

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) Palermo, Dena E.	2. Court or Organization United States District Court for the Southern District of Tx	3. Date of Report 04/20/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States Magistrate Judge - Full Time	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 United States District Court for the Southern District of Texas 515 Rusk Street Room 7727 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.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.		
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.	2016	Andrews Kurth Retirement Plan with former law firm, firm manages plan.
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 (yours, not spouse's)
1. 2016	Andrews Kurth LLP - Partnership profits	\$145,625.00
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.	
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.				

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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.	Department of Education	Guaranteed Student Loan	J
2.	Department of Education	Guaranteed Student Loan	J
3.	Tuition Management Systems	College Tuition	None
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. IRA #1 (H)									
2. - Fidelity IRA Spartan 500 Index		None	M	T					
3. - Fidelity IRA Fidelity Growth Co K		None	K	T					
4. - Fidelity IRA PIM High Yield Inst	B	Int./Div.	M	T					
5. - Fidelity IRA Vanguard Wellington Adm	A	Int./Div.	L	T					
6. - Fidelity IRA TRP New Horizons I		None	L						
7. - Fidelity IRA US Bond Idx IS (X) incorrectly identified as 500 Index	A	Int./Div.	L	T					
8. - Fidelity IRA Vang R2000 Index IS	A	Int./Div.	L	T					
9. - Fidelity IRA Fid Ret Govt MM	A	Int./Div.	J	T					
10. Mutual Funds (H)									
11. - Vang Mut Fund Vang 500 Ind	A	Dividend	J	T					
12. - Vang Cap Oppty Fund Adm	A	Dividend	J	T					
13.	A	Distribution							
14. - Vang Energy Fund	A	Dividend	J	T					
15. - Vang Primecap Fund Core Fund	A	Dividend	J	T					
16. - Vang Primecap Fund Inv Shares	A	Dividend	K	T					
17. - Vang Tax-Exempt MM		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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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 I (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)

18. IRA #2 (H)									
19. - Vang IRA 500 Index Adm	B	Dividend	M	T					
20. - Vang IRA Cap Oppty Fund Adm	A	Dividend	L	T					
21.	C	Distribution							
22. - Vang IRA Vang Div Growth	B	Dividend	M	T					
23.	A	Distribution							
24. - Vang IRA Vang Energy Fund	A	Dividend	J	T					
25. - Vang IRA Vang Health Care Fund	A	Dividend	L	T					
26.	C	Distribution							
27. - Vang IRA Vang HY Corp	A	Dividend	K	T					
28.	D	Distribution							
29. - Vang IRA Vang Internatl Growth Inv Shares	A	Dividend	K	T					
30. - Vang IRA Vang Selected Value Fund	B	Dividend	L	T					
31.	B	Distribution							
32. - Vang IRA Vang ST Inv Grade Fund Inv Sh	A	Dividend	K	T					
33. - Vang IRA Vang Treas MM	A	Dividend	L	T					
34. - Vang Roth IRA Vang Gr Index	A	Dividend	J	T					

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35. Bank Accounts (H)									
36. - Chase Cash Account(X) inadvertently omitted last year	A	Interest	K	T					
37. - Wells Fargo Cash Account (X) inadvertently omitted last year	A	Interest	J	T					

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

Part VII Investments:

On last year's form,

IRA#1, I inadvertantly named one asset Fid IRA Vanguard 500 Index, when that investment was really Fid IRA US Bond Index.

Bank accounts were inadvertantly left off of last year's form.

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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/ Dena E. Palermo**

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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