

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) Bennett, Alfred H.	2. Court or Organization SOUTHERN DISTRICT OF TEXAS	3. Date of Report 05/08/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) UNITED STATES DISTRICT 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 BOB CASEY UNITED STATES COURTHOUSE 515 RUSK ST. HOUSTON, TX 77002		
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. BOARD MEMBER	SAM HOUSTON AREA COUNCIL, BOY SCOUTS OF AMERICA
2. BOARD MEMBER	UTLAW SCHOOL FOUNDATION
3.	
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.	

Name of Person Reporting	Date of Report
Bennett, Alfred H.	05/08/2020

III. NON-INVESTMENT INCOME. (Reporting individual and spouse; see pp. 17-24 of filing instructions.)

A. Filer's Non-Investment Income

[X] 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.)

[X] NONE (No reportable non-investment income.)

DATE	SOURCE AND TYPE
1.	
2.	
3.	
4.	

IV. REIMBURSEMENTS -- transportation, lodging, food, entertainment.
(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)

[X] NONE (No reportable reimbursements.)

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.				
2.				
3.				
4.				
5.				

Name of Person Reporting	Date of Report
Bennett, Alfred H.	05/08/2020

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.		
2.		
3.		
4.		
5.		

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Name of Person Reporting

Bennett, Alfred H.

Date of Report

05/08/2020

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. Bank of America	A	Interest	K	T					
2. Wells Fargo	A	Interest	M	T					
3. Amazon		None	M	T					
4. American Funds Capital Income Builder	A	Dividend	K	T					
5. American Funds Capital World Bond Fund	C	Dividend	M	T					
6. American Funds Capital World Growth and Income Fund	A	Dividend	L	T					
7. American Funds EuroPacific Growth Fund	A	Dividend	L	T					
8. American Funds Fundamental Investors	A	Dividend	J	T					
9. American Funds High Index	A	Dividend	J	T					
10. Investment Co of America Fund (American Funds)	B	Dividend	M	T					
11. American Funds New Economy	A	Dividend	J	T					
12. American Funds New Perspective Fund	A	Dividend	L	T					
13. American Funds SmallCap World Fund	A	Dividend	L	T					
14. Growth Fund of America (American Funds)	B	Dividend	M	T					
15. Apple Computer (stock)	A	Dividend	K	T					
16. Ariel Appreciation Fund	A	Dividend	J	T					
17. AT & T	A	Dividend	J	T					

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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Name of Person Reporting

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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)
18. Black Rock Equity Dividend 529 option		None	J	T					
19. Black Rock Growth Target Risk 529 option		None	J	T					
20. College America 529 Captial Income Builder		None	K	T					
21. College America 529 Capital World Growth		None	L	T					
22. College America 529 Investment Co of America		None	L	T					
23. College America 529 New Perspective Fund		None	L	T					
24. College America 529 Growth Fund of America		None	M	T					
25. Columbia Seligman Communication and Information Fund	A	Dividend	M	T					
26. Delaware High Yield Opportunities Fund	A	Dividend	K	T					
27. Walt Disney Co.	A	Dividend	J	T					
28. Eaton Vance Dividend Builder Fund	B	Dividend	M	T					
29. Eaton Vance Worldwide Health Sciences Fund	A	Dividend	L	T					
30. First Eagle Fund of America	A	Dividend	L	T					
31. First Trust Aerospace Defense UIT	A	Dividend	K	T					
32. First Trust Banking Opportunity UIT	A	Dividend			Redeemed	03/13/19	J	A	
33. First Trust Capital Strength Portfolio UIT	A	Dividend			Redeemed	11/05/19	K	C	
34. First Trust Bio Technology Portfolio UIT	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
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. First Trust Cloud Computing UIT	A	Dividend	L	T					
36. First Trust Deep Value UIT	A	Dividend	J	T					
37. First Trust Div Strength UIT	A	Dividend	K	T					
38. First Trust Energy Sel UIT	A	Dividend	K	T					
39. First TrustGlobal Div Portfolio UIT	A	Dividend			Redeemed	11/15/19	J	A	
40. Frist Trust Healthcare Select UIT	A	Dividend	K	T					
41. First Trust Innovative Tech Port UIT	A	Dividend	K	T					
42. First Trust Small/Mid Cap Strength UIT	B	Dividend	K	T	Buy (add'l)	01/24/19	K		
43. First Trust Tech Dividend Portfolio UIT	A	Dividend			Redeemed	12/03/19	K	C	
44. First Trust Sabrient Def Equity Portfolio UIT	A	Dividend			Redeemed	09/10/19	K	A	
45. First Trust Sabrient Div Portfolio UIT	A	Dividend	K	T					
46. First Trust Select (tech) Portfolio UIT	A	Dividend			Redeemed	11/15/19	K	C	
47. Franklin Mutual Global Discovery Fund	B	Dividend	L	T					
48. Franklin Rising Dividends Fund	A	Dividend	L	T					
49. John Hancock Preferred Income	B	Dividend	K	T					
50. Kraft-Heinz/ Kraft Foods (stock)	A	Dividend	J	T					
51. Lord Abbett Value Opportunities	A	Dividend	L	T					

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	(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)
52. Lord Abbett Ultra Short Bond Fund	A	Dividend	M	T					
53. LyondellBasell (stock)	A	Dividend	J	T					
54. McDonald's (stock)	A	Dividend	J	T					
55. Merck (stock)	A	Dividend	K	T					
56. MFS Utilities Fund	A	Dividend	J	T					
57. Microsoft (stock)	A	Dividend	J	T					
58. Mondelez (stock)	A	Dividend	J	T					
59. Netflix	A	Dividend	K	T					
60. Pimco Long-Term US Government Fund	A	Dividend	J	T					
61. Pimco Real Return Fund	A	Dividend	J	T					
62. Pimco Total Return Fund	A	Dividend	K	T					
63. Invesco QQQ Trust, Series 1 (ETF)	A	Dividend	K	T					
64. Royce Premier Fund	A	Dividend	L	T					
65. Royce Special Equity Fund	A	Dividend	L	T					
66. Starbucks (stock)	A	Dividend	K	T					
67. Templeton World Advisor Fund	B	Dividend	L	T					
68. Atlanta GA Water and Waste Bond	A	Interest	K	T					

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69. Beaumont, TX Independent School District	A	Interest	K	T					
70. Belton, TX Independent School District Bond	A	Interest	J	T					
71. Broadview, IL Assur Bond	A	Interest	K	T	Buy	01/18/19	K		
72. California Muni Fin Authority Bond	A	Interest	K	T	Buy	01/18/19	K		
73. Cypress-Fairbanks, TX Independent School District Bond	A	Interest	K	T					
74. Evansville Ind Redev Authority Bond	B	Interest	K	T					
75. Grand Rapid Michigan Public Schools Bond	A	Interest	J	T					
76. Hawaii Pacific Health Bond	B	Interest	K	T					
77. Jacksonville, TX Independent School District Bond	A	Interest	J	T					
78. Lancaster, PA Bond	A	Interest	K	T					
79. Lucas County, OH Hospital Bond	C	Interest	K	T					
80. Metropolitan WTR Dist. S Calif Waterworks Bond	A	Interest	K	T					
81. Missouri Municipal Elec Util Bond	A	Interest	K	T					
82. Mississippi Dev Bond	A	Interest	K	T					
83. Nassau County Assur Bond	A	Interest	K	T	Buy	01/18/19	K		
84. New Castle Cty, Del Bond	A	Interest	J	T					
85. NY, NY City Mun WT Bond	A	Interest	K	T					

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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.)

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 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)
86. NY State Urban Development Bond	A	Interest	J	T					
87. Rock Island, IL Public Bldg Rev Bond	B	Interest	K	T					
88. Pace Government Money Market	A	Interest	J	T					
89. TransAmerica Liberty 2008 Class L Annuity		None	N	T					
90. Rental property #1, Houston, TX	E	Rent	N	W					
91. UBS Bank USA (formerly RMA Tax Free Fund)	A	Interest	L	T					
92. UBS Bank USA -CD	A	Interest			Redeemed	12/27/19	K	B	
93. Series EE Savings Bonds	A	Interest	J	T					
94. Allstate Universal Life Insurance		None	K	T					
95. NY Life Variable Life Insurance - capital appreciation option		None	K	T					
96.									

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

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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part 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/ **Alfred H. Bennett**

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