

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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>Graves, James E.                                                                                                                     | <b>2. Court or Organization</b><br><br>U.S. Court of Appeals for the Fifth Circuit                                                                                                                                                                                                       | <b>3. Date of Report</b><br><br>04/23/2018                       |
| <b>4. Title</b> (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)<br><br>Active                                                                        | <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>01/01/2017<br>to<br>12/31/2017 |
| <b>7. Chambers or Office Address</b><br><br>United States Court of Appeals for the Fifth Circuit<br>501 East Court Street<br>Jackson, Mississippi 39201                                                   |                                                                                                                                                                                                                                                                                          |                                                                  |
| <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.)

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. 2009 | Public Employees Retirement System of Mississippi - Pension |
| 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><br>(yours, not spouse's) |
|-------------|-------------------------------------------------------------|----------------------------------------|
| 1. 2017     | Public Employees Retirement System of Mississippi - Pension | \$72,189.65                            |
| 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. 2017     | Public Employees Retirement System - Pension |
| 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. Evelyn Gandy Lecture Series - MS Bar                       | Feb. 17-18, 2017  | New Orleans, LS  | CLE panelist                      | Transportation, hotel, & meals |
| 2. Jeffrey G. Miller Environmental Law Moot Court Competition | Feb. 24-26, 2017  | White Plains, NY | Judge final round of competition  | Transportation, hotel, & meals |
| 3. Texas Southern University School of Law                    | April 21-13, 2017 | Houston, TX      | Keynote speaker - Law Day banquet | Transportation, hotel, & meals |
| 4. Syracuse University School of Law                          | May 11-12, 2017   | Syracuse, NY     | Commencement speaker              | Transportation, hotel, & meals |
| 5. Federal Judges Association                                 | May 24-25, 2017   | Washington, DC   | Board of Directors Meeting        | Transportation, hotel, & meals |

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|    |                                            |                    |                 |                            |                                |
|----|--------------------------------------------|--------------------|-----------------|----------------------------|--------------------------------|
| 6. | SDA Attorney's Conference                  | August 20-22, 2017 | Hollywood, FL   | Keynote speaker - luncheon | Transportation, hotel, & meals |
| 7. | Lubbock Criminal Defense Lawyer's Assn.    | Sept. 9-10, 2017   | Fort Worth, TX  | Keynote speaker - banquet  | Transportation, hotel, & meals |
| 8. | New Mexico Appellate Bar                   | Sept. 14-16, 2017  | Albuquerque, NM | Keynote speaker - CLE      | Transportation, hotel, & meals |
| 9. | 100 Black Men of America Annual Conference | Sept. 21-23, 2017  | Washington, DC  | Officiant                  | Transportation, hotel, & meals |

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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. | ACS                        | Student Loan       | L                 |
| 2. | American Express Bank, FSB | Loan               | K                 |
| 3. | BankPlus                   | Loan               | J                 |
| 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. BankPlus Cash Accounts                                                    | A | Int./Div. | J | T |  |  |  |  |  |
| 2. Trustmark Bank Cash Accounts                                              | A | Int./Div. | J | T |  |  |  |  |  |
| 3. VALIC GUP74 Jackson State University<br>Tax Sheltered 403(b) (no control) | A | Dividend  | K | T |  |  |  |  |  |
| 4. MONY Whole Life Policy                                                    | A | Interest  | K | T |  |  |  |  |  |
| 5. MetLife PrimElite IV Variable Annuity (H)                                 |   |           |   |   |  |  |  |  |  |
| 6. American Funds, Bond Fund of America                                      | A | Dividend  | J | T |  |  |  |  |  |
| 7. Western Asset Management Strategic Bond<br>Opp Fund                       | A | Dividend  | J | T |  |  |  |  |  |
| 8.                                                                           |   |           |   |   |  |  |  |  |  |
| 9.                                                                           |   |           |   |   |  |  |  |  |  |
| 10.                                                                          |   |           |   |   |  |  |  |  |  |
| 11.                                                                          |   |           |   |   |  |  |  |  |  |
| 12.                                                                          |   |           |   |   |  |  |  |  |  |
| 13.                                                                          |   |           |   |   |  |  |  |  |  |
| 14.                                                                          |   |           |   |   |  |  |  |  |  |
| 15.                                                                          |   |           |   |   |  |  |  |  |  |
| 16.                                                                          |   |           |   |   |  |  |  |  |  |
| 17.                                                                          |   |           |   |   |  |  |  |  |  |

|                         |                                  |                             |                                |                                 |                         |
|-------------------------|----------------------------------|-----------------------------|--------------------------------|---------------------------------|-------------------------|
| 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 |                         |
| 3. Value Method Codes   | P3 = \$25,000,001 - \$50,000,000 | R = Cost (Real Estate Only) | P4 = More than \$50,000,000    | S = Assessment                  | T = Cash Market         |
| (See Column C2)         | Q = Appraisal                    | V = Other                   | W = Estimated                  |                                 |                         |
|                         | U = Book Value                   |                             |                                |                                 |                         |

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

Part VII, line 3: This is the specific name of the asset; there are no underlying investments.

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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/ **James E. Graves**

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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