

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) Nowlin, James R.	2. Court or Organization U.S. District Court, Western Dist of Texas	3. Date of Report 03/22/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Senior U.S. District Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2019 to 12/31/2019
7. Chambers or Office Address U.S. Courthouse 501 West 5th Street, #6400 Austin, Texas 78701		
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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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	State Employee's Retirement System of Texas, State Legislature Retirement	\$43,748.00
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.	
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. Ranch, Texas	C	Distribution	P1	W					
2. Ameriprise Financial cash equivalent account sweep/money market	A	Interest	J	T					
3. AT&T	B	Dividend	K	T					
4. Pfizer, Inc.	A	Dividend	J	T					
5. Caterpillar, Inc.	A	Dividend	K	T					
6. 3M Company	B	Dividend	K	T					
7. Marriott International, Inc.	A	Dividend	J	T					
8. ExxonMobil, Inc.	B	Dividend	K	T					
9. Ranger Energy Services, Inc.	A	Dividend	J	T					
10. EmigrantDirect Savings Bank	A	Interest	L	T					
11. Diamondback E&P	A	Royalty	J	W					
12. Cimarex Energy Co.	F	Royalty	M	W					
13. EOG Resources, Inc.	B	Royalty	K	W					
14. Legacy Reserves Operating LP	A	Royalty	J	W					
15. Enterprise Crude Oil, LL	B	Royalty	K	W					
16. Pruet Oil Co. LL	A	Royalty	J	W					
17.									

1 Income Gain Codes: (See Columns B1 and D4)	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	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	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	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	
3 Value Method Codes (See Column C2)					

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

1. The filing of this Financial Disclosure Report for calendar 2019 reflects a re-entry of this senior judge into work status requiring renewed Report filing after the period

2015-2018 when lack of sufficient case docket precluded filing requirement, and a "Final" Report having been filed for calendar year 2014.

2. Part VII, Nos. 11-16:

No new or additional royalty or mineral interests were bought, transferred or sold during this reporting period. Any changes or differences in the number or indentities of interests or of payors/operators listed herein from prior reports does not reflect or indicate any sale, acquisition or transfer of royalty or mineral interests but only reflects changes, if any, in lease operators/payors/lessees or an absence in reportable royalty income from a particular previously reported operator/payor/ lessee during this reporting period.

Dear Chairman Bunning:

I am in receipt of your email and letter of October 22, 2020 concerning my timely filed Financial Disclosure Report for 2019 and the review of Dylan Johnson of your office related to that report. It appears that the reviewer is concerned over my listing at page 4, Sec. VII, line 2 of Ameriprise Financial as a "brokerage" entity and my failure to list the equities held by that entity.

For your information and assistance with this concern I submit to your office the following, which is self evident from the Information contained in the original filing and needs no correction if carefully read and considered:

1 Ameriprise Financial is an entity that fulfills many financial functions including brokerage, banking, accounting and other financial services for its clients

2. The listing of Ameriprise Financial at the location in the Report noted above clearly lists that entity as the holder of money market funds (in a minimal amount) from which there are amounts of interest earned.

In Column B, line 2 the word "Interest" clearly appears as Income from that entity (not brokerage).

3. Although Ameriprise Financial does additionally serve me in a brokerage capacity all stock holdings held in that capacity are clearly and individually listed in the Report in the spaces following the Ameriprise listing at page 4, Sec. VII, lines 3-9.

Based on the clarifications noted herein the 2019 Report is accurate and needs no further amendment. Should there be a further concern of your office related to the matters contained in your October 22, 2020 letter you may attach this responsive letter to the 2019 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/ **James R. Nowlin**

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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