

FINANCIAL DISCLOSURE REPORT
FINAL FILING

*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) Johnson, Nancy K.	2. Court or Organization Southern District of Texas	3. Date of Report 07/06/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Magistrate Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☐ Annual ☒ Final	6. Reporting Period 01/01/2019 to 06/30/2020
	5b. ☐ Amended Report	
7. Chambers or Office Address 515 Rusk, Suite 7019 Houston, Texas		
IMPORTANT NOTES: <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.	

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Name of Person Reporting

Johnson, Nancy K.

Date of Report

07/06/2020

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.)*

<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. 06-30-2020	Locke Lord 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.				
2.				
3.				
4.				
5.				

Name of Person Reporting	Date of Report
Johnson, Nancy K.	07/06/2020

V. GIFTS. (Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)

☒ NONE (No reportable gifts.)

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
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.)

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
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. Vanguard Windsor II IRA	A	Int./Div.	M	T					
2. Vanguard Star IRA	A	Int./Div.	K	T					
3. Hewlett Packard Co. (HPQ	A	Int./Div.			Sold	12/16/19	J	C	
4. Hewlett Packard Enterprise (HPE)	A	Dividend			Sold	12/16/19	J	A	
5. Micro Focus Int'l PLC		None			Sold	12/16/19	J	A	
6. DXC Technology	A	Dividend			Sold	12/16/19	J	A	
7. Perspecta, Inc.	A	Dividend			Sold	12/16/19	J	A	
8. Intel	A	Dividend			Sold	12/16/19	K	E	
9. USE Credit Union	A	Interest	J	T					
10. Chase Bank	A	Interest	J	T					
11. Microsoft Corporation	A	Dividend			Sold	12/16/19	K	E	
12. Pfizer Corporation	A	Dividend			Sold	12/16/19	K	D	
13. Kinder Morgan, Inc.	C	Dividend	M	T	Sold (part)	12/16/19	J	A	
14. Citigroup, Inc.	A	Dividend	J	T	Sold	12/16/19	J	A	
15. Locke Lord 401K Schwab S&P 500 Index	A	Dividend	N	T					
16. Locke Lord 401K T.Rowe Price Blue Chip Growth I	A	Dividend	M	T					
17. Locke Lord 401K Schwab US Midcap Index	A	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	

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. Locke Lord 401K Schwab Small Cap Index	A	Dividend	M	T					
19. Locke Lord 401K Vanguard Inst'l Index	C	Dividend			Merged (with line 15)	12/27/19			
20. Locke Lord 401K Vanguard S&P 500	D	Dividend			Merged (with line 15)	12/27/19			
21. Locke Lord Vanguard Small Cap Index	D	Dividend			Merged (with line 18)	12/27/19			
22. Locke Lord Vanguard Midcap Index	D	Dividend			Merged (with line 17)	12/27/19			
23. Walmart	B	Dividend	L	T					
24. Caterpillar (CAT)	B	Dividend			Sold	12/10/19	L	E	
25. Berkshire Hathaway "B" Shares		None			Sold (part)	12/10/19	M	F	
26. Qualcomm, Inc.	B	Dividend	L	T					
27. Gilead Sciences	B	Dividend		T	Sold	02/19/19	K	A	
28. Bellicum Pharmaceuticals		None			Sold	12/16/19	J	A	
29. Prudential Alliance	A	Interest	K	T					
30. Thornburg Invest. Trust Income Builder	A	Dividend	J	T					
31. American Funds EuroPacific Growth Fund	A	Dividend	J	T					
32. Hotchkiss & Wiley High Yield	A	Dividend	J	T					
33. Oakmark Fund	A	Dividend	J	T					
34. Franklin Custodian Fund	A	Dividend	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

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)
35. Hennessy Focus Funds	A	Dividend	J	T					
36. First Eagle Global SGIIX Fund	A	Dividend	J	T					
37. Edgewood Growth Fund	A	Dividend	J	T					
38. Dodge&Cox Stock Fund	A	Dividend	J	T					
39. AMG Yackman Fund	A	Dividend	J	T					
40. T.Rowe Price Blue Chip Growth Fund	A	Dividend	J	T					
41. Vanguard Small Gap Admiral	A	Dividend	J	T					
42. Wells Fargo Short Duration Gov't Bond Fund	A	Dividend	J	T					
43. Pax World Fds SEr. Tr. Small Cap Fund	A	Dividend	J	T					
44. AIG Focused Div. Strategy Portfolio	A	Dividend	J	T					
45. Fidelity Invest. Money Market	A	Dividend	J	T					
46. Amazon		None	N	T					
47. GSCCF		None	J	T	Buy	02/19/19			

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

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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

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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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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/ Nancy K. Johnson

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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