

AO 10
Rev. 1/2010

**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) Hicks, Jr., S. Maurice	2. Court or Organization U.S. District Co., Western La.	3. Date of Report 08/25/2010
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 U.S. Courthouse 300 Fannin St., Suite 5101 Shreveport, LA 71101	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.	Lecturer	Centenary College of Louisiana
2.	Board of Directors Member	Children and Arthritis, Inc. (501(c) (3) organization)
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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U.S. District Office

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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. 2009	Centenary College of Louisiana - Teaching	\$2,500
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	Paralegal services - self-employed
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. Citimortgage (was Hibernia National Bank)	Mortgage - Rental Property #1, Ruston, LA	L
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. Capital One Bank Accounts	D	Interest	M	T					
2. State Farm Life Insurance Co. Account		None			Transfers throughout the year.				
3. Northwestern Mutual Life Insurance Co. Account		None			Transfers throughout the year.				
4. Timber Land, Lincoln Parish, Louisiana - 1/1/96, \$30,000		None	K	R					
5. Left intentionally blank		None							
6. Rental Property #1, Ruston, LA - 07/03/01, \$75,427	A	Rent	L	R					
7. Left intentionally blank		None							
8. Left intentionally blank		None							
9. IRA # 1 Capital One Money Fund	A	Interest	M	T					
10. Left intentionally blank		None							
11. VAC Federal Credit Union		None			Transfers throughout the year.				
12. Barksdale Federal Credit Union	A	Interest	K	T					
13. Red River Syndicate I.P	A	Int./Div.	K	U					
14. Left intentionally blank		None							
15. Janney, Montgomery Scott Brokerage Account - Cash	A	Interest	J	T					
16. Left Intentionally blank		None							
17. Left intentionally blank		None							

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	D = \$5,001 - \$15,000 H2 = 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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18. Left intentionally blank		None							
19. IRA #1 XTO Energy	A	Dividend	J	T					
20. Left intentionally blank		None							
21. Left intentionally blank		None							
22. Left intentionally blank		None							
23. Left intentionally blank		None							
24. IRA #1 Entrada Networks		None	J	T					
25. IRA #1 Globalnet		None	J	T					
26. Left intentionally blank		None							
27. Vkipox-30 index		None			Sold during 2008.				
28. Left intentionally blank		None							
29. Cabelas		None			Sold during 2008.				
30. Future Link Coro		None			Sold during 2008.				
31. Left intentionally blank		None							
32. Left intentionally blank		None							
33. Giant Studios		None	J	T					
34. IRA #2 Capital One Money Fund	A	Interest	J	T					

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2. Value Codes (See Columns C1 and F3)	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 C7)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Marker	

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35. Left intentionally blank		None							
36. Left intentionally blank		None							
37. Left intentionally blank		None							
38. Left intentionally blank		None							
39. Left intentionally blank		None							
40. Left intentionally blank		None							
41. Left intentionally blank		None							
42. Left intentionally blank		None							
43. Left intentionally blank		None							
44. Left intentionally blank		None							
45. Left intentionally blank		None							
46. Left intentionally blank		None							
47. Left intentionally blank		None							
48. Left intentionally blank		None							
49. Left intentionally blank		None							
50. Left intentionally blank		None							
51. Left intentionally blank		None							

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 R = Cost (Real Estate Only) V = Other	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 Marker	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)					
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value				

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52. Left intentionally blank		None							
53. Left intentionally blank		None							
54. Left intentionally blank		None							
55. Left intentionally blank		None							
56. Left intentionally blank		None							
57. Left intentionally blank		None							
58. Left intentionally blank		None							
59. Left intentionally blank		None							
60. Left intentionally blank		None							
61. Left intentionally blank		None							
62. Left intentionally blank		None							
63. Sumamerica focused alpha l.r.g		None			Sold during 2008.				
64. Left intentionally blank		None							
65. Left intentionally blank		None							
66. Left intentionally blank		None							
67. Left intentionally blank		None							
68. Left intentionally blank		None							

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	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
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69. Biosante Pharmaceutical		None	J	T					
70. FT Global Infran-Janney	A	Dividend			Redeemed	09/02/09	J	A	
71. FT Greater Asia-Janney	A	Dividend			Redeemed	09/17/09	J	A	
72. Kinetics Paradigm	A	Dividend			Sold	01/13/09	J	A	
73. NYSE Group Inc	A	Dividend			Sold	01/13/09	J	A	
74. VK Argus Tmard		None			Sold during 2008.				
75. Left intentionally blank		None							
76. Left intentionally blank		None							
77. Left intentionally blank		None							
78. Left intentionally blank		None							
79. Left intentionally blank		None							
80. Left intentionally blank		None							
81. Left intentionally blank		None							
82. Left intentionally blank		None							
83. Left intentionally blank		None							
84. Left intentionally blank		None							
85. Left intentionally blank		None							

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86. Left intentionally blank		None							
87. Left intentionally blank		None							
88. Left intentionally blank		None							
89. Left intentionally blank		None							
90. Left intentionally blank		None							
91. Left intentionally blank		None							
92. IRA #1 Dodge and Cox Int'l Stock Fd	A	Dividend	J	T					
93. Left intentionally blank		None							
94. Left intentionally blank		None							
95. Left intentionally blank		None							
96. Left intentionally blank		None							
97. Left intentionally blank		None							
98. Left intentionally blank		None							
99. Left intentionally blank		None							
100. Left intentionally blank		None							
101. Left intentionally blank		None							
102. Left intentionally blank		None							

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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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103. Left intentionally blank		None							
104. Left intentionally blank		None							
105. Left intentionally blank		None							
106. Left intentionally blank		None							
107. Left intentionally blank		None							
108. Morgan Keegan cash	A	Int./Div.	J	T					
109. Encana Corp-Janney	A	Dividend	J	T					
110. XTO Energy	A	Dividend			Sold	12/14/09	J	A	
111. Left intentionally blank		None							
112. Left intentionally blank		None							
113. Cubic Energy Inc		None	J	T					
114. Left intentionally blank		None							
115. Left intentionally blank		None							
116. Left intentionally blank		None							
117. IRA #3- Terra Nitrogen Co LP	A	Dividend	J	T					
118. Left intentionally blank		None							
119. Left intentionally blank		None							

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120. Left intentionally blank		None							
121. Left intentionally blank		None							
122. Left intentionally blank		None							
123. Left intentionally blank		None							
124. Left intentionally blank		None							
125. Left intentionally blank		None							
126. Left intentionally blank		None							
127. Left intentionally blank		None							
128. Left intentionally blank		None							
129. Left intentionally blank		None							
130. Left intentionally blank		None							
131. Left intentionally blank		None							
132. Left intentionally blank		None							
133. Left intentionally blank		None							
134. Left intentionally blank		None							
135. Left intentionally blank		None							
136. Left intentionally blank		None							

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137. Left intentionally blank		None							
138. Left intentionally blank		None							
139. Scottrade Cash Acct.	A	Interest	K	T					
140. Chesapeake Energy-Janney Acct.	A	Dividend	J	T					
141. Petrohawk Energy-Janney Acct.		None	K	T					
142. Left intentionally blank		None							
143. Left intentionally blank		None							
144. Left intentionally blank		None							
145. Left intentionally blank		None							
146. Canadian Oil Snds- Scottrade	A	Dividend	J	T	Buy	06/01/09	J		
147. Cree Research, Inc- Scottrade		None			Buy Sold	04/09/09 6/11/09	J J	A	
148. Eagle Rock Energy- Scottrade		None	J	T	Buy	12/21/09	J		
149. Encana Corp-Scottrade	A	Dividend	J	T	Buy	04/09/09	J		
150. General Electric-Scottrade		None			Buy Sold	04/24/09 6/11/09	J J	A	
151. Goodrich Pete Corp- Scottrade		None			Buy Sold	06/01/09 11/19/09	J J	A	
152. Pacific Asia Petro- Scottrade		None	J	T	Buy (PA?) Sold	08/03/09 12/8/09	J J	A	
153. Petrohawk Energy Corp- Scottrade		None			Buy Sold	04/09/09 11/19/09	J 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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I2 = 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)
154. XTO Energy- Scottrade	A	Dividend			Buy Sold	06/11/09 12/4/09	J J	A	
155. IRA #2 American Superconductors		None	J	T	Buy	12/03/09	J		
156. IRA #2 Encana		None	K	T	Buy	12/27/09	K		
157. IRA #2 National Fuel Gas		None	J	T	Buy	11/23/09	J		
158. IRA #2 Pacific Asia Petroleum		None	J	T	Buy	08/04/09	J		
159. IRA #2 Smartheat Inc		None	J	T	Buy	12/02/09	J		
160. IRA #2 Stericycle		None	J	T	Buy	12/03/09	J		
161. IRA #2 Teck Corp Ltd		None	J	T	Buy	11/05/09	J		
162. IRA #2 Eagle Rock Energy Partners		None	J	T	Buy	12/24/09	J		
163. IRA #2 Kinder Morgan Partners		None	J	T	Buy	12/03/09	J		
164. IRA #1 FHLMC CMO Series 3334		None	J	T	Buy	03/04/09	J		
165. IRA #1 GNMA CMO Series 2009-108		None	J	T	Buy	11/30/09	K		
166. Cenovus Energy-Janney	A	Dividend	J	T	Spinoff (from line 109)				
167. DB Crde Oil DBL-Janney		None			Buy Sold	01/13/09 7/2/09	J J	B	
168. GMX Resources- Janney		None	J	T	Buy	07/02/09	J		
169. Rigel Pharmaceutical-Janney		None	J	T	Buy	09/11/09	J		
170. Biomass Resources- Janney		None	J	T	Sold during 2008.				

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	R = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 Q = \$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	D = \$5,001 - \$15,000 H2 = 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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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)
171. Rental Property #2, New Orleans, LA 1/1/09 \$55,000	A	Rent	L	R					

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	D = \$5,001 - \$15,000 H2 = 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	
3. Value Method Codes (See Column C2)					

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

166. Cenovus Energy, Inc: A split from Encana Corp.

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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 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