

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) Fitzwater, Sidney A.	2. Court or Organization U.S. District Court, Northern District of Texas	3. Date of Report 03/26/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Senior Status	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 1100 Commerce St., Room 1358 Dallas, Texas 75242-1314		
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.	_____	_____

FINANCIAL DISCLOSURE REPORT

Page 2 of 9

Name of Person Reporting

Fitzwater, Sidney A.

Date of Report

03/26/2020

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.	The American Law Institute	11/14/2019-11/16/2019	Philadelphia, PA	Meeting of Conflict of Laws Advisers	Airfare, lodging, food, and ground transportation
2.					
3.					
4.					
5.					

Name of Person Reporting	Date of Report
Fitzwater, Sidney A.	03/26/2020

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

Page 4 of 9

Name of Person Reporting

Fitzwater, Sidney A.

Date of Report

03/26/2020

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. American Funds-Wash. Mut. Invs. Fund-A	A	Dividend	J	T					
2. UBS Bank USA Deposit Acct.	A	Interest	K	T					
3. 3M Corp. Common Stock	A	Dividend	K	T					
4. J.P. Morgan Chase & Co. Common Stock	A	Dividend	J	T					
5. Trust # 2 (Nos. 5-11) (H)									
6. -UBS RMA Gov't Money Mkt. Fund (See Part VIII)	A	Dividend			Closed	11/29/19	K		
7. -UBS Bank USA Business Acct (X) (See Part VIII)	A	Interest	K	T					
8. -Lord Abbett Income Fund-Class A	B	Dividend	K	T					
9. -Lord Abbett Intermediate Tax Free Fund-Class A	B	Dividend	K	T					
10. -Lord Abbett Short Duration Income Fund-Class A	B	Dividend	K	T					
11. -Thornburg Limited Term Municipal Fund-Class A	A	Dividend	K	T					
12. Calamos Growth and Income Fund-Class A (See Part VIII)	A	Dividend	J	T					
13. Lord Abbett Fundamental Equity-Class A	A	Dividend	J	T					
14. MFS Total Return Bond Fund-A	A	Dividend	J	T					
15. Lord Abbett Income Fund-Class A	A	Dividend	J	T					
16. Lord Abbett Intermediate Tax Free Fund-Class A	A	Dividend	J	T					
17. Lord Abbett Short Duration Income Fund-Class A	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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 9

Name of Person Reporting

Fitzwater, Sidney A.

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

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	(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. Thornburg Limited Term Municipal Fund- Class A	A	Dividend	J	T					
19. Lincoln Nat'l Corp. Secure Line	C	Interest	M	T					
20. IRA #1 (Nos. 20-25) (H)									
21. -Royce Premier Fund (See Part VIII)	C	Dividend	K	T	Sold (part)	03/05/19	J		
22. -Blackrock Strategic Income A	B	Dividend	K	T					
23. -Blackrock Global Allocation Fund Inc. A (See Part VIII)	B	Dividend	K	T	Sold (part)	03/05/19	J		
24. -First Eagle Global Fund Class A	C	Dividend	L	T	Sold (part)	03/05/19	J	A	
25. -FT-Franklin Income	C	Dividend	L	T	Sold (part)	03/05/19	J	A	
26. Aberdeen Asia-Pacific Income Fund	A	Dividend	J	T					
27. Ameren Corporation Common Stock	A	Dividend	J	T					
28. Consolidated Edison, Inc. Common Stock	A	Dividend	K	T					
29. Dominion Energy, Inc. Common Stock	B	Dividend	K	T					
30. BNY Mellon Strategic Municipals, Inc. (See Part VIII)	A	Dividend	J	T					
31. Duke Energy Corp. Common Stock	B	Dividend	K	T					
32. Entergy Corp. Common Stock	A	Dividend	K	T					
33. Exelon Corp. Common Stock	B	Dividend	K	T					
34. ExxonMobil Corp. Common Stock	D	Dividend	M	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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 9

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Fitzwater, Sidney A.

Date of Report

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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)
35. Firstenergy Corp. Common Stock	A	Dividend	J	T					
36. NextEra Energy, Inc. Common Stock	B	Dividend	L	T					
37. Hawaiian Electric Industries Inc. Common Stock	A	Dividend			Sold	09/06/19	K	D	
38. Merck & Co. Inc. Common Stock	A	Dividend	K	T					
39. Nuveen Quality Municipal Income Fund	B	Dividend	L	T					
40. Nuveen Municipal Credit Income Fund	C	Dividend	L	T					
41. Nuveen AMT-Free Quality Municipal Income Fund	B	Dividend	K	T					
42. Nuveen Municipal Value Fund Inc.	B	Dividend	K	T					
43. Nuveen Select Maturities Municipal Fund	A	Dividend	K	T					
44. Pepsico, Inc. Common Stock	B	Dividend	K	T					
45. Pfizer Inc. Common Stock	A	Dividend	K	T					
46. Invesco Van Kampen Municipal Opportunity Trust	A	Dividend	J	T					
47. Xcel Energy Inc. Common Stock	B	Dividend	K	T	Sold (part)	09/06/19	K	E	
48. TIAA-CREF Savings and Investment Plan (Annuity)		None	M	T					
49. TIAA-CREF (IRA) Managed Allocation Fund II R		None	L	T	Sold (part)	06/25/19	J	A	
50. USAA Tax Exempt Long-Term Bond Fund	D	Interest	M	T					
51. Blackrock Strategic Income Opportunities Fund A (See Part VIII)	A	Dividend	J	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. Emerson Electric Co. Common Stock	A	Dividend	K	T					
53. Royal Dutch Shell PLC Common Stock	A	Dividend	J	T					
54. WEC Energy Group Inc. Common Stock	A	Dividend	K	T					
55. Minn. Life Ins. Co. Eclipse Protector Indexed Univ. Life Policy		None	K	T					
56. Enbridge Inc. Common Stock	A	Dividend	J	T					
57. Bank of America Cash Account		None	L	T					
58. Cigna Corp. Common Stock (See Part VIII)	A	Dividend			Sold	09/06/19	J		
59. Evergy, Inc. Common Stock	A	Dividend	J	T					
60. Minn. Life Ins. Co. Eclipse Protector Indexed Univ. Life (X)		None	J	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

FINANCIAL DISCLOSURE REPORT

Page 8 of 9

Name of Person Reporting

Fitzwater, Sidney A.

Date of Report

03/26/2020

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

Part VII, Item Nos. 6 and 7

The asset disclosed as Item No. 6 was closed on November 29, 2019, and the account balance was transferred to a new account, disclosed as Item No. 7. No gain code is disclosed in Column D(4) of Item No. 6 because the transaction did not result in a gain.

Part VII, Item No. 12

This asset was disclosed in my 2018 Financial Disclosure Report under the name "Calamos Growth and Income Fund-Class C." On March 5, 2019, in a tax-free exchange, Calamos Growth and Income Fund-Class C was exchanged for Calamos Growth and Income Fund-Class A. Accordingly, Item No. 12 is disclosed in this report under the name "Calamos Growth and Income Fund-Class A."

Part VII, Item No. 21

No gain code is disclosed in Column D(4) for this item because it was sold at a loss.

Part VII, Item No. 23

No gain code is disclosed in Column D(4) for this item because it was sold at a loss.

Part VII, Item No. 30

This asset was disclosed in my 2018 Financial Disclosure Report under the name "Dreyfus Strategic Municipals Inc. (Closed-End Fund)." On June 3, 2019 Dreyfus Strategic Municipals, Inc. was renamed "BNY Mellon Strategic Municipals, Inc." The change to the name of the fund had no effect on stockholders or their fund accounts, other than to reflect the fund's new name.

Part VII, Item No. 51

This asset was disclosed in my 2018 Financial Disclosure Report under the abbreviation "Blackrock Strategic Income A." It is the same asset as the one disclosed in this report as "Blackrock Strategic Income Opportunities Fund A." There is room on the form to include a more detailed description of the asset name.

Part VII, Item No. 58

No gain code is disclosed in Column D(4) for this item because it was sold at a loss.

FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

Fitzwater, Sidney A.

Date of Report

03/26/2020

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/ Sidney A. Fitzwater**

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