AO 10
Rev. 1/2017

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)	2. Court or Organization	3. Date of Report
Johnson, Nancy K.	Southern District of Texas	04/26/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)	**5a. Report Type (check appropriate type)**	**6. Reporting Period**
U.S. Magistrate Judge	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2016 **to** 12/31/2016
7. Chambers or Office Address		
515 Rusk, Suite 7019 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.		

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 (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.	12-31-2016	Locke Lord salary
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.					
2.					
3.					
4.					
5.					

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

☑ NONE *(No reportable gifts.)*

	SOURCE	DESCRIPTION	VALUE
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.)*

	CREDITOR	DESCRIPTION	VALUE CODE
1.			
2.			
3.			
4.			
5.			

Name of Person Reporting	Date of Report
Johnson, Nancy K.	04/26/2017

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 (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	D. (5) Identity of buyer/seller (if private transaction)
1. Vanguard Windsor II IRA	A	Int./Div.	M	T					
2. Vanguard Star IRA	A	Int./Div.	K	T					
3. Hewlett Packard Co. (HPQ)	A	Dividend	J	T					
4. Hewlett Packard Enterprise (HPE)	A	Dividend	J	T					
5. Intel	A	Dividend	K	T					
6. USE Credit Union	A	Interest	K	T					
7. Chase Bank	A	Interest	K	T					
8. Microsoft Corporation	A	Dividend	K	T					
9. Pfizer Corporation	A	Dividend	K	T					
10. Kinder Morgan, Inc.	B	Dividend	L	T					
11. Citigroup, Inc.	A	Dividend	J	T					
12. Locke Lord 401K Vanguard Inflation Protected Secs	C	Dividend			Sold	03/31/16	K		
13. Locke Lord 401K Vanguard Small Cap Index	C	Dividend			Sold	03/31/16	L		
14. Locke Lord 401K Mid Cap Index	C	Dividend			Sold	03/31/16	L		
15. Locke Lord 401K S&P 500 Index	C	Dividend			Sold	03/31/16	M		
16. Locke Lord 401K Dodge & Cox Int'l Stock	C	Dividend			Sold	03/31/16	L		
17. Locke Lord 401K Schwab S&P 500 Index	C	Dividend	L	T	Buy	03/31/16	K		

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

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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	D. (5) Identity of buyer/seller (if private transaction)
18. Locke Lord 401K Vanguard Primecap Core Inv	C	Dividend	L	T	Buy	03/31/16	L		
19. Locke Lord 401KVanguard Midcap Index 1	C	Dividend	M	T	Buy	03/31/16	M		
20. Lock Lord 401K Vanguard Smallcap Index I	C	Dividend	K	T	Buy	03/31/16	K		
21. Walmart	B	Int./Div.	K	T					
22. Caterpillar (CAT)	B	Dividend	K	T					
23. Sirius Satellite XM	A	Dividend			Sold	05/16/16	L	F	
24. BYD Co. Ltd.	A	Dividend			Sold	05/16/16	K		
25. Memorial Partners	A	Dividend			Sold	06/13/16	J	A	
26. Craft Brewers Alliance		None			Sold	06/13/16	J	A	
27. Altria	D	Dividend	N	T					
28. Berkshire Hathaway "B" Shares		None	M	T					
29. Qualcomm, Inc.	B	Dividend	L	T					
30. Gilead Sciences	A	Dividend	L	T					
31. Bellicum Pharmaceuticals		None	K	T					
32. Mondelez Int'l Inc.	A	Dividend	K	T	Buy	05/20/16	K		
33. Prudential Alliance (X)	A	Interest	K	T					
34. Hospitality Properties REIT (X)					Sold	05/10/16	J	A	

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35. Johnson&Johnson (X)					Sold	05/10/16	J	A	
36. Proctor&Gamble (X)					Sold	05/10/16	J	A	
37. RMR Group, Inc.(X)					Sold	05/10/16	J	A	
38. Spectra Energy Corp. (X)					Sold	05/10/16	J	A	
39. Thornburg Invest Trust(X)					Sold	05/16/16	J	A	
40. Thornburg Invest Trust Income Builder (X) (BeneIRATIBIX	A	Dividend	J	T	Buy	05/24/16	J		
41. Chevron Corp. (X)					Sold	05/10/16	J	A	
42. Conoco Phillips (X)					Sold	05/10/16	J	A	
43. Duke Energy (X)					Sold	05/10/16	J	A	
44. American Funds/EuroPacific Growth Fund F2AEPFX (BeneIRA)(X)	A	Dividend	J	T	Buy	05/24/16	J		
45. Hotchkiss & WileyHWHIX (BeneIRA) (X)High Yield	A	Dividend	J	T	Buy	05/24/16	J		
46. Oakmark FundOAKMX (BeneIRA) (X)Harris Assoc.Inv. Trust Class 1	A	Dividend	J	T	Buy	05/24/16	J		
47. Franklin Custodian FundsFRIAX(BeneIRA(X)	A	Dividend	J	T	Buy	05/24/16	J		
48. Hennessy Focus FundsHFCIX (BeneIRA) (X)	A	Dividend	J	T	Buy	05/24/16	J		
49. First Eagle GlobalSGIIX Fund(BeneIRA) (X)	A	Dividend	J	T	Buy	05/24/16	J		
50. Edgewood Growth FundEGFIX (BeneIRA) (X)	A	Dividend	J	T	Buy	05/24/16	J		
51. Goldman Sachs Square Money Market Fund (BeneIRA)(X)	A	Dividend	J	T	Buy	05/24/16	J		

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52. Goldman Sachs Square Money Market Fund	A	Dividend			Sold	10/03/16	J	A	
53. Dodge&Cox Stock FundDODGX (BeneIRA)(X)	A	Dividend	J	T	Buy	05/24/16	J		
54. AMG Yacktman FundYACKX (BeneIRA) (X)	A	Dividend	J	T	Buy	05/24/16	J		
55. TRowe Price Blue Chip Growth Fund TRBCX(X)(BeneIRA	A	Dividend	J	T	Buy	05/24/16	J		
56. Vanguard Small Cap Fund Admiral (BeneIRA)(X)	A	Dividend	J	T	Buy	05/24/16	J		
57. Wells Fargo Short Duration Govt Bond WSGIX(BeneIRA)(X)	A	Distribution	J	T	Buy	05/24/16	J		
58. Pax World Fds Ser. Tr. 1Small Cap Fund (BeneIRA)(X)	A	Dividend	J	T	Buy	05/24/16	J		
59. SunAmerica Focused Div. Strategy ProtfolioFDSWX (BeneIRA)(X)	A	Dividend	J	T	Buy	05/24/16	J		
60. Fidelity Invest. Money Market FNSXX	A	Dividend	J	T	Buy	10/03/16	J		

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

1. My father died in 2016 and I inherited a number of stocks from his IRA, which I sold in May 2016 and purchased funds.

2 IRA with Locke Lord (five accounts) sold those funds and purchased four funds. I did not list a gain because I don't think a gain was realized. It was just a rollover of the IRA amount in account.

3. Bellicum Pharmaceuticals and Craft Brewers earned no income.

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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/ Nancy K. Johnson

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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Washington, D.C. 20544