

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) Clark, Ron	2. Court or Organization District Court, E.D. Texas	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	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 300 Willow #221 Beaumont, TX 77701		
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.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Owner 529 Acct 1	529 Acct 1
2.	Owner 529 Acct 2	529 Acct 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. 1997	State of Texas Retirement Plan, 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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2016	Self employed movie & video producer as sole owner and operator of Take A Bow, LLC.
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. University of Texas School of Law	March 10-13, 2016	Alexandria, VA	Speak at U.T. 11th Annual Patent Law Institute	Milage, parking, meals, 1 night at hotel.
2. New York Intellectual Property Law Assoc.	April 1-3, 2016	New York, NY	Attend meeting and annual Judiciary Dinner.	Air fare, 1 night at hotel, meals, airport parking, Uber fare in NY.
3. E.D. Texas Bar Association	May 9, 2016	Houston, TX	Attend Bench/Bar Dinner	Dinner
4. Nancy Atlas IP Inn of Court	May 25, 2016	Houston, TX	Attend IP Inn of Court Meeting and presentation.	Milage, dinner & breakfast, 1 night at hotel.
5. Center American & International Law	June 9, 2016	Plano, Texas	Attend Celebration of Innovation Dinner & Award Ceremony.	Dinner.

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6.	Patent Court of Korea	September 3-11, 2016	Korea	Speak on several panels- 2nd International IP Court Conference	Transportation, 3 nights at hotel, meals.
7.	Korean Intellectual Property Law Association (coordinating w/ Patent Court of Korea)	September 3-11, 2016	Korea	Meet with KIPLA members, speak at KIPLA seminar, attend KIPLA dinner	Transportation, 3 nights at hotel, meals, tour of historical sites.
8.	2016Advanced Patent Law Institute:Silicon Valley	December 8-9, 2016	E. Palo Alto, CA	Speak at IP seminar.	Air fare, airport parking, 2 nights at hotel, meals, Uber fares between hotel & airport.
9.	E.D. Texas Bar Association	October 20-23, 2015	Plano, Texas	Attend meeting, speak on several panels at Annual Bench-Bar meeting.	Meals, 3 nights at hotel.

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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.		

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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. 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. USAA Mutual Fund USEXX	A	Interest	J	T					
2. USAA Mutual Fund USSPX	A	Dividend	K	T					
3. Vanguard VMMXX Money Market	A	Dividend	K	T					
4. Vanguard Windsor II Fund	E	Dividend	M	T					
5. Vanguard Mutual Funds IRA 1 (H)									
6. -Health Care Fund	D	Dividend	M	T					
7. -Windsor II Fund	E	Dividend	M	T					
8. -Explorer Fund	A	Dividend	J	T					
9. -500 Index Fund	B	Dividend	L	T					
10. Vanguard Mutual fund IRA 2 - Mid-cap Index Fund	A	Dividend	K	T					
11. Vanguard Mutual fund IRA 3 - 500 Index Fund	A	Dividend	K	T					
12. Vanguard Mutual Fund IRA 4 - 500 Index Fund	A	Dividend	K	T					
13. American Mut. Fund IRA New Perspective Fund	D	Dividend	N	T					
14. Vanguard Variable Annuity Small Co. Growth		None	L	T					
15. XOM com. stock	D	Dividend	M	T					
16. U.S. Savings Bond		None	J	T					
17. Compass Bank Accounts	A	Interest	M	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 = \$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	

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☐ 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				
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18. 529 Acct 1 - American Funds (H)									
19. -New Perspective Fund	A	Dividend	J	T					
20. -New World Fund	A	Dividend	J	T					
21. -Capital Wrld Grwth & Income	A	Dividend	J	T					
22. 529 Acct 2 American Funds (H)									
23. -New Perspective Fund	A	Dividend	J	T					
24. -New World Fund	A	Dividend	J	T					
25. -Capital Wrld Grwth & Income	A	Dividend	J	T					
26. AMGN com. stk	D	Dividend	N	T					
27. AT&T com, stk	B	Dividend	K	T					
28. ADP, com. stk	C	Dividend	M	T					
29. CDK Global Inc. com.stk	A	Dividend	K	T					
30. CVX com. stk	A	Dividend	K	T					
31. KO com. stk	B	Dividend	K	T					
32. ETN com. stk	C	Dividend	M	T					
33. EMR com. stk	B	Dividend	L	T					
34. HD com. stk	C	Dividend	M	T					

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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	
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35. LLY com. stk	B	Distribution	K	T					
36. MCD com. stk	B	Dividend	L	T					
37. PEP com stk	B	Dividend	L	T					
38. PFE com. stk	B	Dividend	K	T					
39. SLB com. stk	B	Dividend	L	T					
40. American Mutual Fund, New Perspective Fund	D	Distribution	N	T					
41. American Mutual Fund Small Cap World	A	Distribution	L	T					
42. Dreyfus S&P 500 Index Fund X	D	Dividend	M	T					
43. Nuveen Arizona Prem. Inc. Muni. Bnd. Fund	A	Dividend	K	T					
44. Dreyfus AMT-Free Mun. Bnd Fund	C	Dividend	M	T					
45. Dreyfus Mun. Bnd. Fund	B	Dividend	L	T					
46. McCallister Academic VLG bonds	A	Interest	J	T					
47. Pima Cty AZ bond	A	Interest	J	T					
48. RMA Tax Free Fund	A	Interest			Redeemed	06/30/16	M		
49. RMA Govt. Mon. Mkt. Fund	A	Interest	M	T	Open	06/30/16	M		
50. UBS, Bank USA, Deposit Acct.	A	Interest	L	T	Open	06/30/16	J		
51. Beneficiary IRA (H)									

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52. -AT&T com. stk	B	Dividend	K	T					
53. CVX com. stk	D	Dividend	N	T					
54. -XOM com.stk	E	Dividend	N	T					
55. -WRE com. stk	B	Dividend	J	T					
56. -WRI com. stka	A	Dividend	J	T					
57. -Oppenheimer Gbl Strategic Income fund	A	Dividend	J	T					
58. -Nuveen S&P 500 Dyn. Overwrite formerly Nuveen P&G	A	Dividend	J	T					
59. -Eaton Vance En. Equity Inc Fund	A	Dividend	J	T					
60. -John Hancock Inc Sec. Fund	A	Dividend	J	T					
61. -Lord AbbotBond Deb. Fund	B	Dividend	K	T					
62. -Franklin H.I. Fund Class A	A	Dividend	J	T					
63. -Franklin US Govt Sec. A	A	Dividend	J	T					
64. - Bank USA, Deposit Account	A	Interest	K	T	Distributed (part)	08/23/16			
65. Vanguard Health Care VHTA	D	Dividend	J	T					
66. Schwab One cash account	A	Interest	J	T					
67. Schwab Money Market account	A	Interest	J	T					
68. Wells Fargo Bank	A	Interest	M	T					

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69. Royalty Interest, Hardin County, Texas (X)	A	Royalty	J	W					

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

Lines 48, 49, & 50: The RMA Tax-Free Fund, reported at line 51 last year (and is listed this year at line 48) was redeemed last year by UBS, which placed the funds into two new accounts for deposit insurance purposes. Lines 49 and 50 now list the two new accounts; they are not listed at the end, as would usually be done for new assets, as it is clearer to place the three assets together, and because they were this year, and in future years will be, reported together in the companies annual reports to me.

Line 64: Changed to state correct name of IRA sweep account. Last year at Line 65

Lines 66 & 67. Previously reported at line 79 as Schwab Money Market Account. Corrected to show it has two parts, a money market account and a cash "sweep" account.

Line 81 of 2016 report is deleted. 2017 Audit feature and Commentary at page 20 of 2017 Filing Instructions about not including the same item in Parts III and Part VII, such as value of copyrights, clarified that identification of Take A Bow, LLC as an "investment" under Part VII was not correct; rather it should be identified as the movie and video production business operated by spouse. All income ever earned by Take A Bow, LLC was payment for work performed or services rendered, and was not a return on any investment. The previous value estimate was based on cash on hand, (the bank account in which those funds are kept is listed at line 68) property and equipment used in the business, and the estimated value of scripts and original music. Take A Bow, LLC is now included in Part III-B.

Amentdment, 12/6/2017 - Line 14: Added information about specific option chosen for annuity - Small Co. Growth

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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/ **Ron Clark**

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