

**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) BENNETT, ALFRED H.	2. Court or Organization SOUTHERN DISTRICT OF TEXAS	3. Date of Report 05/02/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) UNITED STATES DISTRICT JUDGE - ACTIVE	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2016 to 12/31/2016
	5b. ☐ Amended Report	
7. Chambers or Office Address BOB CASEY UNITED STATES COURTHOUSE 515 RUSK ST. HOUSTON, TX 77002		
IMPORTANT NOTES: <i>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>		

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	Sam Houston Area Council, Boy Scouts of America
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.	
2.	
3.	

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Name of Person Reporting

BENNETT, ALFRED H.

Date of Report

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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	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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.				
2.				
3.				
4.				
5.				

Name of Person Reporting	Date of Report
BENNETT, ALFRED H.	05/02/2017

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.		

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Name of Person Reporting

BENNETT, ALFRED H.

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05/02/2017

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. Bank of America	A	Interest	L	T					
2. Wells Fargo	A	Interest	M	T					
3. Amazon		None	L	T					
4. American Funds Capital World Bond Fund	A	Dividend	L	T					
5. American Funds Capital World Growth and Income Fund	A	Dividend	L	T	Sold (part)	03/15/16	J	A	
6. American Funds EuroPacific Growth Fund	A	Dividend	K	T					
7. American Funds Fundamental Investors	A	Dividend	J	T					
8. Investment Co of America Fund (American Funds)	A	Dividend	M	T	Sold (part)	03/15/16	J	A	
9. American Funds New Economy	A	Dividend	J	T					
10. American Funds New Perspective Fund	A	Dividend	L	T					
11. American Funds SmallCap World Fund	A	Dividend	K	T					
12. Growth Fund of America (American Funds)	A	Dividend	M	T					
13. Apple Computer (stock)	A	Dividend	J	T	Buy	1/27/16	J		
14. Ariel Appreciation Fund	A	Dividend	J	T					
15. AT &T	A	Dividend	J	T					
16. Black Rock Equity Dividend 529 option		None	J	T					
17. Black Rock Growth Target Risk 529 option		None	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 =\$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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18. College America 529 Captial Income Builder		None	K	T					
19. College America 529 Capital World Growth		None	K	T					
20. College America 529 Investment Co of America		None	K	T					
21. College America 529 New Perspective Fund		None	K	T					
22. College America 529 Growth Fund of America		None	M	T					
23. Citigroup (stock)		None	J	T	Sold	12/16/16	J		
24. Columbia Seligman Communication and Information Fund	A	Dividend	L	T					
25. Davis NY Venture Fund	A	Dividend	M	T	Sold (part)	03/15/16	J	A	
26. Delaware High Yield Opportunities Fund	A	Dividend	J	T					
27. Walt Disney Co.	A	Dividend	J	T	Buy	01/15/16	J		
28. Duke Energy (stock)	A	Dividend	J	T					
29. Eaton Vance Dividend Builder Fund	A	Dividend	L	T					
30. Eaton Vance Worldwide Health Sciences Fund	A	Dividend	L	T					
31. Exxon-Mobil (stock)	A	Dividend	J	T					
32. First Eagle Fund of America	A	Dividend	K	T					
33. First Trust Capital Strength Portfolio UIT	A	Dividend	J	T					
34. First Trust Bio Technology Portfolio UIT	A	Dividend	K	T					

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35. First Trust Cloud Computing UIT	A	Dividend	K	T					
36. First Trust Cybersecurity UIT	A	Dividend	K	T					
37. First Trust Deep Value UIT	A	Dividend	J	T	Buy	03/15/16	J		
38. First Trust Div Strength UIT	A	Dividend	J	T	Buy	03/15/16	J		
39. First TrustGlobal Div Portfolio UIT	A	Dividend	J	T	Buy	01/04/16	J		
40. Frist Trust Healthcare Select UIT	A	Dividend	J	T	Buy	03/15/16	J		
41. First Trust Innovative Technology UIT		None			Redeemed	01/22/16	K	A	
42. First Trust International Cap Strength UIT	A	Dividend	J	T	Buy	01/04/16	J		
43. First Trust Small/Mid Cap Strength UIT	A	Dividend	J	T	Buy	01/04/16	J		
44. First Trust Tech Dividend Portfolio UIT	A	Dividend	K	T					
45. First Trust REIT Growth Income Plus UIT	A	Dividend	K	T	Buy	08/06/16	K		
46. First Trust Select Portfolio UIT	A	Dividend	J	T	Buy	01/04/16	J		
47. First Trust US Infrastructure UIT		None	J	T	Buy	12/14/16	J		
48. Ford Motor Co (stock)	A	Dividend	J	T					
49. Franklin Mutual Global Discovery Fund	A	Dividend	K	T					
50. Franklin Rising Dividends Fund	B	Dividend	K	T					
51. Freeport-McMoran Copper and Gold (stock)		None			Sold	01/25/16	J		

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52. John Hancock Preferred Income	A	Dividend	K	T	Buy	07/07/16	K		
53. Kraft-Heinz/ Kraft Foods (stock)	A	Dividend	K	T					
54. Lord Abbett Value Opportunities	A	Dividend	L	T					
55. LyondellBasell (stock)	A	Dividend	J	T					
56. McDonald's (stock)	A	Dividend	J	T					
57. Merck (stock)	A	Dividend	J	T					
58. MFS Utilities Fund	A	Dividend	J	T					
59. Microsoft (stock)	A	Dividend	J	T					
60. Mondelez (stock)	A	Dividend	J	T					
61. Pimco Long-Term US Government Fund	A	Dividend	J	T					
62. Pimco Real Return Fund	A	Dividend	J	T					
63. Pimco Total Return Fund	A	Dividend	J	T					
64. Powershares QQQ Trust, Series 1 (ETF)	A	Dividend	K	T					
65. Royce Premier Fund	A	Dividend	K	T					
66. Royce Special Equity Fund	A	Dividend	K	T					
67. Starbucks (stock)	A	Dividend	K	T					
68. Templeton World Fund	A	Dividend	K	T					

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69. Atlanta GA Water and Waste Bond	A	Interest	K	T					
70. Bay Area Toll Authority of California Bond	B	Interest	K	T					
71. Beaumont TX Independent School District	A	Interest	K	T					
72. Belton, TX Independent School District Bond	A	Interest	J	T					
73. Carrollton, GA Payroll Development Authority Bond	A	Interest	K	T					
74. Cypress-Fairbanks, TX Independent School District Bond	A	Interest	K	T					
75. Detroit Sewage Disposal System Bond	A	Interest			Redeemed	01/14/16	K	A	
76. Detroit, MI Water Supply System Bond	B	Interest			Redeemed	11/14/16	K	A	
77. District of Columbia Bond	C	Interest			Sold	08/04/16	K	A	
78. Elk Grove, CA Unified School District Bond	B	Interest	K	T					
79. Evansville Ind Redev Authority		None	K	T	Buy	07/06/16	K		
80. Grand Rapid Michigan Public Schools	A	Interest	J	T	Buy	03/16/16	J		
81. Grayson County, TX Junior College Bond	B	Interest	K	T					
82. Hawaii Pacific Health Bond	B	Interest	K	T					
83. Jacksonville, TX Independent School District Bond	A	Interest	J	T					
84. Lancaster, PA Bond	A	Interest	K	T	Buy	03/16/16	K		
85. Lucas County, OH Hospital Bond	C	Interest	K	T					

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86. Metropolitan WTR Dist. S Calif Waterworks	A	Interest	K	T	Buy	03/15/16	K		
87. Missouri Municipal Elec Util	A	Interest	K	T	Buy	03/16/16	K		
88. Mississippi Dev Bond		None	K	T	Buy	08/26/16	K		
89. New Castle Cty, Del Bond	A	Interest	J	T	Buy	04/19/16	J		
90. NJ Transit Trust Bond	A	Interest	J	T					
91. NY, NY City Mun WT Bond	A	Interest	K	T					
92. NY State Urban Development Bond	A	Interest	J	T	Buy	03/17/16	K		
93. North Texas Thruway Authority Bond	C	Interest	K	T					
94. Pennsylvania State Public Schools Bond	B	Interest	K	T					
95. Rock Island, IL Public Bldg Rev Bond	A	Interest	K	T	Buy	03/16/16	K		
96. San Diego County, CA Water Authority Bond	A	Interest	J	T					
97. Tuscaloosa, AL Public Educational Building Bond	B	Interest	K	T					
98. TransAmerica Liberty 2008 Class L Annuity		None	N	T					
99. Chane Investment Holdings (rental property)	F	Rent	N	W					
100. UBS RMA Tax Free Fund	A	Interest	L	T					
101. Series EE Savings Bonds	A	Interest	J	T					
102. Allstate Universal Life Insurance		None	K	T					

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103. NY Life Variable Life Insurance - capital appreciation option		None	K	T					

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

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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/ ALFRED H. BENNETT**

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