                                                          |                                                                  |

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

☐ NONE (No reportable positions.)

|    | <u>POSITION</u> | <u>NAME OF ORGANIZATION/ENTITY</u>           |
|----|-----------------|----------------------------------------------|
| 1. | Board Member    | Federal Bar Association, New Orleans Chapter |
| 2. |                 |                                              |
| 3. |                 |                                              |
| 4. |                 |                                              |
| 5. |                 |                                              |

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

☐ NONE (No reportable agreements.)

|    | <u>DATE</u> | <u>PARTIES AND TERMS</u>                                                    |
|----|-------------|-----------------------------------------------------------------------------|
| 1. | 2018        | TIAA-CREF Retirement Plan through former employer -- law school, no control |
| 2. |             |                                                                             |
| 3. |             |                                                                             |

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**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.)*

| DATE | SOURCE AND TYPE | INCOME<br>(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 AND TYPE  |
|---------|------------------|
| 1. 2018 | Brown University |
| 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.)*

| SOURCE                                                  | DATES         | LOCATION        | PURPOSE                                           | ITEMS PAID OR PROVIDED      |
|---------------------------------------------------------|---------------|-----------------|---------------------------------------------------|-----------------------------|
| 1. Federal Bar Association;<br>Dallas/Ft. Worth Chapter | 1/12/2018     | Irving, TX      | Speaker at NDTX Bench<br>Bar Conference           | Airfare, Meals, Taxi        |
| 2. USC Gould School of Law                              | 3/9-11/2018   | Los Angeles, CA | Judge at Moot Court<br>Competition                | Airfare, Hotel, Meals, Taxi |
| 3. American University                                  | 10/17-21/2018 | Washington, DC  | Guest Lecturer for Jurist in<br>Residence Program | Airfare, Hotel, Meals, Taxi |
| 4. American Society of<br>International Law             | 11/16-17/2018 | Washington, DC  | Attend Annual Judicial<br>Advisory Board Meeting  | Airfare, Hotel, Meals, Taxi |
| 5.                                                      |               |                 |                                                   |                             |

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**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. | Harvard University           | Tuition            | K                 |
| 2. | Yale University              | Tuition            | L                 |
| 3. | University of North Carolina | Tuition            | K                 |
| 4. |                              |                    |                   |
| 5. |                              |                    |                   |

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## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 1. Regions Bank Account                                                                                                     | A                                       | Interest                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 2. LA Start Savings Program Accounts:<br>Louisiana Principal Protection Fund                                                | B                                       | Interest                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 3. Merrill Lynch Cash Money Account                                                                                         | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 4. Black Rock Balanced Mutual Fund                                                                                          | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 5. Judicial & Justice Federal Credit Union                                                                                  | A                                       | Interest                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 6. TIAA-Cref Lifecycle 2025-Inst                                                                                            |                                         | None                                          | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 7. TIAA Real Estate                                                                                                         |                                         | None                                          | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 8. CREF Social Choice R2                                                                                                    |                                         | None                                          | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 9. CREF Bond Market R2                                                                                                      |                                         | None                                          | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 10. CREF Stock R2                                                                                                           |                                         | None                                          | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 11. CREF Global Equities R2                                                                                                 |                                         | None                                          | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 12. Empower Retirement - American Funds<br>2045 Trgt                                                                        | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 13. Empower Retirement -Vanguard<br>Information Technology Idx Adm                                                          | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 14. Empower Retirement - Fidelity Mid Cap<br>Index                                                                          | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 15. Empower Retirement - T. Rowe Price Blue<br>Chip Growth I                                                                | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 16. TIAA-Cref Lifecycle 2025-Inst                                                                                           |                                         | None                                          | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 17. Fidelity Investments - FID Freedom 2025 K                                                                               | A                                       | Int./Div.                                     | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

|                         |                                  |                             |                                |                                 |                         |
|-------------------------|----------------------------------|-----------------------------|--------------------------------|---------------------------------|-------------------------|
| 1. Income Gain Codes:   | 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 |
| (See Columns B1 and D4) | 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          | J = \$15,000 or less             | K = \$15,001 - \$50,000     | L = \$50,001 - \$100,000       | M = \$100,001 - \$250,000       |                         |
| (See Columns C1 and D3) | 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   | Q = Appraisal                    | R = Cost (Real Estate Only) | S = Assessment                 | T = Cash Market                 |                         |
| (See Column C2)         | U = Book Value                   | V = Other                   | W = Estimated                  |                                 |                         |

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

In Part VII, Line 12 -- On or about November 12, 2018, Empower Retirement: Great-West Lifetime 2045 Fund SVC was transferred into Empower retirement: American Funds 2045 Trgt.

In Part VII, Line 13 -- On or about November 12, 2018, Empower Retirement: Ivy Science & Technology Y was transferred into Empower Retirement: Vanguard Information Technology Indx

In Part VII, Line 14 -- On or about November 12, 2018, Empower Retirement: Lord Abbett Value Opportunities A was transferred into Empower Retirement: Fidelity Mid Cap

In Part VII, Line 15 -- On or about November 12, 2018, Empower Retirement: T. Rower Price Blue Chip Growth Adv was transferred into Empower Retirement: T Rowe Price Blue Chip Growth I

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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: s/ Stephen A. Higginson

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  
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