

CHAMBERS OF
HAROLD R. DEMOSS, JR.
CIRCUIT JUDGE
515 RUSK AVENUE
HOUSTON, TX 77002
713/250-5462 TEL
[REDACTED] FAX

August 1, 2007

Judge Ortie D. Smith
Chair, Committee on Financial Disclosure
One Columbus Circle, N.E.
Washington, D.C. 20544

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DISCLOSURE OFFICE

Re: Calendar Year 2006 Filing

Dear Judge Smith:

In response to your letter of June 14, 2007, I offer the following additional information requested.

In Part VII, page 4, line 8, I listed "DWS CorePlus." This asset was listed on my prior report, line 6, as "Legg-Mason IRA-Scudder Income 'A'." The name of the asset changed from "Scudder" to "DWS." I still own this asset and only the name has changed.

In Part VII, page 1, line 6, of the previous report, the asset is shown as "Scudder Income Fund R. James." The name of this asset changed from "Scudder" to "DWS." I still own this asset; only the name changed.

In Part VII, page 1, line 11, of the prior report, I listed "Heritage Cash Trust" R. James." This asset is a cash reserve account to which proceeds from sales of assets in my IRA Retirement Account are deposited pending monthly distribution to me. This is part of the transfer of my account from Legg Mason to Raymond James & Associates and should have been listed on my 2006 report with the following information: Under "B. Income during reporting period" (1) amount code 1 is "A" and (2) Type is "distribution." Under "C. Gross value at end of reporting period" (1) Value code 2 is "J" and Value method code 3 is "T." There were no transactions during the reporting period. This asset was inadvertently left off of my 2006 report and I apologize for that error.

**I hope that I have addressed the concerns stated in your letter of June 14.
Please let me know if there are any further questions.**

Sincerely, 

Harold R. DeMoss, Jr.

HRD:sgb

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2006

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) DeMoss, Jr., Harold R	2. Court or Organization U.S. 5th Cir. Ct of Appeals	3. Date of Report 05/03/2007
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 01/01/2006 to 12/31/2006
7. Chambers or Office Address U.S. Courthouse 515 Rusk, Suite 12015 Houston, Texas 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 instructions.)

☐ NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Trustee	Board of Trustees, Open Door Mission
2.	
3.	
4.	
5.	

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II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of 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 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. 2006	Taxable IRA distribution from Raymond James	\$ 60,000.00
2.		
3.		
4.		
5.		

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.	
2.	
3.	
4.	
5.	

IV. REIMBURSEMENTS -- *transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children. See pp. 25-27 of instructions.)*☒ NONE *(No reportable reimbursements.)*

<u>SOURCE</u>	<u>DESCRIPTION</u>
1.	
2.	
3.	
4.	
5.	

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V. GIFTS. *(Includes those to spouse and dependent children. See pp. 28-31 of instructions.)*NONE *(No reportable gifts.)*SOURCEDESCRIPTIONVALUE

1. _____

2. _____

3. _____

4. _____

5. _____

VI. LIABILITIES. *(Includes those of spouse and dependent children. See pp. 32-33 of instructions.)*NONE *(No reportable liabilities.)*CREDITORDESCRIPTIONVALUE CODE

1. _____

2. _____

3. _____

4. _____

5. _____

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of the 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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. Raymond James Trustee for IRA Roll-over-See assets below:	E	Dividend			Change of				
2.					Custodian				
3. Raymond James IRA-AIM CHARTER	A	Dividend	M	T					
4. IRA-AIM Premier Equity					Merger w/#2	4/06			
5. AIM Intermediate Govt.	C	Dividend	L	T					
6. IRA DWS Cap Growth	C	Dividend	K	T	Name Change				
7.					Sale	5/06	K	C	
8. DWS CorePlus	C	Dividend	K	T	Partial Sale	4/06	J	A	
9.					Partial Sale	5/06	J	A	
10. IRA DWS USGOVT SEC	B	Dividend	K	T	Name Change				
11. DWS HIGH INCOME A	D	Distribution	L	T	Name Change				
12. DWS DREMAN HIGH RETURN	B	Dividend	L	T	Name Change				
13. COHEN & STEERS	D	Dividend	M	T					
14. NATIONAL RETAIL PROPERTIES	B	Dividend	K	T	Name Change				
15. Northern Trust Co. [REDACTED]	A	Interest	J	T					
16. Well Fargo Bank	A	Interest	J	T					
17. Sowell 693, Ltd	D	Royalty	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 Q = Appraisal U = Book Value	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 Market	E = \$15,001 - \$50,000
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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of the 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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
18. Sunoco, Inc.	A	Royalty	J	T					
19. Devon Energy Operating Co.	A	Royalty	J	T					
20. Anadarko Petroleum	B	Royalty	J	T					
21. Prudential Ins. of America	A	Interest	J	T					
22. Amegy Bank of Texas	A	Interest	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

2. Value Codes
(See Columns C1 and D3)

J = \$15,000 or less
N = \$250,001 - \$500,000

K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000

L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000

M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000

3. Value Method Codes
(See Column C2)

P3 = \$25,000,001 - \$50,000,000
Q = Appraisal
U = Book Value

R = Cost (Real Estate Only)
V = Other

P4 = More than \$50,000,000
S = Assessment
W = Estimated

T = Cash Market

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

The position listed in Part I of my 2005 report, Managing Partner, [REDACTED] Partnership, Houston, Texas is not listed in Part I of this report because the partnership was dissolved in December 2005.

The custodian listed in Part VII of my 2005 report, LEGG-MASON, is not listed in Part VII of this report because the custodian of my accounts changed from LEGG-MASON to Raymond James in December 2005.

[REDACTED] Partnership listed on Line 15 in Part VII of my 2005 report is not listed in Part VII of this report because the partnership was dissolved in December 2005.

Bank of Texas listed on Line 20 in Part VII of my 2005 report is not listed in Part VII of this report because I closed this account in December 2005.

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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

Date

5/3/07

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