

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) Ramos, Nelva G.	2. Court or Organization U.S. District Court, Texas	3. Date of Report 07/08/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge	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 1133 North Shoreline Blvd. Corpus Christi, Texas 78401		
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. _____	_____
2. _____	_____
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. 2001	State of Texas Judicial Retirement Plans
2. _____	_____
3. _____	_____

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Ramos, Nelva G.

Date of Report

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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	Onyx Engineering--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. TEX-ABOTA	June 28-30, 2019	Santa Fe, NM	Receive Jurist of the Year Award	Transportation, meals, lodging
2.				
3.				
4.				
5.				

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Ramos, Nelva G.	07/08/2020

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

Ramos, Nelva G.

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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)

1. Individual Assets (H)									
2. Wells Fargo Bank (cash)	A	Interest	J	T					
3. First National Bank (cash)	A	Interest	K	T					
4. New York Life Insurance Company - Whole Life		None	K	T					
5. BROKERAGE #1 (H)									
6. Edward Jones Money Market (JRSXX) (cash equivalent)	A	Dividend	K	T					
7. FT Bld Amer Bds 10-20 Yr #11 (VKBTHX)	A	Interest	K	T					
8. Franklin Fed Tax - Free Income A (FKTIX)	B	Dividend	L	T					
9. IRA #1 (H)									
10. Franklin Managed Income CL A (FBLAX)	B	Dividend	K	T					
11. Franklin Equity Income Fund CL A (FISEX)	A	Dividend	J	T					
12. Franklin Growth Fund CL A (FKGRX)	B	Dividend	K	T					
13. Franklin Growth Oppty's Fd Cl A (FGRAX)	A	Dividend	J	T					
14. Franklin High Income Fund A (FCHIX)	A	Dividend	J	T					
15. Franklin Mutual Global Discovery Fund CL A (TEDIX)	B	Dividend	K	T					
16. Franklin Mutual Shares Fund CL A (TESIX)	A	Dividend	J	T					
17. Franklin Rising Dividends Fund CL A (FRDPX)	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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Ramos, Nelva G.

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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. Franklin Small-Mid Cap Grwth A (FRSGX)	C	Dividend	K	T					
19. Templeton Growth Fund CL A (TEPLX)	A	Dividend	K	T					
20. Franklin Total Return Fund CL A (FKBAX)	A	Dividend	K	T					
21. Franklin U S Government Securities Fund CL A (FKUSX)	A	Dividend	K	T					
22. IRA #2 (H)									
23. Franklin Growth Fund CL A (FGRAX)	A	Dividend	J	T					
24. Templeton Foreign Fund CL A (TFFAX)	A	Dividend	J	T					
25. Templeton Global Smaller Companies Fund CL A (TEMGX)	A	Dividend	J	T					
26. Templeton Growth Fund CL A (TEPLX)	A	Dividend	J	T					
27. Templeton World Fund CL A (TEMWX)	A	Dividend	J	T					
28. Franklin Total Return A (FKBAX)	A	Dividend	J	T					
29. Franklin US Govt Secs A (FKUSX)	A	Dividend	J	T					
30. IRA #3 (H)									
31. Cohen & Steers Preferred SEC & Income FD CL I (CPXIX)	B	Dividend	K	T	Buy	03/05/19	K		
32. Doubleline Total Return Bond CL I (DBLTX)		None			Buy	10/01/19	J		
33.					Sold	11/04/19	J		
34. Doubleline Shiller Enh Cape Fd (DSEEX)	B	Dividend	K	T	Sold (part)	01/10/19	J		

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.)

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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)
35.					Buy (add'l)	02/14/19	J		
36.					Sold (part)	03/05/19	K	A	
37.					Buy (add'l)	08/13/19	J		
38.					Buy (add'l)	08/14/19	J		
39.					Sold (part)	08/27/19	J		
40.					Sold (part)	09/17/19	J	A	
41.					Buy (add'l)	11/04/19	J		
42.					Buy (add'l)	11/07/19	J		
43.					Buy (add'l)	11/11/19	J		
44. Invesco QQQ (QQQ)	A	Dividend	K	T	Sold (part)	01/10/19	J	A	
45.					Buy (add'l)	02/14/19	J		
46.					Sold (part)	03/05/19	K	B	
47.					Buy (add'l)	04/17/19	J		
48.					Buy (add'l)	05/02/19	J		
49.					Sold (part)	07/12/19	J	A	
50.					Buy (add'l)	08/13/19	J		
51.					Sold (part)	08/27/19	J	A	

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FINANCIAL DISCLOSURE REPORT

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Ramos, Nelva G.	07/08/2020

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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52.					Buy (add'l)	09/17/19	J		
53.					Buy (add'l)	11/04/19	J		
54.					Buy (add'l)	11/07/19	J		
55. IShares Iboxx \$ Min Vol USA ETF (LQD)	A	Dividend			Buy	08/27/19	J		
56.					Sold	09/30/19	J		
57. IShares Core S&P 500 (IVV)	A	Dividend			Sold (part)	01/10/19	J		
58.					Buy (add'l)	02/14/19	J		
59.					Sold (part)	03/05/19	K	A	
60.					Buy (add'l)	04/17/19	J		
61.					Buy (add'l)	05/02/19	J		
62.					Sold	06/05/19	K	A	
63. IShares Edge MSCI USA Quality Factor ETF (QUAL)	A	Dividend			Buy	03/05/19	K		
64.					Sold	05/02/19	K	A	
65. IShares Edge MISC Min Vol USA ETF (USMV)		None			Buy	06/05/19	K		
66.					Sold (part)	09/17/19	J	A	
67.					Buy (add'l)	11/04/19	J		
68.					Sold	11/07/19	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
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69. IShares MBS ETF Current Yield (MBB)	A	Dividend			Buy	08/27/19	J		
70.					Buy (add'l)	04/17/19	J		
71.					Sold (part)	04/17/19	K	A	
72.					Sold	05/02/19	K	A	
73.					Buy	06/05/19	K		
74.					Sold (part)	07/12/19	J	A	
75.					Buy (add'l)	08/13/19	J		
76.					Sold	09/30/19	J		
77. Lord Abbett Bond Debenture FD CL F (LBDFX)	A	Dividend	K	T	Buy	03/05/19	K		
78. Lord Abbett Short Duration In FD CL F (LDLFX)	A	Dividend			Buy	09/30/19	J		
79.					Buy (add'l)	10/01/19	J		
80.					Sold	11/04/19	J		
81. Pimco Income Fund CL 12 (PONPX)	B	Dividend	K	T	Buy	03/05/19	K		
82. Ishares Inc Core MSCI Emerging Mkts ETF (IEMG)		None			Buy	01/10/19	K		
83.					Sold	02/14/19	K	A	
84. Vanguard Long Term Bond Current Yield (BLV)	A	Dividend			Buy	08/27/19	J		
85.					Sold	09/30/19	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
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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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Name of Person Reporting

Ramos, Nelva G.

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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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86. Vanguard Intermediate Term Bond ETF (BIV)	A	Dividend			Buy	08/27/19	J		
87.					Sold	09/30/19	J		
88. Vanguard Short Term Bond Current Yield (BSV)	A	Dividend			Buy	08/27/19	J		
89.					Sold	09/30/19	J		
90. SPDR Dow Jones Indust Av ETF (DIA)	A	Dividend			Sold (part)	01/10/19	J		
91.					Buy (add'l)	02/14/19	J		
92.					Sold (part)	03/05/19	K	A	
93.					Buy (add'l)	04/17/19	J		
94.					Buy (add'l)	05/02/19	J		
95.					Sold	06/05/19	K	A	
96.					Buy	07/12/19	K		
97.					Sold	08/13/19	K	A	
98. Vanguard 500 Index Fund (VOO)	A	Dividend	K	T	Buy	06/05/19	K		
99.					Sold (part)	07/12/19	J	A	
100.					Buy (add'l)	08/13/19	J		
101.					Sold (part)	08/27/19	J	A	
102.					Buy (add'l)	09/17/19	J		

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103.					Buy (add'l)	11/04/19	J		
104.					Buy (add'l)	11/07/19	J		
105. 529 PLAN #1 (H)									
106. Franklin Mod Alloc Age 13-16 A		None	K	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
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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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E =\$15,001 - \$50,000

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

Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value, per page 42 of the filing instructions.

Franklin Managed Income CL A (FBLAX) was Franklin Balanced Fund CL A (FBLAX).

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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/ **Nelva G. Ramos**

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