AO 10
Rev. 1/2017

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2016

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)	2. Court or Organization	3. Date of Report
Higginson, Stephen A.	United States Court of Appeals Fifth Circuit	08/04/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)	**5a. Report Type (check appropriate type)**	**6. Reporting Period**
United States Circuit Judge Active Status	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☑ Amended Report	01/01/2016 **to** 12/31/2016

7. Chambers or Office Address

600 Camp Street
Room 300
New Orleans, LA 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.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.	Board Member	Federal Bar Association, New Orleans Chapter
2.		
3.		
4.		
5.		

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

☐ NONE *(No reportable agreements.)*

	DATE	PARTIES AND TERMS
1.	2016	TIAA-CREF Retirement Plan through former employer -- law school, no control
2.		
3.		

Name of Person Reporting	Date of Report
Higginson, Stephen A.	08/04/2017

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.)*

	DATE	SOURCE AND TYPE	INCOME (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.)*

	DATE	SOURCE AND TYPE
1.	2016	Eskew, Dumez & Ripple
2.	2016	Brown University
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.)*

	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.	American Bar Association	1/14-15/2016	Ckearwater, FL	Panelist at Conference	Airfare, Hotel, Meals, Taxi
2.	University of Colorado Law School	2/23-24/2016	Boulder, CO	Judge at Moot Court Competition	Airfare, Hotel, Meals, Taxi
3.	American Academy of Appellate Lawyers	9/29-30/2016	San Antonio, TX	Panelist at Fall Meeting	Airfare, Hotel, Meals, Taxi
4.	Mississippi Bankruptcy Conference	11/9-10/2016	Jackson, MS	Panelist at Bankruptcy Conference	Mileage, Hotel, Meals
5.					

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*

☑ NONE *(No reportable gifts.)*

	SOURCE	DESCRIPTION	VALUE
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.)*

	CREDITOR	DESCRIPTION	VALUE CODE
1.	Harvard University	Tuition	L
2.	Yale University	Tuition	L
3.			
4.			
5.			

Name of Person Reporting	Date of Report
Higginson, Stephen A.	08/04/2017

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 (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	D. (5) Identity of buyer/seller (if private transaction)
1. Regions Bank Account	A	Int./Div.	K	T					
2. LA Start Savings Program Accounts: Louisiana Principal Protection Fund	D	Int./Div.	M	T					
3. Merrill Lynch Cash Money Account	A	Int./Div.	K	T					
4. Black Rock Balanced Mutual Fund	A	Int./Div.	K	T					
5. Judicial & Justice Federal Credit Union	A	Int./Div.	J	T					
6. TIAA-Cref Lifecycle 2025-Inst (See Section VIII)	D	Interest	M	T					
7. TIAA Real Estate (See Section VIII)	B	Interest	K	T					
8. CREF Social Choice R2 (See Section VIII)	B	Interest	K	T					
9. CREF Bond Market R2 (See Section VIII)	A	Interest	K	T					
10. CREF Stock R2 (See Section VIII)	D	Interest	L	T					
11. CREF Global Equities R2 (See Section VIII)	A	Interest	K	T					
12. Empower Retirement - Great-West Lifetime 2045 Fund Svc (See Sec VIII)	A	Int./Div.	J	T					
13. Empower Retirement - Ivy Science & Technology Y (See Sec VIII)		None	J	T					
14. Empower Retirement - Lord Abbett Value Opportunities A (See Sec VIII)	A	Dividend	J	T					
15. Empower Retirement - T. Rowe Price Blue Chip Growth Adv (See Sec VIII)	A	Dividend	J	T					
16. TIAA-Cref Lifecycle 2025-Inst	A	Interest	J	T	Open	04/29/16	J		
17. Fidelity Investments - FID Freedom K 2025	A	Int./Div.	J	T	Open	04/29/16	J		

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

Name of Person Reporting	Date of Report
Higginson, Stephen A.	08/04/2017

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.									
19.									
20.									
21.									
22.									

1. Income Gain Codes: (See Columns B1 and D4)	A =$1,000 or less	B =$1,001 - $2,500	C =$2,501 - $5,000	D =$5,001 - $15,000	E =$15,001 - $50,000
	F =$50,001 - $100,000	G =$100,001 - $1,000,000	H1 =$1,000,001 - $5,000,000	H2 =More than $5,000,000	
2. Value Codes (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	N =$250,001 - $500,000	O =$500,001 - $1,000,000	P1 =$1,000,001 - $5,000,000	P2 =$5,000,001 - $25,000,000	
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Section VII prior years' inadvertent omissions are incorporated into this report as follows:

The Empower Retirement accounts were actually opened in 2014 and inadvertently left off the 2014 and 2015 reports. They have been added to this amended 2016 report.

Prior to this amended report, Individual TIAA-Cref accounts were not listed out separately. This report corrects that.

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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/ Stephen A. Higginson**

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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Washington, D.C. 20544