

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) Ray, J. Thomas	2. Court or Organization U. S. District Court - ED AR	3. Date of Report 05/01/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U. S. Magis. Judge - Full Time	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 Richard Sheppard Arnold United States Courthouse 500 West Capitol, Room D 144 Little Rock, AR 72201		
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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Trustee	Rollover IRA
2. Trustee	IRA #1
3. Trustee	Inherited IRA
4. Trustee	IRA # 2
5.	

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions)

☒ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.	
2.	
3.	

Name of Person Reporting	Date of Report
Ray, J. Thomas	05/01/2020

III. NON-INVESTMENT INCOME. (Reporting individual and spouse; see pp. 17-24 of filing instructions)

A. Filer's Non-Investment Income

[X] 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.)

[X] 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.)

[X] NONE (No reportable reimbursements.)

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
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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Name of Person Reporting

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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. Abbvie C.S.	A	Dividend	K	T					
2. Agios C.S.		None	K	T					
3. Alibaba ADR		None	L	T	Buy	05/28/19	K		
4. Allergan C.S.	A	Dividend			Sold	03/07/19	L		
5. Alphabet Inc (Cl A) C.S.		None	K	T					
6. Amazon C.S.		None	K	T					
7. Amgen	B	Dividend	M	T					
8. Anheuser Busch Inbev ADR	A	Dividend			Sold	01/31/19	M		
9. Bank of America C.S.	B	Dividend	L	T					
10. Berkshire Hathaway (B) C.S.		None	M	T					
11. Baidu ADR		None	K	T	Buy	06/03/19	K		
12. Biomarin C.S.		None	K	T					
13. Bristol Meyers C.S.	B	Dividend	L	T	Sold (part)	11/27/19	K	C	
14. Celgene C.S.		None			Sold	01/21/19	N	G	
15. Chevron C.S.	D	Dividend	M	T					
16. Conoco Phillips C.S.	C	Dividend	L	T					
17. CVS Healthcorp. C.S.	A	Dividend	K	T	Buy	04/22/19	J		

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)					

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. Diamondback Energy C.S.		None	K	T	Buy	11/07/19	K		
19. Dupont C.S.		None	K	T	Buy	12/24/19	K		
20. Eli Lilly C.S.	D	Dividend	N	T	Sold (part)	03/15/19	M	F	
21. Enterprise Products Partners L.P.	D	Dividend	L	T					
22. Exxon Mobil Corp. C.S.	D	Dividend	M	T					
23. Gilead, C.S.	D	Dividend	N	T	Sold (part)	12/24/19	K		
24. Illumina C.S.		None	K	T	Buy	08/08/19	K		
25. Intel C.S.	A	Dividend	K	T					
26. J P Morgan Chase C.S.	B	Dividend	L	T					
27. Johnson & Johnson C.S.	D	Dividend	N	T	Sold (part)	01/31/19	M	G	
28. Merck & Co. Inc. C.S.	D	Dividend	N	T					
29. Microsoft C.S.	A	Dividend	K	T					
30. Pfizer Inc. C.S.	C	Dividend	M	T					
31. Phillips 66 C.S.	A	Dividend	K	T					
32. Phillips 66 Partners C.S.	A	Dividend	J	T					
33. Qorvo, Inc. C.S.		None	J	T	Buy	05/28/19	J		
34. Regeneron Inc. C.S.		None	M	T	Sold (part)	11/12/19	L	C	

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

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35. Sanofi Aventis C.S.	C	Dividend	L	T	Sold (part)	01/31/19	K	D	
36. Skyworks Solutions C.S.	A	Dividend	J	T	Buy	08/05/19	J		
37. Valero Energy C.S.	C	Dividend	L	T					
38. Wells Fargo C.S.	B	Dividend	K	T					
39. Zscaler Inc. C.S.		None	J	T	Buy	10/22/19	J		
40. Charles Schwab Money Market (Cash Equivalents)	C	Interest	O	T					
41.									
42. ORI/Acadia & Ver. Par., LA; McGowan Inc.; Zachry Exploration	E	Royalty	N	W					
43. ORI/Regan County, TX/Pioneer Natural Resources	A	Royalty	L	W					
44. W/I; Acadia & Vermillion Par., LA; McGowan Inc.	E	Royalty	N	W					
45. ORI/Acadia Par., LA; Zachry Exploraton	C	Royalty	N	W					
46.									
47. Investment Property (Pulaski County, AR) (See Section VIII)		None	N	W					
48.									
49. Rollover IRA									
50. - Charles Schwab Money Market (Cash Equivalents)	B	Interest	N	T					
51. - Agios C.S.		None	L	T					

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52. Allergan C.S.	B	Dividend			Sold	03/07/19	L		
53. Alibaba ADR		None	L	T	Buy	05/28/19	L		
54. Alphabet (Class A) C.S.		None	L	T					
55. Amazon C.S.		None	L	T					
56. Anheuser Busch Inbev ADR	A	Dividend			Sold	01/31/19	L		
57. Apple C.S.	A	Dividend			Sold	04/11/19	L	E	
58. Applied Materials C.S.	A	Dividend	L	T					
59. - Amgen C.S.	D	Dividend	M	T					
60. - Berkshire Hathaway (B) C.S.		None	M	T					
61. - Biomarin C.S.		None	L	T					
62. - Celgene C.S.		None			Sold	11/07/19	N	G	
63. - Chevron C.S.	B	Dividend	L	T					
64. - Conoco Phillips C.S.	B	Dividend	L	T					
65. - CVS C.S.	A	Dividend			Sold	08/15/19	L		
66. -Diamondback Energy C.S.	A	Dividend	K	T	Buy	11/07/19	K		
67. -Dow C.S.	B	Dividend	K	T	Buy	08/23/19	K		
68. - Energy Transfer L.P.	D	Dividend	K	T					

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69. - Enterprise Products Partners L.P.	D	Dividend	L	T					
70. -EOG Resources Inc. C.S.	A	Dividend	K	T	Buy	10/18/19	K		
71. - Gilead Sciences Inc. C.S.	D	Dividend	M	T					
72. - Incyte C.S.		None			Sold	04/04/19	K	A	
73. -Illumina C.S.		None	K	T	Buy	05/20/19	K		
74. - Intel C.S.	A	Dividend	K	T					
75. - J.P. Morgan C.S.	B	Dividend	L	T					
76. - Johnson & Johnson C.S.	B	Dividend	L	T					
77. - Lumentum C.S.		None	K	T					
78. - Merck & Co. Inc. C.S.	B	Dividend	K	T					
79. - Microsoft C.S.	A	Dividend	L	T					
80. - Pfizer Inc. C.S.	A	Dividend	K	T					
81. - Pioneer Natural Resources C.S.	A	Dividend	L	T	Sold (part)	12/30/19	K	A	
82. - Regeneron C.S.		None	M	T					
83. - Zscaler C.S.		None	K	T	Buy	10/18/19	K		
84.									
85. IRA #1									

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86. - Alibaba ADR.		None	K	T	Buy	05/28/19	K		
87. - Allergan C.S.	A	Dividend			Sold	03/07/19	K		
88. - Amgen Inc. C.S.	B	Dividend	K	T					
89. - Berkshire Hathaway (B) C.S.		None	L	T					
90. - Biomarin C.S.		None	K	T					
91. - Celgene C.S.		None			Sold	11/07/19	L	F	
92. - Gilead Sciences Inc. C.S.	A	Dividend	K	T					
93. - Johnson & Johnson C.S.	A	Dividend	K	T					
94. - J.P. Morgan Chase C.S.	A	Dividend	K	T					
95. - Merck C.S.	A	Dividend	J	T					
96. - Pfizer C.S.	A	Dividend			Sold	11/07/19	J	D	
97. - Pioneer Natural Resources C.S.	A	Dividend	J	T					
98. - Charles Schwab Money Market (Cash Equivalents)	A	Interest	M	T					
99.									
100. Inherited IRA									
101. - Agios C.S.		None	J	T					
102. -Alibaba		None	K	T	Buy	05/13/19	K		

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
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103. - Allergan C.S.	A	Dividend			Sold	03/07/19	K		
104. - Berkshire Hathaway C.S.		None	K	T					
105. - Celgene C.S.		None			Sold	11/07/19	K	B	
106. - Chevron C.S.	A	Dividend	J	T					
107. - Gilead Science Inc. C.S.	A	Dividend	J	T					
108. - Incyte C.S.		None			Sold	02/25/19	J	A	
109. - Merck C.S.	A	Dividend	J	T					
110. - Regeneron C.S.		None			Sold	02/01/19	K	D	
111. - Charles Schwab Money Market (Cash Equivalents)	A	Interest	L	T					
112.									
113.									
114. IRA #2									
115. -Alibaba ADR		None	K	T	Buy	05/28/19	K		
116. - Allergan C.S.	A	Dividend			Sold	03/03/19	K		
117. - Amgen Inc. C.S.	B	Dividend	L	T					
118. - Berkshire Hathaway (B) C.S.		None	K	T					
119. - Biomarin C.S.		None	J	T	Buy	08/14/19	J		

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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)
120. - Celgene C.S.		None			Sold	11/07/19	L	E	
121. - Gilead Sciences Inc. C.S.	A	Dividend	K	T					
122. - Johnson & Johnson C.S.	A	Dividend			Sold	01/31/19	K	E	
123. - Merck C.S.	A	Dividend	K	T					
124. - Microsoft C.S.	A	Dividend	K	T					
125. - Pfizer Inc. C.S.	A	Dividend	J	T					
126. -Pioneer Natural Resources C.S.	A	Dividend	K	T	Buy	11/14/19	J		
127. -Regeneron Pharmaceuticals C.S.		None	K	T	Buy	07/11/19	J		
128. -Zscaler Inc. C.S.		None	K	T	Buy	07/11/19	J		
129. - Charles Schwab Money Market (Cash Equivalents)	A	Interest	L	T					
130.									

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

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Name of Person Reporting	Date of Report
Ray, J. Thomas	05/01/2020

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

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Ray, J. Thomas

Date of Report

05/01/2020

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/ J. Thomas Ray**

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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Washington, D.C. 20544