

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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) Johnson, Nancy K.	2. Court or Organization Southern District of Texas	3. Date of Report 06/17/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Magistrate Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2018 to 12/31/2018
7. Chambers or Office Address 515 Rusk, Suite 7019 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.)

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.	
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.		
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. 12-31-2018	Locke Lord salary
2. 12-31-2018	Government pension
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.)*

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. Vanguard Windsor II IRA	A	Int./Div.	M	T					
2. Vanguard Star IRA	A	Int./Div.	K	T					
3. Hewlett Packard Co. (HPQ)	A	Dividend	J	T					
4. Hewlett Packard Enterprise (HPE)	A	Dividend	J	T					
5. Micro Focus Int'l PLC	A	Dividend	J	T	Spinoff (from line 4)	01/02/18	J		
6. DXC Technology	A	Dividend	J	T					
7. Perspecta, Inc.	A	Int./Div.	J	T	Spinoff (from line 6)	05/25/18	J		
8. Intel	A	Dividend	K	T					
9. USE Credit Union	A	Interest	K	T					
10. Chase Bank	A	Interest	K	T					
11. Microsoft Corporation	A	Dividend	K	T					
12. Pfizer Corporation	A	Dividend	K	T					
13. Kinder Morgan, Inc.	B	Dividend	L	T	Buy (add'l)	04/04/18	J		
14. Citigroup, Inc.	A	Dividend	J	T					
15. Locke Lord 401K Vanguard Inst'l Index	C	Dividend	M	T					
16. Locke Lord 401KT.Rowe Price Blue Chip	A	Dividend	M	T					
17. Locke Lord 401K Vanguard S&P 500	A	Dividend	L	T	Buy	04/04/18	J		

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				
	(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. LockeLord 401K Vanguard S&P 500	A	Dividend	L	T	Buy (add'l)	07/10/18	J		
19. Locke Lord 401K Vanguard S&P 500	A	Dividend	L	T	Buy (add'l)	08/28/18	J		
20. Locke Lord 401KVanguard S&P 500	A	Dividend	L	T	Buy (add'l)	10/15/18	J		
21. Locke Lord 401K Vanguard Smallcap Index I	B	Dividend	M	T	Buy (add'l)	10/01/18	J		
22. Locke Lord 401K Vanguard Smallcap Index	B	Dividend	M	T	Buy (add'l)	10/15/18	J		
23. Locke Lord 401K Vanguard Midcap Index I	B	Dividend	M	T					
24. Walmart	B	Int./Div.	K	T					
25. ATT	A	Dividend			Sold	10/15/18	J	A	
26. Caterpillar (CAT)	B	Dividend	L	T					
27. Altria	D	Dividend			Buy (add'l)	04/04/18	J		
28. Altria	D	Dividend			Sold	09/25/18	M	F	
29. Berkshire Hathaway "B" Shares		None	N	T	Buy (add'l)	04/04/18	K		
30. Berkshire Hathaway "B" Shares		None	N	T	Buy (add'l)	01/11/18	J		
31. Qualcomm, Inc.	B	Dividend	L	T					
32. Gilead Sciences	B	Dividend	K	T	Buy (add'l)	01/11/18	J		
33. Gilean Sciences	B	Dividend	K	T	Buy (add'l)	02/06/18	J		
34. Bellicum Pharmaceuticals		None	J	T	Buy (add'l)	02/06/18	J		

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35. Mondelez Int'l Inc.	A	Dividend			Sold	10/01/18	K	A	
36. Prudential Alliance (X)	A	Interest	K	T					
37. Thornburg Invest Trust Income Builder (X) (BeneIRATIBIX)	A	Dividend	J	T					
38. American Funds/EuroPacific Growth Fund F2AEPFX (BeneIRA)(X)	A	Dividend	J	T					
39. Hotchkiss & WileyHWHIX (BeneIRA) (X)High Yield	A	Dividend	J	T					
40. Oakmark FundOAKMX (BeneIRA) (X)Harris Assoc.Inv. Trust Class 1	A	Dividend	J	T					
41. Franklin Custodian FundsFRIAX(BeneIRA)(X)	A	Dividend	J	T					
42. Hennessy Focus FundsHFCIX (BeneIRA) (X)	A	Dividend	J	T					
43. First Eagle GlobalSGIIX Fund(BeneIRA) (X)	A	Dividend	J	T					
44. Edgewood Growth FundEGFIX (BeneIRA) (X)	A	Dividend	J	T					
45. Dodge&Cox Stock FundDODGX (BeneIRA)(X)	A	Dividend	J	T					
46. AMG Yackman FundYACKX (BeneIRA) (X)	A	Dividend	J	T					
47. TRowe Price Blue Chip Growth Fund TRBCX(X)(BeneIRA)	A	Dividend	J	T					
48. Vanguard Small Cap Fund Admiral (BeneIRA)(X)	A	Dividend	J	T					
49. Wells Fargo Short Duration Govt Bond WSGIX(BeneIRA)(X)	A	Distribution	J	T					
50. Pax World Fds Ser. Tr. 1Small Cap Fund (BeneIRA)(X)	A	Dividend	J	T					
51. AIG Focused Div. Strategy PortfolioFDSWX (BeneIRA)(X)	A	Dividend	J	T					

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52. Fidelity Invest. Money Market FNSXX	A	Dividend	J	T					
53. Amazon		None	N	T	Buy	09/25/18	M		

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

1. The SunAMERICA Focused Div. Strategy Portfolio FDSWX is now known as AIG Focused Div. Strategy Portfolio FDSWX. No sale was involved. SunAmerica was always a part of the AIG family. The new name is reflected on my report on line 42.
2. My husband's IRA with Locke Lord sold and purchased funds (Lines 12-17). I did not list a gain because no gain was realized. It was just a rollover.

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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/ **Nancy K. Johnson**

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