

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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) Hickey, Susan O.	2. Court or Organization US District Court Western District of Arkansas	3. Date of Report 05/15/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
7. Chambers or Office Address 101 South Jackson Avenue Room 219 El Dorado, AR 71730		
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.		
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.		
2.		
3.		

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Name of Person Reporting

Hickey, Susan O.

Date of Report

05/15/2020

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. 2019	Joseph Hickey, P.A.
2. 2019	BancorpSouth Advisory Board Fees
3. 2019	PMJ LLC - oil production
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	Date of Report
Hickey, Susan O.	05/15/2020

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. BancorpSouth	loan	K
2. BancorpSouth	loan	K
3. BancorpSouth	loan	L
4. BancorpSouth	loan	None
5. BancorpSouth	loan	None
6. BancorpSouth	loan	None

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Name of Person Reporting

Hickey, Susan O.

Date of Report

05/15/2020

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. 5-4 The Beach LLC		None	L	U					
2. Six Siblings LLC		None	K	U					
3. PMJ LLC	B	Distribution	J	U					
4. Joseph Hickey, P.A.	E	Distribution	J	U					
5. Equitable Life Insurance Company Policy #1 (whole life)	B	Dividend	L	T					
6. Genworth Life Insurance Company #1 (Universal Life)	A	Dividend	K	T					
7. BancorpSouth Checking #1	A	Interest	J	T					
8. Brokerage Account #2 (H)									
9. Murphy Oil Corp	A	Dividend	J	T					
10. Murphy USA	A	Dividend	J	T					
11. American Funds - Fundamental Investors Fund Class A	C	Dividend	K	T					
12. American Funds - Growth Fund of America Class A	C	Dividend	K	T					
13. American Funds - New World Fund Class A	A	Dividend	K	T					
14. Profit Sharing Account #2 (H)									
15. Vanguard Money Market Fund	A	Interest	J	T					
16. SPDR Series Trust Portfolio Short ETF	A	Interest			Buy	03/20/19	J		
17.					Sold	04/01/19	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 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	

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
18. SPDR Series Trust	A	Interest							
19.					Sold	04/01/19	J	A	
20. Vanguard Short Term Bond Fund ETF	D	Interest	N	T					
21.					Buy (add'l)	04/01/19	K		
22.					Buy (add'l)	04/23/19	J		
23.					Buy (add'l)	06/10/19	J		
24.					Buy (add'l)	06/21/19	J		
25.					Buy (add'l)	07/15/19	J		
26. Vanguard Short Term Inflation Protected ETF	D	Dividend	N	T					
27.					Buy (add'l)	03/04/19	J		
28.					Buy (add'l)	04/01/19	J		
29.					Buy (add'l)	04/03/19	J		
30.					Buy (add'l)	04/23/19	J		
31.					Buy (add'l)	06/10/19	J		
32.					Buy (add'l)	06/21/19	J		
33.					Buy (add'l)	07/15/19	J		
34.					Buy (add'l)	11/14/19	J		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

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

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
35.					Buy (add'l)	12/05/19	J		
36.					Buy (add'l)	12/24/19	J		
37. Vanguard Short Term Corporate Bond ETF	D	Dividend	N	T					
38.					Buy (add'l)	04/01/19	K		
39.					Buy (add'l)	04/23/19	K		
40.					Buy (add'l)	05/02/19	J		
41.					Buy (add'l)	05/29/19	J		
42.					Buy (add'l)	06/10/19	J		
43.					Buy (add'l)	06/21/19	J		
44.					Buy (add'l)	07/15/19	J		
45.					Buy (add'l)	12/05/19	J		
46.					Buy (add'l)	12/06/19	J		
47.					Buy (add'l)	12/20/19	J		
48.					Buy (add'l)	12/23/19	J		
49.					Buy (add'l)	12/27/19	J		
50. Vanguard CRSP US Mid Cap Value Index ETF	B	Dividend	L	T					
51.					Sold (part)	06/21/19	J	A	

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

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

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05/15/2020

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	(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)
52.					Sold (part)	07/15/19	J	A	
53. Vanguard CRSP US Mid Cap Growth Index ETF	A	Dividend	K	T					
54.					Sold (part)	06/21/19	J	B	
55. DFA International Core Equity PTFM Mutual Fund	D	Dividend	M	T					
56.					Buy (add'l)	01/02/19	J		
57.					Sold (part)	07/15/19	J	A	
58. DFA Emerging Markets Core Equity I Mutual Fund	C	Dividend	M	T					
59.					Sold (part)	04/23/19	K	A	
60. DFA US Small Cap Value Port Mutual Fund	C	Dividend	L	T					
61. DFA US Large Cap Value I Mutual Fund	E	Dividend	N	T					
62.					Sold (part)	04/23/19	K	A	
63.					Sold (part)	06/21/19	J	A	
64.					Sold (part)	07/15/19	K	A	
65.					Buy (add'l)	09/03/19	J		
66.					Buy (add'l)	10/07/19	J		
67. DFA International Large Cap Growth Portfolio Mutual Fund	B	Dividend	L	T					
68. DFA US Small Cap Growth Instl Porfolio Mutual Fund	A	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
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69. DFA US Large Cap Growth Portfolio Instl Mutual Fund	D	Dividend	M	T					
70.					Sold (part)	04/01/19	K	D	
71.					Sold (part)	04/23/19	J	B	
72.					Sold (part)	06/21/19	J	B	
73.					Sold (part)	07/15/19	J	B	
74. DFA Global Real Estate Securities PTF Mutual Fund	D	Dividend	M	T					
75.					Sold (part)	04/01/19	J	A	
76.					Sold (part)	06/10/19	J	A	
77.					Sold (part)	06/21/19	J	A	
78. DFA International Value I Mutual Fund	C	Dividend	M	T					
79.					Buy (add'l)	10/07/19	J		
80. Equitable Life Insurance Company Policy #2 (whole life)	D	Dividend	N	T					
81.									

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

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Name of Person Reporting	Date of Report
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

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Hickey, Susan O.

Date of Report

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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/ Susan O. Hickey

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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544