

AO 10 Rev. 1/2014		FINANCIAL DISCLOSURE REPORT NOMINATION 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) Bennett, Alfred H.		2. Court or Organization U.S. District Court - Southern District of Texas		3. Date of Report 09/18/2014	
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Nominee, U.S. District Judge		5a. Report Type (check appropriate type) ☒ Nomination Date 09/18/2014 ☐ Initial ☐ Annual ☐ Final		5b. Reporting Period 01/01/2013 to 09/18/2014	
5b. ☐ Amended Report					
7. Chambers or Office Address Harris Civil Courthouse 201 Caroline Street, 9th Floor Houston, Texas 77002					
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.	Director	OST/Alameda Corridors Redevelopment Authority & Reinvestment Zone Number Seven
2.	Commissioner	Texas Access to Justice Commission
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.	

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. 2014	Salary for State Judgeship	\$111,529.13
2. 2013	Salary for State Judgeship	\$145,483.28
3. 2013	Teaching Salary - Texas Southern University	\$3,000.00
4. 2012	Salary for State Judgeship	\$140,000.00
5. 2012	Teaching Salary - Texas Southern University	\$3,000.00

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. 2014	Lyondell Chemical Co., Long-term incentive plan payment
2. 2013	Lyondell Chemical Co.: NextSource
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. Exempt				
2.				
3.				
4.				
5.				

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.	Exempt		
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) 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. Bank of America (accounts)	A	Interest	J	T	Exempt				
2. Wells Fargo Bank (accounts)	A	Interest	M	T					
3. Amazon (stock)		None	K	T					
4. College America 529 Capital Income Builder Fund		None	K	T					
5. American Funds Capital World Bond Fund	A	Dividend	L	T					
6. American Funds Capital World Growth and Income Fund	A	Dividend	L	T					
7. College America 529 Capital World Growth		None	K	T					
8. American Funds EuroPacific Growth Fund	A	Dividend	K	T					
9. American Funds Fundamental Investors Fund	A	Dividend	J	T					
10. American Funds Investment Company of America Fund	B	Dividend	M	T					
11. College America 529 Investment Company of America Fund		None	K	T					
12. American Funds New Economy Fund	A	Dividend	J	T					
13. American Funds New Perspective Fund	A	Dividend	K	T					
14. College America 529 New Perspective Fund		None	K	T					
15. American Funds SmallCap World Fund	A	Dividend	K	T					
16. American Funds The Growth Fund of America	A	Dividend	L	T					
17. College America 529 Growth Fund of America		None	L	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) 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. Ariel Appreciation Fund		None	J	T					
19. AT & T (stock)	A	Dividend	J	T					
20. Blackrock Equity Dividend 529 option		None	J	T					
21. Blackrock Growth Target-Risk 529 option		None	J	T					
22. Columbia Seligman Communication and Information Fund	A	Dividend	K	T					
23. Davis New York Venture Fund	A	Dividend	L	T					
24. Delaware High-Yield Opportunites Fund	A	Dividend	J	T					
25. Duke Energy Stock	A	Dividend	J	T					
26. Eaton Vance Dividend Builder Fund	A	Dividend	K	T					
27. Eaton Vance Worldwide Health Sciences Fund	A	Dividend	L	T					
28. Exxon-Mobil (stock)	A	Dividend	J	T					
29. First Eagle Fund of America	A	Dividend	K	T					
30. First Trust Capital Strength UIT	A	Dividend	J	T					
31. First Trust European Deep Value Dividend UIT	A	Dividend	K	T					
32. First Trust Innovative Technology UIT		None	K	T					
33. First Trust Mega-Cap UIT	A	Dividend	J	T					
34. First Trust SmallMid Capital Strength UIT	A	Dividend	K	T					

1. Income Gain Codes:
(See Columns B1 and D4)

2. Value Codes
(See Columns C1 and D3)

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(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
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

Name of Person Reporting	Date of Report
Bennett, Alfred H.	09/18/2014

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				
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35. First Trust Technology Dividend UIT	A	Dividend	K	T					
36. First Trust International Capital Strength UIT	A	Dividend	K	T					
37. Ford Motor Co. (stock)	A	Dividend	J	T					
38. Franklin Mutual Global Discovery Fund	A	Dividend	K	T					
39. Franklin Rising Dividends Fund	A	Dividend	K	T					
40. Freeport-McMoran Copper and Gold, Inc. (stock)	A	Dividend	J	T					
41. Hewlett-Packard (stock)	A	Dividend	J	T					
42. Kraft Foods (stock)	A	Dividend	J	T					
43. Lord Abbett Value Opportunities Fund	B	Dividend	K	T					
44. LyondellBasell (stock)	A	Dividend	K	T					
45. McDonald's (stock)	A	Dividend	J	T					
46. Merck (stock)	A	Dividend	J	T					
47. MPS Utilities Fund	A	Dividend	J	T					
48. Microsoft (stock)	A	Dividend	J	T					
49. Mondelez (stock)	A	Dividend	J	T					
50. PIMCO Long-Term US Government Fund	A	Dividend	J	T					
51. PIMCO Real Return Fund	A	Dividend	J	T					

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(See Columns B1 and D4)

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H2 = More than \$5,000,000
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Name of Person Reporting	Date of Report
Bennett, Alfred H.	09/18/2014

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52. PIMCO Total Return Fund	A	Dividend	J	T					
53. Powershares QQQ Trust, Series 1 (ETF)	A	Dividend	K	T					
54. Royce Premier Fund	B	Dividend	K	T					
55. Royce Special Equity Fund	A	Dividend	K	T					
56. Starbucks (stock)	A	Dividend	K	T					
57. Templeton World Fund	A	Dividend	K	T					
58. Atlanta GA Water and Waste bond	B	Interest	K	T					
59. Bay Area Toll Authority of California bond	B	Interest	K	T					
60. Beaumont, TX Independent School District bond	A	Interest	K	T					
61. Belton, TX Independent School District bond	A	Interest	J	T					
62. Carrollton GA Payroll Development Authority bond	B	Interest	K	T					
63. Chicago O'Hare International Airport bond	B	Interest	K	T					
64. Cypress-Fairbanks, TX Independent School District bond	A	Interest	K	T					
65. Detroit Sewage Disposal System bond	B	Interest	K	T					
66. Detroit, MI Water Supply System bond	B	Interest	K	T					
67. District of Columbia bond	C	Interest	K	T					
68. Elk Grove, CA Unified School District bond	B	Interest	K	T					

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69. Grayson County, TX Junior College bond	B	Interest	K	T					
70. Hawaii Pacific Health bond	B	Interest	K	T					
71. Houston, TX Utilities System bond	B	Interest	K	T					
72. Jacksonville, TX Independent School District bond	A	Interest	J	T					
73. Lucas County, OH Hospital bond	C	Interest	L	T					
74. NJ Transit Trust bond	A	Interest	J	T					
75. North Texas Thruway Authority bond	C	Interest	L	T					
76. Pennsylvania State Public Schools bond	B	Interest	K	T					
77. San Diego County, CA Water Authority Bond	A	Interest	J	T					
78. Tuscaloosa, AL Public Educational Building Bond	B	Interest	K	T					
79. TransAmerica Liberty 2008 Class L Annuity		None	N	T					
80. Chane Investment Holdings (rental property)	F	Rent	N	W					
81. UBS RMA Tax Free Fund	A	Interest	K	T					
82. Series EE Savings Bonds	A	Interest	J	T					
83. Allstate Universal Life Insurance		None	K	T					
84. NY Life Variable Life Insurance		None	K	T					
85. Puerto Rico Electric Power Authority Bond	A	Interest							

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(See Columns B1 and D4)

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Name of Person Reporting

Bennett, Alfred H.

Date of Report

09/18/2014

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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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)
86. Cummins Inc	A	Dividend							
87. First Trust Economic Expansion Portfolio UIT	A	Dividend							
88. Sacramento County Airport Bond	A	Interest							
89. Monterey Peninsula CA Bond	B	Interest							
90. California State Sync Bond	A	Interest							
91.									

1. Income Gain Codes:
(See Columns B1 and D4)

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(See Columns C1 and D3)

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

FINANCIAL DISCLOSURE REPORT Page 11 of 11	Name of Person Reporting	Date of Report
	Bennett, Alfred H.	09/18/2014

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/ Alfred H. Bennett**

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

FINANCIAL STATEMENT

NET WORTH

Provide a complete, current financial net worth statement which itemizes in detail all assets (including bank accounts, real estate, securities, trusts, investments, and other financial holdings) all liabilities (including debts, mortgages, loans, and other financial obligations) of yourself, your spouse, and other immediate members of your household.

ASSETS				LIABILITIES			
Cash on hand and in banks		131	679	Notes payable to banks-secured (auto)			
U.S. Government securities-Series EE bonds		5	000	Notes payable to banks-unsecured			
Listed securities -- see schedule	2	163	821	Notes payable to relatives			
Unlisted securities -- see schedule		662	109	Notes payable to others			
Accounts and notes receivable:				Accounts and bills due			
Due from relatives and friends				Unpaid income tax			
Due from others				Other unpaid income and interest			
Doubtful				Real estate mortgages payable -- personal residence		124	709
Real estate owned -- personal residence		575	000	Chattel mortgages and other liens payable			
Real estate mortgages receivable				Other debts-itemize:			
Autos and other personal property		110	000				
Cash value-life insurance		62	107				
Other assets itemize:							
				Total liabilities		124	709
				Net Worth	3	585	007
Total Assets	3	709	716	Total liabilities and net worth	3	709	716
CONTINGENT LIABILITIES				GENERAL INFORMATION			
As endorser, comaker or guarantor				Are any assets pledged? (Add schedule)	No		
On leases or contracts				Are you defendant in any suits or legal actions?	No		
Legal Claims				Have you ever taken bankruptcy?	No		
Provision for Federal Income Tax							
Other special debt							