

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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) Hanen, Andrew S.	2. Court or Organization United States District Court - Texas	3. Date of Report 10/10/2019
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 5b. ☒ Amended Report	6. Reporting Period 01/01/2017 to 12/31/2017
7. Chambers or Office Address United States District Judge Andrew S. Hanen United States Courthouse 515 Rusk St., Rm. 8613 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.		
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. 2017	Self-employed attorney
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. National Ass. Legal Secretaries	10/19/17	Midland, Texas	Court Observance Day Speech	Transportation
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.			
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. IRA Account #1									
2. -Bk of America RASP	A	Interest	J	T					
3. -Apple	A	Dividend	K	T					
4. -I Shares Biotech	A	Dividend	J	T	Buy	07/20/17	J		
5. -I Shares Biotech					Sold (part)	12/12/17	J	A	
6. -Vanguard Consumer STPL	A	Dividend	J	T	Buy	07/20/17	J		
7. -Vanguard Consumer STPL					Buy	07/21/17	J		
8. -Vanguard Consumer STPL					Buy	07/24/17	J		
9. -Vanguard Consumer STPL					Buy	12/12/17	J		
10. -Vanguard Materials	A	Dividend	J	T	Sold (part)	07/20/17	J	A	
11. -Vanguard Consumer (Dis.)	A	Dividend	K	T	Buy	07/20/17	J		
12. -Vanguard Consumer (Dis.)					Buy	07/21/17	J		
13. -Vanguard Ind	A	Dividend	K	T	Sold (part)	07/20/17	J	A	
14. -Vanguard Ind					Sold (part)	12/12/17	J	A	
15. -Health Care Select SPDR Fund	A	Dividend	J	T	Buy	07/20/17	J		
16. -Health Care Select SPDR Fund					Buy	07/21/17	J		
17. -Health Care Select SPDR Fund					Sold (part)	12/12/17	J	A	

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		P4 = More than \$50,000,000		
(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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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 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. -Spdr Financial	A	Dividend	J	T	Sold (part)	07/20/17	J	A	
19. -Vanguard Info	A	Dividend	J	T	Sold (part)	07/20/17	J	A	
20. -Vanguard Info					Buy	12/12/17	J		
21. -First TR Exchange Trade	A	Dividend	J	T	Sold (part)	07/20/17	J	A	
22. -First Trust Cloud (See Note 1)	A	Dividend	J	T	Sold (part)	07/20/17	J	A	
23. -Sector Spdr Energy	A	Dividend	J	T	Sold (part)	07/20/17	J	A	
24. -Sector Spdr Energy					Sold (part)	07/21/17	J	A	
25. -Sector Spdr Energy					Sold (part)	07/25/17	J	A	
26. -Sector Spdr Energy					Sold (part)	12/12/17	J	A	
27. -Real Estate Select	A	Dividend	J	T	Buy	07/21/17	J		
28. -Real Estate Select					Buy	07/24/17	J		
29. Retirement Account #1									
30. -Fidelity Short Term Bond Fund	B	Dividend	M	T					
31. -BMO Short Term Intermediate Bond (See Note 2)	C	Dividend	M	T					
32. -Dartmouth College Bonds	B	Interest			Redeemed	11/20/17	L	C	
33. -Microsoft Bonds	A	Interest	K	T					
34. -Walmart Bonds	A	Interest			Redeemed	04/05/17	K	A	

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

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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				
	(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)

35. -Goldman Sachs Bonds	B	Interest	K	T					
36. -George Washington Uni. Bond	A	Interest	K	T					
37. -Fidelity Cash Reserves	A	Interest	M	T					
38. -Fidelity Contra Fund	A	Dividend	J	T					
39. -Fidelity Equity	A	Dividend	J	T					
40. -Fidelity Dividend	A	Dividend	J	T					
41. -Fidelity Blue Chip	A	Dividend	J	T					
42. Brokerage Account #1									
43. -Port Neches Grove ISD Municipal Bonds	B	Interest			Redeemed	02/15/17	L	A	
44. -Burleson Tex ISD Municipal Bonds	C	Interest	M	T					
45. -MS Tax Free Income Trust (See Note 3)	A	Dividend	M	T					
46. Brokerage Account #2									
47. -N. Tex. Twy. Auth. Municipal Bonds	C	Interest	L	T					
48. -Houston Tex. Higher Ed Municipal Bonds	C	Interest			Redeemed	05/15/17	K	A	
49. -BIF Tax Exempt	B	Dividend	M	T					
50. -Waco Texas CTFS Oblig Municipal Bonds	B	Interest	K	T					
51. Compass Bank	A	Interest	N	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 \$5,000,000	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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52. Northwestern Mutual EOL Life Ins #117	A	Dividend	J	T					
53. Northwestern Mutual EOL Life Ins #714	A	Dividend	J	T					
54. Northwestern Mutual Whole Life Ins #642	A	Dividend	J	T					
55. Northwestern Mutual Whole Life Ins #817	C	Dividend	L	T					
56. Northwestern Mutual Whole Life Ins #811	C	Dividend	L	T					
57. Northwestern Mutual Whole Life Ins #840	C	Dividend	K	T					
58. IRA Account #4									
59. -Treasury Strips	A	Interest	J	T					
60. -Capital Income BLDR	D	Dividend	M	T					
61. -America FDS Portfolio Growth and Index Fund	C	Dividend	N	T					
62. -Apple	A	Dividend	J	T					
63. -Spdr Indus.	A	Dividend	J	T					
64. -Spdr. Consumer STPL	A	Dividend	J	T					
65. -Spdr Energy	A	Dividend	J	T					
66. -Consumer Discretion - Select Sector SPDR FD	A	Dividend	J	T					
67. -Spdr Gold	A	Dividend	J	T					
68. -Vanguard Info	A	Dividend	J	T					

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69. -WF Sweep	A	Dividend	J	T					
70. Brokerage Account #3 (See Note #4)									
71. -MS FT	A	Dividend			Closed	08/21/17	J	A	
72. -WF Sweep	A	Dividend			Closed	08/21/17	J	A	
73. -CISCO	A	Dividend			Closed	08/21/17	J	A	
74. -Valero	A	Dividend			Closed	08/21/17	J	A	
75. -Wells Fargo	A	Dividend			Closed	08/21/17	J	A	
76. -Target	A	Dividend			Sold	08/07/17	J	A	
77. -Kinder Morgan	A	Dividend			Closed	08/21/17	J	A	
78. -Exxon Mobil	A	Dividend			Buy	08/07/17	J		
79. -Exxon Mobil	A	Dividend			Buy	08/16/17	J		
80. -Exxon Mobil	A	Dividend			Closed	08/21/17	J	A	

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

1. This asset was referred to as "First TRISE Cloud" in last year's report as the result of a typographical error.
2. The BMO Short Term Intermediate Bond Fund referred in Retirement Account No. 1 on Line 31 was merged with another fund in July and was renamed BMO Strategic Income Fund Class A and will appear under that name in future reports.
3. The MS Tax Free Income Trust referred in Brokerage Account No. 1 on Line 45 is now the Morgan Stanley Private Bank NA Fund and will appear under that name in future reports.
4. The Brokerage Account #3 was held nominally in my name but was held for the benefit of another person. On August 21, 2017, the entire account was transferred to that person. There was no sale and no compensation involved. There were no gains or losses by virtue of that transfer and I received no benefit from the account in any fashion. All assets were transferred to the recipient and this account will not appear in future reports.

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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/ **Andrew S. Hanen**

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
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Washington, D.C. 20544