

AO 10
Rev. 1/2010

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2009

APPROVED

1. Person Reporting (last name, first, middle initial) Atlas, Nancy F.	2. Court or Organization U.S.D.C. - S.D. Tx.	3. Date of Report 8/19/2010
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge, Active	5a. Report Type (check appropriate type) ☐ Nomination, ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2009 to 12/31/2009
7. Chambers or Office Address United States District Court 515 Rusk Street, Room 9015 Houston, TX 77002	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	
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. Sign on last page.		

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. Associate Member	VICTORY (Houston American Cancer Society)
2. Co-Trustee	Trust 1
3. Co-Trustee	Trust 2
4. Co-Trustee	Trust 3
5. Co-Trustee	Trust 4
6. Co-Trustee	Trust 5
7. Task Force Co-Chair	American Bar Association Section of Litigation

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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U.S. DISTRICT COURT
HOUSTON, TEXAS

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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. 1/1-8/31	[REDACTED] (Law Firm), Partner
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.	American Bar Association, Section of Litigation	01/08-01/10/09	Scottsdale, AZ	Winter Leadership Meeting	transportation, lodging, and meals
2.	American Bar Association, SCFJI	02/13-02/15/09	Boston, MA	Midyear Meeting	transportation, lodging, and meals
3.	Texas Women Lawyers	02/20-02/22/09	Austin, TX	CLE	transportation
4.	American Bar Association, SCFJI	05/01-05/02/09	Washington, D.C	Spring Leadership Meeting	transportation, lodging, and meals
5.	The University of Texas School of Law	05/12-05/17/09	Amsterdam	Speaking engagement	transportation, lodging, and meals
6.	American Bar Association,	09/09-09/09/09	Chicago, IL	JCCC Meeting	transportation

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JCCC

7.	American Bar Association, Section of Litigation	10/01-10/03/09	Chicago, IL	Fall Leadership Meeting	transportation, lodging and meals
8.	American Bar Association, SCFJI	10/30-11/1/09	New York, NY	Fall Planning Meeting	transportation, lodging and 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. (Section V Note 1)	See Section VIII	\$0.0
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. AXA Equitable Universal Life Insurance		None	L	T					
2. BBVA Compass Bank, Houston, TX (FN 8)	C	Interest	N	T					
3. Diamond Castle Partner IV, L.P. (FN 1)	B	Int./Div.	L	U	Buy	05/27/09	J		
4.					Buy	04/03/09	J		
5.					Buy	06/10/09	J		
6. Diamond Castle Partner IV, Offshore Fund, L.P.	A	Dividend	J	U					
7. Dreyfus 100% U.S. Treasury Money Market Fund	A	Interest	N	T					
8. Dreyfus Appreciation Fund	A	Int./Div.	J	T					
9. IRA: Vanguard 500 Index Fund	A	Int./Div.	K	T					
10. IRA: Vanguard Treasury Money Market Fund	B	Interest	O	T					
11. ITT Hartford Annuity		None	L	T					
12. JP Morgan Chase Bank		None	J	T					
13. MetLife Investors Group Inc.		None	M	T					
14. Nexus BT, L.L.P.	C	Int./Div.	J	U					
15. Nexus Resources LLC-Preferred	D	Int./Div.	K	U					
16. Real Property, Travis County, TX undeveloped property (Y)									
17. Roth IRA: FPA Capital (FN 2)		None			Sold	01/06/09	K		

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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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)
18. Roth IRA: Vanguard Money Market (Y)									
19. St. Clair, Patricia & Kellee	B	Interest	J	T					
20. TD Ameritrade Money Market Acct. (Y)									
21. T. Rowe Price Small Cap Value Fund	A	Int./Div.			Sold	01/26/09	J		
22. T. Rowe Price Treasury Money Market Fund	A	Interest			Sold	01/26/09	M		
23. Tower Equity '84 Ltd. Partnership (FN 3)		None			Closed	10/30/09	J		
24. TPG Partners V, L.P. (FN 4)	A	Int./Div.	J	U	Buy	05/07/09	J		
25.					Buy	06/29/09	J		
26.					Buy	08/19/09	J		
27.					Buy	09/29/09	J		
28. U.S. Savings Bond # 1 (Series EE) (Y)									
29. 401(K): General Investments Fund (FN 5)		None	P1		Buy	06/23/09	O		
30.					Buy	10/19/09	O		
31. 401(K): JPM Prime Money Market		None	P1	T	Sold (part)	6/23/09	O		
32.					Sold (part)	10/19/09	O		
33. Capital Account	A	Interest	M	T					
34. Pension Plan (FN 6)		None	N	W					

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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	
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35. Vanguard 500 Index Fund (Y)									
36. Vanguard Emerging Markets Stock Index Fund	A	Int./Div.	J	T					
37. Vanguard European Stock Index Fund	A	Int./Div.	J	T					
38. Vanguard Extended Market Index Fund	A	Int./Div.	J	T					
39. Vanguard Federal Money Market Fund	C	Interest	P1	T					
40. Vanguard Pacific Stock Index Fund	A	Int./Div.	J	T					
41. Vanguard Short-Term Bond Fund (Y)									
42. Vanguard Total Stock Market Fund (Y)									
43. Vanguard Treasury Money Market Fund	A	Int./Div.	L	T					
44. Wegoma Berkshire VII, L.P. (FN 7)	B	Int./Div.	K	U	Buy	06/12/09	J		
45.					Buy	12/08/09	J		
46. Capital Account		None	N	T					
47. TRUST 1	D	Int./Div.	N	T					
48. - Dreyfus Appreciation Fund									
49. TRUST 2	A	Int./Div.	M	T			L		
50. - BBVA Compass Bank, Houston, TX Acct. # 4 (FN 8)		Interest							
51. - Vanguard Emerging Markets Stock Index Fund		Int./Div.							

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3. Value Method Codes (See Column C2)					

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52. - Vanguard European Stock Index Fund		Int./Div.							
53. - Vanguard Extended Market Index Fund		Int./Div.							
54. Vanguard Federal Money Market Fund		None			Sold	06/29/09	L		
55. - Vanguard Mid-Cap Index Fund		Int./Div.							
56. - Vanguard Small-Cap Index Fund		Int./Div.							
57. - Vanguard Index Trust 500 Portfolio		Int./Div.							
58. TRUST 3	A	Int./Div.	M	T					
59. - BBVA Compass Bank, Houston, TX Acct. # 5 (FN 8)		None							
60. - Vanguard European Stock Index Fund		Int./Div.							
61. Vanguard Federal Money Market Fund		Interest							
62. - Vanguard Mid-Cap Index Fund		Int./Div.							
63. - Vanguard Small-Cap Index Fund		Int./Div.							
64. TRUST 4 (FN 9)		None	M	T					
65. BBVA Compass Bank, Houston, TX Acct. #6 (FN 8)		None							
66. - Pacific Life Ins. Co. (was "Mercury Equity Index Fund")		None							
67. TRUST 5	A	Int./Div.	N	T					
68. - American General Life Ins. Co. (Universal Life Ins.)		None							

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69. - Lincoln National (formerly Jefferson Pilot Life Ins. Co.)		None							
70. - Vanguard Index Trust 500 Portfolio		Int./Div.							

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2. Value Codes (See Columns C1 and D3)					
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of Report.)*

Section V Notes:

(1) A few times each year, friends invite my spouse and me to sit with them at tables they have purchased at charity events. We occasionally invite friends to do the same, i.e., join us at tables we have purchased for charity events. Since my confirmation, each time a friend has invited us to sit at his/her table, my husband has made a contribution to the organization hosting the event equal to or greater than the fair market value of two tickets to the event. Each time, the invitation has come from a close friend whose friendship long predated my nomination. A few of those friends are lawyers and could someday represent clients in my court. To my knowledge, none of those friends was a party or represented clients in my court at the time of the event at which we sat at their table.

Section VII Notes:

(1) Diamond Castle Partner IV, L.P. is a private equity fund that makes periodic capital calls. In response to capital calls, we invested an amount of J on 4/3, 5/27, and 6/10/09.

(2) Roth IRA: I cannot determine how much of the change in total market value this year was due to interest and/or dividends.

(3) Tower Equity: This partnership interest reflects passive investments by [REDACTED] has no business activity or management role in connection with this investment.

(4) TPG Partners V, L.P. is a private equity fund that makes periodic capital calls. In response to capital calls, we invested an amount of J on 5/7, 6/29, 8/19, and 9/29/09.

(5) Although [REDACTED] left the employ [REDACTED] in 2006, he continues to participate in the [REDACTED] Retirement Plans A and B. These are individual account defined contribution plans qualified under I.R.C. Section 401(a). The contributions by the firm were fixed during [REDACTED] employment by the firm. Retirement Plan A has a salary reduction I.R.C. Section 401(k) feature. The Trustee of the Plan is JPMorgan Chase Bank, N.A., Houston, Texas. [REDACTED] has no investment discretion with respect to the investments of this defined contribution plan, except for the after-tax contribution component as to which he has the limited discretion to choose any of a number of funds that are available. The General Investment Fund is mostly an equity fund managed by several outside investment advisors. I cannot determine how much of the change in total market value since last year was due to interest and/or dividends. JP Morgan Chase informed [REDACTED] that they cannot provide me with this information.

(6) Annual payment (beginning 1/15/15) of a fixed amount times years of service starting 1/1/95. Present value was provided by [REDACTED] former law firm.

(7) Wegoma Berkshire VII, L.P. is a private equity fund that makes periodic capital calls. In response to capital calls, we invested an amount of J on 6/12 and 12/8/09.

(8) Formerly "Compass Bank." There is no interest or other income earned on this account. It is a non-interest bearing account.

(9) For the item in line 66, Pacific Life Insurance Co. says that it cannot provide the income for any year. Company representatives state that because I hold an interest in an index fund in which the cash value of an insurance policy has been invested, and not an individual taxable investment, there are no individual dividends or realized gains to report; all that is reported are gains or losses to the policy cash value. In addition, the company states, under applicable government regulations, an insurance policy is considered an asset, not an investment.

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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

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY FALSIFIES THIS REPORT MAY BE SUBJECT TO PERJURY AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544