

**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) Norman, Jeffrey P.	2. Court or Organization United States Bankruptcy, Southern District of Texas	3. Date of Report 06/08/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States Bankruptcy Judge	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 515 Rusk, Suite 4505 Houston, Texas 77002		
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

Norman, Jeffrey P.

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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.	
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.	State Bar of Texas - Bankruptcy Section	March 11 - 18	Vietnam, Ho Chi Minh City and Hanoi	Participant in Annual International Bankruptcy Seminar	Airfare, Lodging and Food
2.	State Bar of Texas - Bankruptcy Bench Bar	April 18, 19	Austin, Texas	Participant in Biannual Bankruptcy Seminar	Lodging and Mileage
3.	George Mason Law School	June 25 - 27	Beaver Creek, Colorado	Participant in Legal Seminar	Airfare, Lodging and Food
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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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. Charles Schwab									
2. -Charles Schwab Bank Account	B	Interest	L	T					
3. -Altria Group, Inc. (MO)	A	Dividend	J	T					
4. -Costco Wholesale Co. (COST)	A	Dividend	J	T					
5. -Gilead Sciences, Inc. (GILD)	A	Dividend	J	T					
6. -Western Digital Corp (WDC)	A	Dividend	J	T					
7. Tom Root Note	D	Interest	N	T					
8. Michael and Katelyn Norman Jones Secured Note	D	Interest	M	T					
9. Vanguard -Variable Annuity									
10. -WA-Short Term Bond	A	Interest			Sold	10/18/19	K	A	
11. -WA-Total Bond Fund	C	Interest	K	T	Sold (part)	10/18/19	N	C	
12. -Vanguard Balanced Fund	B	Int./Div.	M	T	Buy	10/18/19	M		
13. -Vanguard Equity Index	B	Dividend	M	T	Buy	10/18/19	M		
14. Vanguard - Brokerage									
15. -AUSTIN TX CMNTY CLLG DIST PUB FAC LES REV HAYS B/E	A	Interest	K	T					
16. -CORPUS CHRISTI TX RFDG GENL IMPT SER B B/E OID	A	Interest	K	T					
17. -GREENVILLE TX ELEC UTIL SYS REV RFDG B/E CPN	A	Interest			Redeemed	05/21/19			

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

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

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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)
18. -HARRIS CNTY TX CULTURAL FIN MED REV RFDG MTG A BAYLOR B/E OID	A	Interest	J	T					
19. -HARRIS CNTY TY CULTURAL ED FAC FIN CORP REV RFDG HOSP A B/E OID	A	Interest	K	T					
20. -HOUSTON TX RFDG PUB IMPT SER A B/E CPN	A	Interest	K	T					
21. -HOUSTON TX CMNTY CLLG SYS REV RFDG SR LIEN STDNT FEE AGM B/E CPN	A	Interest	J	T					
22. -HOUSTON TX INDPT SCH DIST RFDG SER B PSF GTD B/E CPN	A	Interest	J	T	Redeemed	02/15/19			
23. -ILLINOIS DEV FIN AUTH RETIRE REV REGENCY PK B ETM ZER	A	Interest	J	T					
24. -MIAMI DADE CNTY FL PUB SVC TAX REV RFDG UMSA IMPT AGM B/E CPN	A	Interest	J	T					
25. -MORaine OH SOLID WST XXX SUBMITTED FOR ESCROW REV GM CORP AMT CPN	A	Interest	J	T					
26. -TEXAS TECH UNIV REV RFDG & IMPT FING 12TH SER B/E CPN	A	Interest	J	T					
27. -UNIVERSITY HOUSTON TX REV RFDG CONS AGM B/E CPN	A	Interest	J	T					
28. -UNIVERSITY HOUSTON TX REV RFDG CONS AGM B/E CPN	A	Interest	J	T	Redeemed	03/29/19			
29. -UNIVERSITY HOUSTON TX REV RFDG CONS SYS SER A B/E OID	A	Interest	K	T					
30. -UNIVERSITY HOUSTON TX REV RFDG CONS SER A B/E CPN	A	Interest	K	T	Redeemed	03/29/19			
31. -UNIVERSITY NORTH TX REV RFDG FING SYS SER A B/E PTC CPN	A	Interest	K	T	Redeemed	04/15/19			
32. Vanguard Rollover IRA									
33. -Vanguard Intermediate Bond Fund (VBILX)	A	Interest	K	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
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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)
34. -Vanguard Prime Money Market (VMMXX)	A	Int./Div.	J	T					
35. -Vanguard Short Term Corp Bond Index	A	Int./Div.	K	T					
36. Vanguard Mutual Fund Account	F	Int./Div.	P1	T					
37. -Vanguard Mun BD Tax Exempt Bond Index EFT (VTEB)	A	Interest	K	T					
38. -Vanguard Prime Money Market Fund (VMMXX) Sweep Account	A	Interest	L	T	Buy (add'l)	03/30/19	J		
39. -iShares U. S. Preferred Stock ETF	A	Dividend	K	T					
40. -Vanguard Short Term Tax Exempt (VWSUX)	B	Interest	N	T					
41. -Vanguard High Yield Tax Exempt (VWIUX)	B	Interest	L	T					
42. --Vanguard Intermediate Term Tax Exempt (VWIUX)	B	Interest	O						
43. -Vanguard Equity Income Investor CL(VEIPX)	D	Dividend	J	T					
44. Vanguard Mun Bd Tax Exempt Bond Index EFT	A	Int./Div.	K	T	Buy	12/12/19	K		
45. Ishares Trust Ishares Preferred and Income SECS EFT	A	Int./Div.	K	T	Buy	12/12/19	K		

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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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/ **Jeffrey P. Norman**

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