

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2009

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) Dennis, James L.	2. Court or Organization U.S. 5th Cir. Court of Appeals	3. Date of Report 04/30/2010
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Circuit Judge, Active	5a. Report Type (check appropriate type) ☐ Nomination, ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2009 to 12/31/2009
7. Chambers or Office Address John Minor Wisdom Building 600 Camp Street, Room 219 New Orleans, LA 70130	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.)

POSITION

NAME OF ORGANIZATION/ENTITY

- | | |
|---|--|
| 1. Member, Advisory Committee | Geo. W. & Jean H. Pugh Institute for Justice, a fund held by the L.S.U.
Foundation for the benefit of L.S.U. Law School |
| 2. Member, LSU Law Center Board of Trustees | Louisiana State University Law Center Board of Trustees, a consultative body to
the Chancellor |
| 3. | |
| 4. | |
| 5. | |

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☐ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

- | | |
|-------------|--|
| 1. 10/02/95 | LA State Employees' Retirement System. No control; fully vested 10/31/94. See La. R.S. 11:55 |
| 2. | |
| 3. | |

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 DISCLOSURE OFFICE

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Dennis, James L.

Date of Report

04/30/2010

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. 2009	LA State Employees' Retirement System - Pension	\$58,000.00
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2009	Teachers' Retirement System of Louisiana - pension
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.				

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Name of Person Reporting

Dennis, James L.

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04/30/2010

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

Dennis, James L.

Date of Report

04/30/2010

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-F)	(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. Alliance Bernstein (FKA Alliance Worldwide Privatization)	A	Dividend	K	T					
2. Hospitality Properties	A	Dividend	J	T					
3. Municipal Mortgage & Equity	A	Dividend	J	T					
4. Charter Communications	A	Dividend			Closed	12/22/09	J	A	
5. Enterprise (FKA Teppco Partners L.P.)	B	Dividend	J	T		10/27/09	K	B	
6. American Cap Ltd. (FKA American Cap Strategies)	A	Dividend	J	T					
7. DCP Midstream	A	Dividend	J	T	Buy	11/09/09	J		
8. Bank Deposit Program (FKA Centennial Money Market)	A	Interest	K	T					
9. EV Energy Partners	B	Dividend	J	T	Buy	06/11/09	J		
10. Rayonier, Inc.	A	Dividend	J	T					
11. Novartis Ag	A	Dividend	J	T					
12. Inergy LP	A	Dividend	J	T					
13. Anchor Nat'l Life Polaris Choice II Variable Annuity (FKA An	A	Dividend	L	T					
14. Crosstex Energy L.P.	A	Dividend	J	T					
15. Energy Transfer Equity	B	Dividend	K	T					
16. Hiland Holdings	B	Dividend			Redeemed	12/07/09	J	A	
17. Regency Energy Partners	A	Dividend	J	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	C = \$2,501 - \$5,000 H = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	D = \$5,001 - \$15,000 I2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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Name of Person Reporting

Dennis, James L.

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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. Spectra Energy	A	Dividend			Buy	05/21/09	J		
19. Spectra Energy	A	Dividend			Sold	09/24/09	J	A	
20. Terra Gas Partners	C	Dividend	J	T	Buy	02/03/09	J		
21. Amgen	A	Dividend	J	T					
22. Appollo Inv. Corp	A	Dividend	J	T					
23. Encore Energy Partners	A	Dividend	J	T					
24. Energy Transfer Partners	A	Dividend	J	T					
25. Enterprise Prods partners	A	Dividend	K	T					
26. JP Morgan Short Term Bond Fund	A	Dividend	L	T	Buy	02/05/09	L		
27. Kinder Morgan Energy (FKA Kinder Morgan)	A	Dividend	J	T					
28. Penn West Energy Trust	A	Dividend	J	T					
29. Plains All American Pipeline	A	Dividend	K	T					
30. Quest Energy Partners	A	Dividend	J	T					
31. Targa Resources Partners	A	Dividend	J	T					
32. Travel Centers of America	A	Dividend	J	T					
33. Vanguard Natural Resource	A	Dividend	J	T					
34. Euroseas Ltd	A	Dividend	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 H = \$5,001 - \$100,000	D = \$5,001 - \$15,000 I = \$15,001 - \$50,000	E = \$50,001 - \$100,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$250,000.001 - \$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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Name of Person Reporting

Dennis, James L.

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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)
35. Teekay Tankers	A	Dividend	J	T					
36. Psychiatric Solutions	A	Dividend	J	T	Buy	11/04/09	J		
37. Visa	A	Dividend	J	T					
38. American Water Works	A	Dividend	J	T					
39. Whiting USA Trust	B	Dividend	J	T					
40. Western Gas Partners	A	Dividend	J	T					
41. Genesis Energy	A	Dividend	J	T					
42. MBIA	A	Dividend	J	T					
43. Centurytel	A	Dividend	J	T					
44. Monroe Louisiana Sales Tax Bond	B	Interest	K	T					
45. Monroe Louisiana Sales Tax Bond	A	Interest	K	T					
46. Proshares Trust Ultra Financial	B	Dividend	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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = 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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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of Report.)*

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Date of Report

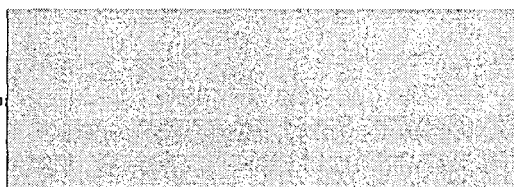
04/30/2010

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 OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL 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

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2009

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) Dennis, James L.	2. Court or Organization U.S. 5th Cir. Court of Appeals	3. Date of Report 6/23/2010
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Circuit 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 John Minor Wisdom Building 600 Camp Street, Room 219 New Orleans, LA 70130	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.)

POSITION	NAME OF ORGANIZATION/ENTITY
1. Member, Advisory Committee	Geo. W. & Jean H. Pugh Institute for Justice, a fund held by the L.S.U. Foundation for the benefit of L.S.U. Law School
2. Member, LSU Law Center Board of Trustees	Louisiana State University Law Center Board of Trustees, a consultative body to the Chancellor
3.	
4.	
5.	

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II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☐ NONE (No reportable agreements.)

DATE	PARTIES AND TERMS
1. 10/02/95	LA State Employees' Retirement System. No control; fully vested 10/31/94. See La.R.S. 11:551
2.	
3.	

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Name of Person Reporting
Dennis, James L.

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6/23/2010

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. 2009	LA State Employees' Retirement System - Pension	\$58,000.00
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2009	Teachers' Retirement System of Louisiana - pension
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.				

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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.)

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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				
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1. Alliance Bernstein (FKA Alliance Worldwide Privatization)	A	Dividend	K	T					
2. Hospitality Properties	A	Dividend	J	T					
3. Municipal Mortgage & Equity	A	Dividend	J	T					
4. Charter Communications	A	Dividend			Closed	12/22/09	J	A	
5. Enterprise (FKA Teppco Partners L.P.)	B	Dividend	J	T		10/27/09	K	B	
6. American Cap Ltd. (FKA American Cap Strategies)	A	Dividend	J	T					
7. DCP Midstream	A	Dividend	J	T	Buy	11/09/09	J		
8. Bank Deposit Program (FKA Centennial Money Market) Wachovia	A	Interest	K	T					
9. EV Energy Partners	B	Dividend	J	T	Buy	06/11/09	J		
10. Rayonier, Inc.	A	Dividend	J	T					
11. Novartis Ag	A	Dividend	J	T					
12. Inergy LP	A	Dividend	J	T					
13. Anchor Nat'l Life Polaris Choice II Variable Annuity (FKA An	A	Dividend	L	T					
14. Crosstex Energy L.P.	A	Dividend	J	T					
15. Energy Transfer Equity	B	Dividend	K	T					
16. Hiland Holdings	B	Dividend			Redeemed	12/07/09	J	A	
17. Regency Energy Partners	A	Dividend	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
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18. Spectra Energy	A	Dividend			Buy	05/21/09	J		
19. Spectra Energy	A	Dividend			Sold	09/24/09	J	A	
20. Terral Gas Partners	C	Dividend	J	T	Buy	02/03/09	J		
21. Amgen	A	Dividend	J	T					
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34. Euroscas Ltd	A	Dividend	J	T					

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36. Psychiatric Solutions	A	Dividend	J	T	Buy	11/04/09	J		
37. Visa	A	Dividend	J	T					
38. American Water Works	A	Dividend	J	T					
39. Whiting USA Trust	B	Dividend	J	T					
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41. Genesis Energy	A	Dividend	J	T					
42. MBIA	A	Dividend	J	T					
43. Centurytel	A	Dividend	J	T					
44. Monroe Louisiana Sales Tax Bond	B	Interest	K	T					
45. Monroe Louisiana Sales Tax Bond	A	Interest	K	T					
46. Proshares Trust Ultra Financial	B	Dividend	J	T					
47. Missouri 3.65 Ser. A Bond	B	Int/Div.			Matured	9/12/09	K	A	

1. Income Gain Codes (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000 S = Assessment W = Estimated	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000 T = Cash Market	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other			
3. Value Method Codes (See Column C2)					

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Dennis, James L.

Date of Report

6/23/2010

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

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Dennis, James L.

Date of Report

6/23/2010

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 OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL 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