

**FINANCIAL DISCLOSURE REPORT  
FOR CALENDAR YEAR 2019**

*Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)*

|                                                                                                                                                                                            |                                                                                                                                                                                                                                        |                                                                  |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting (last name, first, middle initial)</b><br><br>HEARTFIELD, THAD                                                                                                      | <b>2. Court or Organization</b><br><br>U.S.D.C. - TEXAS EASTERN                                                                                                                                                                        | <b>3. Date of Report</b><br><br>06/18/2020                       |
| <b>4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)</b><br><br>DISTRICT COURT JUDGE - SENIOR                                  | <b>5a. Report Type (check appropriate type)</b><br><br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final | <b>6. Reporting Period</b><br><br>01/01/2019<br>to<br>12/31/2019 |
|                                                                                                                                                                                            | <b>5b.</b> <input type="checkbox"/> Amended Report                                                                                                                                                                                     |                                                                  |
| <b>7. Chambers or Office Address</b><br><br>300 WILLOW STREET, RM. 212<br>BEAUMONT, TEXAS 77701                                                                                            |                                                                                                                                                                                                                                        |                                                                  |
| <b>IMPORTANT NOTES:</b> <i>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> |                                                                                                                                                                                                                                        |                                                                  |

**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. |  |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

HEARTFIELD, THAD

Date of Report

06/18/2020

## 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.)*

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.)*



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.)*



NONE *(No reportable reimbursements.)*

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

|    |  |  |  |  |
|----|--|--|--|--|
| 1. |  |  |  |  |
| 2. |  |  |  |  |
| 3. |  |  |  |  |
| 4. |  |  |  |  |
| 5. |  |  |  |  |

|                          |                |
|--------------------------|----------------|
| Name of Person Reporting | Date of Report |
| HEARTFIELD, THAD         | 06/18/2020     |

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.       |             |            |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

HEARTFIELD, THAD

Date of Report

06/18/2020

## 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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                               | C<br>Gross value at end<br>of reporting period |                                           | D<br>Transactions during reporting period       |                         |                                 |                                |                                                                   |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------|------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e g ,<br>div , rent,<br>or int ) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e g ,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 1. American General Life Services Co LLC                                                                                   | A                                      | Interest                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 2. American General Life Services Co LLC                                                                                   | A                                      | Interest                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 3. Wells Fargo, Checking                                                                                                   | A                                      | Interest                                      | M                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 4. Wells Fargo, Checking                                                                                                   | A                                      | Interest                                      | L                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 5. Wells Fargo, Checking                                                                                                   | A                                      | Interest                                      | M                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 6. Dorado Oil Co., Corpus Christi, TX                                                                                      | A                                      | Royalty                                       | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 7. Loan                                                                                                                    | G                                      | Interest                                      |                                                |                                           | Sold                                            | 01/30/19                | M                               | G                              | Craig S & Shannon Adlong                                          |
| 8. UBS RMA Money Market                                                                                                    | A                                      | Interest                                      |                                                |                                           | Sold                                            | 10/08/19                | M                               | A                              |                                                                   |
| 9. UBS RMA Money Market                                                                                                    | A                                      | Interest                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 10. Pacer Trendpilot 100 ETF                                                                                               | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 11. Pacer Trendpilot US LC ETF                                                                                             | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 12. Pacer Trendpilot US MidCap ETF                                                                                         | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 13. Lord Abbett Ultra Short Bond Fund                                                                                      | A                                      | Interest                                      | K                                              | T                                         | Buy                                             | 02/01/19                | K                               |                                |                                                                   |
| 14. UBS #1 Money Market                                                                                                    | A                                      | Interest                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 15. Pacer Trendpilot MC ETF                                                                                                | A                                      | Dividend                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 16. Pacer Trendpilot LC ETF                                                                                                | A                                      | Dividend                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 17. Pacer Trendpilot 100 ETF                                                                                               | A                                      | Dividend                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|-------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
| 1 Income Gain Codes:<br>(See Columns B1 and D4) | A =\$1,000 or less<br>F =\$50,001 - \$100,000                                      | B =\$1,001 - \$2,500<br>G =\$100,001 - \$1,000,000   | C =\$2,501 - \$5,000<br>H1 =\$1,000,001 - \$5,000,000                                  | D =\$5,001 - \$15,000<br>H2 =More than \$5,000,000         | E =\$15,001 - \$50,000 |
| 2 Value Codes<br>(See Columns C1 and D3)        | J =\$15,000 or less<br>N =\$250,001 - \$500,000<br>P3 =\$25,000,001 - \$50,000,000 | K =\$15,001 - \$50,000<br>O =\$500,001 - \$1,000,000 | L =\$50,001 - \$100,000<br>P1 =\$1,000,001 - \$5,000,000<br>P4 =More than \$50,000,000 | M =\$100,001 - \$250,000<br>P2 =\$5,000,001 - \$25,000,000 |                        |
| 3 Value Method Codes<br>(See Column C2)         | Q =Appraisal<br>U =Book Value                                                      | R =Cost (Real Estate Only)<br>V =Other               | S =Assessment<br>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.)

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

| A<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 18. Ishares TIPS Bond ETF                                                                                                  | B                                      | Interest                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 19. Federated Bond Fund                                                                                                    | C                                      | Interest                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 20. Guggenheim Total Return Fund                                                                                           | A                                      | Interest                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 21. Lord Abbett Bond Deben Fund                                                                                            | C                                      | Interest                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 22. Performance Trust Strat Fund                                                                                           | B                                      | Interest                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 23. Western Assett Core Plus Bond                                                                                          | B                                      | Interest                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 24. Lord Abbett Ultra Short Fund                                                                                           | B                                      | Interest                               | L                                              | T                                  | Buy                                       | 02/01/19         | L                        |                         |                                                            |
| 25. Lord Abbett Floating Rate Fund                                                                                         | B                                      | Interest                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 26. American Mod G & Inc Fund                                                                                              | C                                      | Dividend                               | N                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 27. HTF Amer Growth Fund                                                                                                   |                                        | None                                   | M                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 28. HTF Amer Growth & Income                                                                                               |                                        | None                                   | M                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 29. HTF Amer Global Growth                                                                                                 |                                        | None                                   | M                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 30. HTF Franklin Mutual Shares                                                                                             |                                        | None                                   | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 31. Jackson Oppenheimer Global Growth                                                                                      |                                        | None                                   | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 32. Jackson American Funds Int'l                                                                                           |                                        | None                                   | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 33. Jackson Blackrock Global Nat. Res.                                                                                     |                                        | None                                   | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 34. Jackson Franklin Templeton Global                                                                                      |                                        | 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

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

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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 35. Jackson Rafi Multi Factor US Eqty                                                                                      |                                        | None                                   | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 36. Jackson FPA & DL Flex Alloc.                                                                                           |                                        | None                                   | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 37. Jackson Invesco Global RE                                                                                              |                                        | None                                   | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 38. Jackson JPMorgan MC Grth                                                                                               |                                        | None                                   | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 39. Jackson Multi-Mgr SC Grth                                                                                              |                                        | None                                   | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 40. Jackson Lazard Emerg Markets                                                                                           |                                        | None                                   | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 41. UBS #3 Money Market                                                                                                    | A                                      | Interest                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 42. HTF Amer Growth                                                                                                        |                                        | None                                   | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 43. HTF Amer Global Growth                                                                                                 |                                        | None                                   | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 44. HTF Amer Growth & Inc.                                                                                                 |                                        | None                                   | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 45. HTF Franklin Mutual Shares                                                                                             |                                        | None                                   | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 46. Alabama Pub Sch & Col 2.5% due 3/1/2024                                                                                | A                                      | Interest                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 47. Univ of North Texas 5% due 4/15/2024                                                                                   | A                                      | Interest                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 48. Eaton Vance Sen Floating Rate Trust                                                                                    | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 49. Nuveen Amt Free Quality Muni Income Fund                                                                               | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 50. Nuveen Amt Free Muni Credit Income Fund                                                                                | B                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 51. Invesco Exchange Traded Fd Tr II ETF                                                                                   | B                                      | Dividend                               | 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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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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| A<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 52. Metropolitan Trans Auth 5% 5/15/2020                                                                                   | C                                      | Interest                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 53. Miami Dade Cnty Sch Dist. 5% 6/15/19                                                                                   | C                                      | Interest                               |                                                |                                    | Redeemed                                  | 06/15/19         | L                        | C                       |                                                            |
| 54. University Texas 5% 8/15/2020                                                                                          | B                                      | Interest                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 55. Royse City TX ISD 5% 08/15/2026                                                                                        | B                                      | Interest                               | M                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 56. Morgan Stanley Inst Liq Money Market                                                                                   | B                                      | Dividend                               | M                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 57. Financial Square Prime Money Market                                                                                    | B                                      | Dividend                               | M                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 58. JPMorgan Deposit Cash                                                                                                  | A                                      | Interest                               | 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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P4 =More than \$50,000,000

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T =Cash Market

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# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

HEARTFIELD, THAD

Date of Report

06/18/2020

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

Part VII.

7. Craig S. and Shannon Adlong prepaid the note in advance on January 30, 2019.

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

HEARTFIELD, THAD

Date of Report

06/18/2020

## 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/ **THAD HEARTFIELD**

**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