

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) Dennis, James L.	2. Court or Organization U.S. 5th Cir. Court of Appeals	3. Date of Report 05/12/2020
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	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
7. Chambers or Office Address John Minor Wisdom Building 600 Camp Street, Room 219 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. Member, Advisory Committee | Geo. W. & Jean H. Pugh Institute for Justice, a fund held by the L.S.U. Foundation for the benefit of L.S.U. Law School |
| 2. Member, LSU Law Center Board of Trustees | LSU Law Center Board of Trustees, a consultative or advisory body to the Chancellor; appointed by Chancellor; not a governing board. |
| 3. | |
| 4. | |
| 5. | |

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

☐ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

- | | |
|-------------|--|
| 1. 10/02/95 | LA State Employees' Retirement System. No control; fully vested 10/31/94. See La.R.S. 11:551 |
| 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. 2019	LA State Employees' Retirement System - Pension	\$64,829.04
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	Teachers' Retirement System of Louisiana - pension
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.)

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.		
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)	(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)
1. AllianceBernstein International Growth Fund (AWPAX)	A	Dividend	K	T					
2. Bank Deposit Program (Wells Fargo)	A	Interest	K	T					
3. Anchor Nat'l Life Polaris Choice II Variable Annuity (FKA AIG)		None	N	T					
4. Amgen	B	Dividend	K	T					
5. Enterprise Prods Partners	B	Dividend	K	T					
6. JP Morgan Short Term Tax Free Bond Fund	A	Dividend	J	T					
7. Plains All American Pipeline	A	Dividend	J	T					
8. Postrock Energy Corp.		None	J	T					
9. Teekay Tankers Ltd.		None	J	T					
10. Centurylink	A	Dividend	J	T					
11. Hercules Tech. Capital Inc.	A	Dividend	J	T					
12. Hewlett Packard Enterprise Co.	A	Dividend	J	T					
13. Sandridge Mississippian Trust I	A	Dividend	J	T					
14. Delta Airlines	A	Dividend	K	T					
15. Apple Inc.	A	Dividend	K	T					
16. First Trust IPO (ETF)	A	Dividend	K	T					
17. Huntsman Corp.	A	Dividend			Sold	11/19/19	J	C	

1 Income Gain Codes:	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
(See Columns B1 and D4)	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	J =\$15,000 or less	K =\$15,001 - \$50,000	L =\$50,001 - \$100,000	M =\$100,001 - \$250,000	
(See Columns C1 and D3)	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	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
(See Column C2)	U =Book Value	V =Other	W =Estimated		

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☐ NONE (No reportable income, assets, or transactions.)

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18. Intel Corp.	A	Dividend	K	T					
19. PGIM Short Duration High Yield Fund (CEF)	A	Dividend	J	T					
20. Capital Projects Financial Authority (municipal bond)	A	Interest			Redeemed	10/01/19	J		
21. KKR & Co.	A	Dividend	J	T					
22. Taylor Morrison Home Corp.		None	J	T					
23. Trinity Industries	A	Dividend	J	T					
24. Cisco Systems	A	Dividend	J	T					
25. Freeport McMoRan	A	Dividend			Sold	11/19/19	J		
26. Tesoro Logistics (now Andeavor Logistics)	A	Dividend			Merged (with line 33)	07/30/19	J		Into MPLX LP Line 33
27. Corenergy Infrastructure Trust Inc.	A	Dividend	J	T					
28. General Motors	A	Dividend	J	T					
29. United Rentals		None	K	T					
30. Advent Claymore Convertible	A	Dividend	J	T					
31. Gabelli Dividend & Income Fund (CEF)	A	Dividend	J	T					
32. RMR Group, Inc. (X)	A	Dividend	J	T					
33. MPLX LP	B	Dividend	J	T	Buy (add'l)	07/30/19	J		Andeavor merger Line 26
34. Veritiv Corp.		None	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 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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35. Fiat Chrysler	A	Dividend	J	T					
36. Lamar Advertising	B	Dividend	K	T					
37. Bristol Myers Squibb	A	Dividend	K	T					
38. Olin Corp	A	Dividend			Sold	11/19/19	J		
39. Nuveen Muni 2021 Target (CEF)	A	Dividend	K	T					
40. Nuveen Emerging Markets Debt (CEF) 2022 Term	B	Dividend	K	T					
41. Volkswagen (ADR)	A	Dividend			Sold	03/26/19	J		
42. Micron Technology		None	J	T					
43. Carlyle Group LP	A	Dividend	J	T					
44. Accenture Ireland PLC	A	Dividend	K	T					
45. Alphabet Inc. Class A		None	K	T					
46. Arcosa Inc.	A	Dividend			Sold	11/19/19	J		
47. AT&T Inc.	A	Dividend	K	T					
48. Chevron Corp.	A	Dividend	J	T					
49. Chubb Ltd.	A	Dividend	K	T					
50. Citigroup Inc.	A	Dividend	K	T					
51. CVS Health Corp.	A	Dividend	K	T					

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52. Danaher Corp.	A	Dividend	K	T					
53. Emerson Electric Co.	A	Dividend	K	T					
54. Facebook Inc.		None	K	T					
55. HSBC Holdings	B	Dividend	K	T					
56. Illinois Tool Works Inc.	A	Dividend	K	T					
57. Intercontinental Hotel Group	A	Dividend	K	T					
58. Estee Lauder Co. Inc.	A	Dividend			Sold	08/19/19	K	D	
59. Merck	A	Dividend	K	T					
60. Microsoft Corp.	A	Dividend	K	T					
61. Starbucks Corp.	A	Dividend	K	T					
62. UBS Group	B	Dividend	K	T					
63. Amazon.com		None	K	T	Buy	05/31/19	K		
64. U.S. Foods Holdings Corp		None	J	T	Buy	08/20/19	J		
65. SAP SE ADS	A	Dividend	K	T	Buy	11/19/19	K		
66. Energy Transfer L.P.	D	Distribution	L	T					
67. Perspecta Inc.	A	Dividend	J	T					
68.									

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

Part I. The LSU Law Center Board of Trustees has no reportable assets.

Part VII. Lines 11 and 14 merged on October 19, 2018 resulting in Line 93. Merger was tax free.

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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/ **James L. Dennis**

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