

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) Costa, Gregg J.	2. Court or Organization United States Court of Appeals, Fifth Circuit	3. Date of Report 05/12/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) 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 515 Rusk 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. Insert signature on last page.		

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 and Chief Financial Officer	Freedom Project Network
2. Director and President Elect	Texas Law Review Association
3. Board Member	Houston Urban Debate League
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. 2019	Calpine Energy Solutions -- salary
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.	NYU School of Law	2/1/19-2/4/19	New York, NY	Moot Court	Transportation, lodging and hotel
2.	Dartmouth College	2/28/19-3/4/19	Hanover, NH	Moot Court/Symposium for 200th Anniversary of Dartmouth College Case	Transportation, lodging, and food
3.	American Law Institute	4/3/19-4/4/19	Philadelphia, PA	Advisor session for Project on Policing	Transportation, loding, and food
4.	University of Texas School of Law	4/4/19-4/5/19	Austin, TX	Capital Punishment Symposium	Transportation, lodging, and food
5.	University of Chicago School of Law	4/24/19-4/25/19	Chicago, IL	Moot Court	Transportation, lodging, and food

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6.	Duke Law School Bloch Judicial Institute	5/10/19-5/11/19	Durham, NC	Panelist at program for judicial LLM program	Transportation, lodging,and food
7.	Federalist Society -- Denver Lawyers Chapter	10/17/19-10/18/19	Denver, CO	Speech	Transportation, lodging, and food
8.					
9.					

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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.		

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. Apple common stock	B	Dividend	M	T	Sold (part)	7/22/19	J	D	
2.					Sold (part)	10/25/19	K	E	
3. Bank of America "cash" account		None	L	T					
4. Columbia Seligmann Communications Fund	D	Dividend	K	T					
5. Fidelity Advisor Equity Growth	C	Dividend	K	T					
6. Investco Charter Fund	B	Dividend	K	T					
7. iShares S&P Small Cap 600 Index Fund	A	Dividend	K	T					
8. Oppenheimer Main Street Small & Midcap Fund	B	Dividend	K	T					
9. Pioneer Mid-Cap Value Fund	B	Dividend	K	T					
10. Vanguard 500 Index Fund	D	Dividend	M	T					
11. Texas 529 Large Cap Core (T Rowe Price Large Cap Growth)	A	Dividend	K	T					
12. Texas 529 Capital Appreciation (Vanguard Inst. Index)	A	Dividend	K	T					
13. Texas 529 Main Street (DFA Small Cap; Artisan Value Fund)	A	Dividend	K	T					
14. Virginia 529 Real Estate Trust (Vanguard Real Estate Index)	A	Dividend	K	T					
15. Virginia 529 Aggressive Fund (made up of more than 10 funds)	D	Dividend	M	T					
16. Virginia 529 Stock Index Fund (Parnassus Core Equity Fund)	D	Dividend	M	T	Sold (part)	10/10/19	J		
17. Virginia 529 International Fund (made up of 5 funds)	B	Dividend	L	T					

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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☐ 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. America Funds Europacific Growth (401k)	A	Dividend	J	T					
19. American Funds Growth Fund of America (401k)	B	Dividend	K	T					
20. Causeway International Value (401k)	B	Dividend	K	T					
21. Dodge & Cox Stock Fund (401k)	B	Dividend	K	T					
22. DWS Capital Growth Fund (IRA)	A	Dividend	J	T					
23. DWS S&P 500 Index Fund (IRA)	A	Dividend	J	T					
24. DWS World Dividend Fund (IRA)	A	Dividend	J	T					
25. Fidelity Blue Chip Growth Fund (401k)	C	Dividend	L	T					
26. Fidelity Focused Stock Fund (401k)	C	Dividend	L	T					
27. Fidelity Freedom Income Fund (401k)	B	Dividend	K	T					
28. Fidelity Growth Company Fund (401k)	C	Dividend	L	T					
29. Fidelity Growth & Income Fund (401k)	B	Dividend	K	T					
30. Fidelity Pacific Basin Fund (401k)	B	Dividend	K	T					
31. Goldman Sachs Growth Opportunity (401k)	A	Dividend	K	T					
32. Janus Global Select Fund (IRA)	A	Dividend	J	T					
33. Janus Growth & Income Fund (IRA)	A	Dividend	J	T					
34. Janus Research Fund (IRA)	A	Dividend	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. Janus Worldwide Fund (IRA)	A	Dividend	J	T					
36. JP Morgan Smart Retirement 2020 (IRA)	D	Dividend	L	T					
37. JP Morgan Smart Retirement 2040 (IRA)	C	Dividend	L	T					
38. Matthews Asia Growth & Income Fund (401k)	A	Dividend	K	T					
39. Pyramis Select International Equity Commingled (401k)	A	Dividend	K	T					
40. Sempra Energy Stock (401k)	B	Dividend	K	T					
41. T. Rowe Price Growth Stock Fund (401k)	D	Dividend	M	T					
42. T. Rowe Price Small Cap Stock Fund (401k)	C	Dividend	L	T					
43. T Rowe Price US Treasury Money (401k)	C	Dividend	N	T	Buy	3/8/19	K		
44. Vanguard Institutional Index (401k)	D	Dividend	M	T					
45. Vanguard Money Market Fund (401k)	A	Int./Div.	J	T					
46. Wasatch Small Cap Growth Fund (401k)	A	Dividend	J	T					
47. State of Israel Bonds	C	Distribution	J	T	Matured (part)	11/1/19	J		

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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/ Gregg J. Costa**

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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