

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) Engelhardt, Kurt D.	2. Court or Organization United States Fifth Circuit Court of Appeals	3. Date of Report 05/15/2019
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 01/01/2018 to 12/31/2018
7. Chambers or Office Address John Minor Wisdom United States Court of Appeals Building 600 Camp Street, Room 230 New Orleans, Louisiana 70130		
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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Member - Board of Directors (Uncompensated)	Cancer Association of Greater New Orleans (CAGNO)
2. Member - Dean's Advisory Planning Board (Uncompensated)	Louisiana State University - College of Humanities & Social Sciences
3. Trustee (Uncompensated)	Special Needs Trust
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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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. 2018	Parish of Jefferson-24th Judicial District Court - Administrative Assistant
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. The Federalist Society	09/03/2018 - 09/06/2018	Avon/Bachelor Gulch, CO	The Federalist-Anti Federalist Debate Judicial Education Seminar	Transportation, Meals, Hotel
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.)

☐ 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. New York Life - LifeStages Variable Annuity (H)									
2. - MainStay VP S&P 500 Index (High)	A	Dividend	J	T					
3. - MainStay VP Cornerstone Growth Portfolio - Service Class (High)	A	Dividend	J	T					
4. - MainStay VP Income Builder (Moderate)	A	Dividend	J	T					
5. - MainStay VP Common Stock (High)	A	Dividend	J	T					
6. - MainStay VP High Yield Corporate Bond (Moderate)	A	Dividend	J	T					
7. - Fidelity VIP Equity - Income (High)	A	Dividend	J	T					
8. - Fidelity VIP Contrafund (high)	A	Dividend	J	T					
9. - Janus Aspen Global Research Portfolio - Service Class (High)	A	Dividend	J	T					
10. - MainStay VP Convertible (Moderate)	A	Dividend	J	T					
11. - MainStay VP Large Cap Growth (High)	A	Dividend	J	T					
12. - MainStay VP Mid Cap Core (High)	A	Dividend	J	T					
13. - MainStay VP ICAP Select Equity (High)	A	Dividend	J	T					
14. - MainStay VP Epoch U.S. Small Cap - Service Class (High)(5)	A	Dividend	K	T					
15. - MainStay VP Janus Balanced Portfolio-Initial Class (Moderate)(2)	A	Dividend	J	T					
16. New York Life Annuity - Fixed	B	Interest	K	T					
17. New York Life Whole Life Policy #1	B	Dividend	L	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 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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18. New York Life Whole Life Policy #2	A	Dividend	K	T					
19. New York Life Secure Term Choice Fixed Annuity	A	Interest	K	T					
20. AT&T (stock)	A	Dividend	K	T					
21. LPL Financial - IRA (H)									
22. - AB Relative Value Advisor CL CBBYX	B	Dividend	J	T					
23. - American Funds American Balanced CL F2 AMBFX	B	Dividend	K	T					
24. - Capital Income Builder CL F2 CAIFX	B	Dividend	J	T					
25. - Catalyst Millburn Hedge Strategy CL I MBXIX	B	Dividend	J	T					
26. - Cohen & Steers Real Estate Securities CL I CSDIX	B	Dividend	J	T					
27. - Columbia U S Govt Mortgage CL Z CUGZX	B	Dividend	J	T					
28. - Delaware Small Cap Value Instl CL DEVIX	B	Dividend	J	T					
29. - Delaware Value Instl CL DDVIX	B	Dividend	J	T					
30. - Hartford Core Equity CL I HGHX	B	Dividend	J	T					
31. - Janus Global Life Sciences CL T JAGLX	B	Dividend	J	T					
32. - Lord Abbett Short Duration Income CL F LDLFX	B	Dividend	J	T					
33. - Oppenheimer Intl Growth CL Y OIGYX	B	Dividend	J	T					
34. - Pioneer Bond CL Y PICYX	B	Dividend	J	T					

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35. - Prudential Jennison Health Sciences CL Z PHSZX	B	Dividend	J	T					
36. - SPDR Series Trust S&P Dividend ETF SDY	B	Dividend	J	T					
37. - T Rowe Price Global Technology PRGTX	B	Dividend	J	T					
38. - Vanguard Strategic Equity Investor CL VSEQX	B	Dividend	J	T					
39. Jefferson Parish Retirement Plan	A	Dividend	K	W					
40. Special Needs Trust (H)									
41. - JPMorgan Chase Bank (Fixed)	A	Interest	M	T					See Explanation Part VIII
42. Travelers Pension Account (Fixed)	A	Interest	J	T					See Explanation Part VIII

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

Lines 40 and 41 - Special Needs Trust (H) - JP Morgan Chase Bank - There are no reportable income, assets or transactions for this account as it is interest-bearing only on a fixed account balance.

Line 42 - Travelers Pension Account - This new entity is spouse's pension account from her previous employer (which employer she left in 2013). She was unaware until recently that this account existed. There are no reportable income, assets or transactions for this account as it is interest-bearing only on a fixed account balance.

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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/ **Kurt D. Engelhardt**

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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