

**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) Cummings, Samuel R.	2. Court or Organization U.S. District Court Northern District of Texas	3. Date of Report 3/02/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Senior	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 1205 Texas Avenue Room 308 Lubbock, Texas 79401		
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.	

Name of Person Reporting	Date of Report
Cummings, Samuel R.	3/02/2020

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
Cummings, Samuel R.	3/02/2020

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

Cummings, Samuel R.

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3/02/2020

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. money market-savings - Wells Fargo Bank	B	Interest	O	T					
2. Oil & Gas Royalty & Working Interests: (H)									
3. --Dynegy (Targo) Midstream Service	A	Royalty	J	W					
4. --Roy Furr Estate Operator	A	Royalty	J	W					
5. Steward Energy	E	Royalty	L	W					
6. Brokerage Account #1 (H) TIC									
7. --CD - Provincial Financial Bank, Clayton, MO	B	Interest	K	T					
8. --CD - National Republic Bank, Chicago, IL	A	Interest	J	T					
9. --Bond - Barbers Hill TX ISD	B	Interest	K	T					
10. --Bond - Ft. Worth TX CTF oblig.	B	Interest	L	T					
11. --Bond - NW Harris County Municipal Utility District	C	Interest	L	T					
12. --Bond - Ft. Bend County Municipal Utility District	C	Interest			Redeemed	09/05/19	L	A	
13. --Bond - Donna TX ISD School Building PSF	B	Interest	L	T					
14. --Bond - Pharr San Juan Alamo TX ISD	B	Interest	L	T					
15. --Bond - Lubbock TX ISD Sch Bldg Fund PSF	B	Interest	L	T					
16. --Burleson TX CTF oblig.	A	Interest	K	T					
17. --McKinney TX Ind. Sch. Dis. g/o	A	Interest	L	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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18. Brokerage Account #2 (H) IRA									
19. --CD - Bank of North Carolina, Thomasville, NC	B	Interest	M	T					
20. --CD - Discover Bank, Greenwood, DE	B	Interest	M	T					
21. Brokerage Account #1 (H) TIC									
22. --Bond - Texas Tech University Bond	A	Interest	K	T					
23. --Bond - Temple Tex. Rev. & Ltd. Tax Bds	A	Interest	K	T					
24. Brokerage Account #2 (H) IRA									
25. --Nureen Quality Preferred FD3	B	Dividend	K	T					
26. --Nureen Quality Preferred FD3	B	Dividend	K	T					
27. Brokerage Account #1 (H) TIC									
28. --Bond - Ft. Bend TX Util Dis BDS	B	Interest	L	T					
29. --Bond - Victoria County TX Jr. College Dist.	B	Interest	L	T					
30. --Bond - Crowley TX ISD	B	Interest	L	T					
31. --Bond-50 Northside Tex. Ind. Sch. Dis. Tax Bds	B	Interest	L	T					
32. --Bond-Stanton TX ISD Bldg. Bds	B	Interest	L	T					
33. --Bond-North Hopkins TX ISD	B	Interest	L	T					
34. --Bond-Weston Mun. Ut. Dis. TEXU Ltd Bonds	B	Interest	L	T					

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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	
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35. --Bond-Cypress Hill Mun. Dist. No. 1	B	Interest	L	T					
36. --Bond-Montgomery Cnty. TX Mun. Util. Dist.	B	Interest			Redeemed	09/03/19	L	A	
37. Brokerage Account #2 (H) (IRA)									
38. --825 shares Tr. High Dividend ETF	B	Dividend	L	T					
39. --CD - Discover BK Greenwood	B	Interest			Redeemed	08/13/19	L	A	
40. Brokerage Account #1 (H) TIC									
41. --Bond-Lake Mun. Ut. Dis. Tax	B	Interest	M	T					
42. --Bond-Edinburgh Tax & Rev. CTFS oblig.	B	Interest	K	T					
43. --Bond-Houston Higher Ed. Fin. Corp.	B	Interest	L	T					
44. --Bond-Fort Bend Cnty. Util. Dist.	B	Interest	K	T					
45. Brokerage Account-#2 (H) IRA									
46. --First Tr Value Divid Index SHS	B	Dividend	M	T					
47. --First Tr ETF Staples ALPHA DEX	B	Dividend	M	T					
48. --Global X FD DIS ETF	B	Dividend	L	T					
49. Brokerage Account #2 (H) IRA									
50. --Wells Fargo Corporate Bond	B	Interest	M	T					
51. --Wells Fargo Corporate Bond	B	Interest	L	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. --JP Morgan Chase Corporate Bond	B	Interest	M	T					
53. Brokerage Account #1 (H) TIC									
54. --Travis Cnty Ctfs of Oblig	B	Interest	K	T					
55. --New Caney Util Dis Tax Bds	B	Interest	L	T					
56. --Travis Cnty Tx Mun Util Dis No. 16	C	Interest	M	T					
57. --Lbb Cooper ISD Bond	B	Interest	K	T					
58. --Houston Tx Bds	B	Interest	L	T					
59. --Tomball Tx ISD Bds	B	Interest	M	T					
60. --Centerville Tx ISD Bds	B	Interest	M	T					
61. --Alief Tx ISD Bds	B	Interest	L	T					
62. --Chambers County Bds	B	Interest	L	T					
63. --Willow Fork Drain Dis Tx Bds	B	Interest	M	T					
64. --College Station Tx ISD Bds	B	Interest	L	T					
65. --Klein Tx ISD Bds	B	Interest	L	T					
66. --Lovejoy Tx ISD Bds	B	Interest	M	T					
67. --Prosper Tx ISD Bds	B	Interest	L	T					
68. --Red Oak Tx ISD Bds	B	Interest	M	T					

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69. --Tex Tech Rev Bds	B	Interest	M	T					
70. --Borger Tx ISD Bds	B	Interest	M	T					
71. --Harris Co. Tx Mun Bds	B	Interest	L	T					
72. --Pharr San Juan Tx ISD Bds	B	Interest	L	T					
73. --West Harris Co. Tx Mun Bds	B	Interest	M	T					
74. --Horizon Tx Mun. Bds	B	Interest	L	T					
75. --Plano Tx GO Bds	B	Interest	L	T					
76. --Woodcreek Resv Munc Util Bds	B	Interest	K	T					
77. --Whitehouse Tx ISD Bds	B	Interest	M	T					
78. --El Paso Hosp Dis Bds	B	Interest	M	T					
79. --Irving Tx Bds	B	Interest	M	T					
80. --North Tx Mun WTR Rev Bds	B	Interest	L	T					
81. --Waco Tx Rev CTFS	B	Interest	M	T					
82. --Arlington Fin Corp Harmony Pub Schs	B	Interest	M	T					
83. --Richardson CTFS of Oblig	B	Interest	M	T					
84. --Harris - Mtgy Co Mun Util Dis	A	Interest	L	T					
85. --Willow Fork Drain Dis Util Bds	A	Interest	L	T					

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86. --Hartford Finan FIX/FLT 42	B	Dividend	L	T					
87. --Public Storage SHS	B	Dividend	L	T					
88. --Wells Fargo Dep SHS	B	Dividend	L	T					
89. --Ector Cnty CTFS of Oblig.	B	Interest	L	T					
90. --Waco Tx CTFS of Oblig.	B	Interest	L	T					
91. --Brazoria Co UT Dist Bds	B	Interest	L	T					
92. --Paloma Lake Tx Bds	B	Interest	L	T					
93. Brokerage Acct. #2 IRA									
94. --First Trust DSIP Portfolio	B	Interest	M	T					
95. --2017 BJ ELN Series	B	Interest	L	T					
96. --ISHARES USA ETF	B	Dividend	L	T					
97. Brokerage Acct. #1 TIC									
98. --University TX BDS	B	Interest	L	T					
99. --Frisco TX ISD	B	Interest	L	T					
100. --Hidalgo Cnty TX CFTS OBLIG	B	Interest	M	T					
101. --Texas Tech Univ BDS Ser 2015A	A	Interest	L	T					
102. Brokerage Acct. #2 IRA									

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103. --First Trust Corp. TX Reform Ser 4 Term	B	Dividend			Redeemed	11/19/19	M	A	
104. --First Trust DVD 2Q '18 Term	B	Dividend	M	T					
105. --First Trust S&P DVD Target	B	Dividend	M	T					
106. Brokerage Acct. #1 (TTC)									
107. --Denton County WTR Supply Dist. BDS	B	Interest	M	T	Buy	04/25/19	M		
108. --St. George Redev TX BDS	B	Interest	L	T	Buy	04/25/19	L		
109. --Goldhwaite TX ISD BDS	B	Interest	L	T	Buy	09/10/19	L		
110. --Montgomery Cnty WTR IMPT Dis TX Bds	B	Interest	L	T	Buy	09/10/19	L		
111. --Travis Co. Util. Dis BDS	A	Interest	K	T	Buy	12/11/19	K		
112. Brokerage Acct. #2 (IRA)									
113. --Smart Trust Equities Trust	B	Dividend	M	T	Buy	06/21/19	M		
114. --Wells Fargo CD	B	Interest	M	T	Buy	08/16/19	M		
115. --First Trust S&P DVD Target 25	C	Dividend	N	T	Buy	09/12/19	N		
116. --Invpsco DVD Portfolio 193 Term	C	Dividend	N	T	Buy	09/12/19	N		
117. --Guggenheim Strategy 029 Term	B	Dividend	L	T	Buy	12/03/19	L		
118. --First Trust Corp. TX Reform Ser 4 Term	B	Dividend			Redeemed	11/19/19	M		

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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/ Samuel R. Cummings

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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