

Judiciary Branch Personnel Financial Disclosure Report (AO Form 10)

Filer's Information

Hicks, S Maurice

Report Year: 2018

Electronic Signature - I certify that all information provided (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.

I further certify that earned income and honoraria and acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

/s/ S Maurice Hicks [electronically signed on 08/09/2019 by S Maurice Hicks in JEPS]

Certifying Official- I conclude that, based on the information contained in this report and to the best of my knowledge, this report is in compliance with the Ethics in Government Act, as amended, and other applicable laws and regulations.

[REDACTED]

I. Positions

#	ORGANIZATION NAME	ORGANIZATION TYPE	POSITION HELD
1	Centenary College of Louisiana	University/College	Lecturer/Adjunct Faculty Member
2	Children and Arthritis, Inc. (501(c) (3) organization)	Non-Profit	Board of Directors Member
3	Global Power Air Museum of Barksdale Air Force Base (501(c)(3) organization)	Non-Profit	Advisory Board Member
4	Paul M. Hebert Law Center, Louisiana State University	University/College	Board of Trustees

II. Agreements

None

III A. Filer's Non-Investment Income

None

III B. Spouse's Non-Investment Income

#	SOURCE	DESCRIPTION
1	Paralegal services - self-employed	

IV. Reimbursements

#	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1	Bar Group, Bar Organization, or Bar Association	04/12/2018 - 04/13/2018	New Orleans, LA	Activity of professional assoc or civic organization	Transportation, meals, lodging

V. Gifts

None

VI. Liabilities

#	CREDITOR	TYPE	VALUE
1	Midland Mortgage	Mortgage - Rental Property #1, Ruston, LA	\$15,001 - \$50,000
2	Progressive Bank	Line of Credit	\$15,001 - \$50,000
3	Northwestern Mutual	Personal Loan	\$15,001 - \$50,000

VII. Investments and Trusts

DESCRIPTION		INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
Capital One Bank Account #1		\$1,000 or less	Interest	\$15,000 or less	Cash Market			
State Farm Life Insurance Co. Universal Life		\$1,001 - \$2,500	Interest, Dividend	\$15,001 - \$50,000	Cash Market			
Northwestern Mutual Life Insurance Co. Whole Life		\$1,000 or less	Interest, Dividend	\$15,001 - \$50,000	Cash Market			
Timber Land, Lincoln Parish, Louisiana - 1/1/96	See Note	None	None	\$15,001 - \$50,000	Cost (Real Estate Only)			

DESCRIPTION		INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
Rental Property #1, Ruston, LA - 07/03/01	See Note	\$5,001 - \$15,000	Rent	\$50,001 - \$100,000	Cost (Real Estate Only)			
Red River Syndicate LP	See Note	\$15,001 - \$50,000	Dividend, Interest	\$50,001 - \$100,000	Book Value			
Janney, Montgomery Scott Brokerage Account - Cash		\$1,000 or less	Interest	\$15,000 or less	Cash Market			
IRA #2 Raymond James Bank Deposit Program		\$1,000 or less	Interest	\$15,001 - \$50,000	Cash Market			
Raymond James Bank Deposit Program-T		\$1,000 or less	Interest	\$15,000 or less	Cash Market			
IRA #3 Raymond James Bank Deposit Program		\$1,000 or less	Interest	None	Cash Market			
JP Morgan -Cash Acct.		None	None	\$15,000 or less	Cash Market			
Raymond James Bank Deposit Program-S		\$1,000 or less	Interest	\$15,000 or less	Cash Market			
IRA #2-Apple Incorporated		\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
IRA #2-Apple Incorporated						Sold	11/15/2018	\$15,000 or less
IRA #2-Cyrusone Incorporated		\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
IRA #2-W P Carey Inc.		\$1,001 - \$2,500	Dividend	\$15,001 - \$50,000	Cash Market			
IRA #2- Hydrogenics		None	None	\$15,000 or less	Cash Market			
Gilead Sciences - Janney		\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
Enlink Midstream - Janney		\$1,000 or less	Distribution	None	Cash Market			
Enlink Midstream - Janney						Sold	01/25/2018	\$15,000 or less

DESCRIPTION	INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
Enlink Midstream - Janney					Sold	11/17/2018	\$15,000 or less
IberiaBank	None	None	\$15,000 or less	Cash Market			
IRA #2- T. Rowe Price Blue Chip	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
IRA #2- T. Rowe Price Blue Chip					Purchased	05/14/2018	\$15,000 or less
IRA #2 - Dodge & Cox Stock Fund	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
IRA #2 - Dodge & Cox Stock Fund					Purchased	05/14/2018	\$15,000 or less
IRA #2 - Amazon	None	None	\$15,001 - \$50,000	Cash Market			
IRA #2 - Amazon					Sold	03/22/2018	\$15,000 or less
IRA #2 - Alphabet Inc	None	None	\$15,001 - \$50,000	Cash Market			
IRA #2 - Delaware Smal Cap	\$1,000 or less	Interest, Dividend	\$15,000 or less	Cash Market			
IRA #2- Fidelity Small Cap Growth Fund	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
IRA #2- Fidelity Small Cap Growth Fund					Sold	08/27/2018	\$15,000 or less
IRA #2 - AmCap Fund Class F2 American Funds	\$1,000 or less	Dividend	None	Cash Market			
IRA #2 - AmCap Fund Class F2 American Funds					Sold	03/22/2018	\$15,000 or less
IRA #2 - Pioneer Nat Res	\$1,000 or less	Dividend	None	Cash Market			
IRA #2 - Pioneer Nat Res					Sold	01/11/2018	\$15,001 - \$50,000
IRA #3 - Genesis Energy LP	\$1,000 or less	Distribution	None	Cash Market			

DESCRIPTION	INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
IRA #3 - Genesis Energy LP					Sold	01/03/2018	\$15,000 or less
Raymond James S - Cash Account	None	None	None	Cash Market			
Raymond James S - Cash Account					Closed	10/09/2018	\$15,000 or less
IRA #2 - MSIF International Opp Fund	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
IRA #2 - MSIF International Opp Fund					Purchased	05/14/2018	\$15,000 or less
IRA #2 - Vanguard REIT Index Fund Admiral Shares	\$1,000 or less	Dividend	None	Cash Market			
IRA #2 - Vanguard REIT Index Fund Admiral Shares					Sold	12/19/2018	\$15,000 or less
IRA #2 - Eaton Vance Atlanta Capital SMID Cap Fund	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
IRA #2 - Eaton Vance Atlanta Capital SMID Cap Fund					Purchased	05/15/2018	\$15,000 or less
IRA #2 - Invesco Diversified Dividend Fund	\$1,000 or less	Dividend	None	Cash Market			
IRA #2 - Invesco Diversified Dividend Fund					Sold	03/22/2018	\$15,000 or less
IRA #2 - Capital Income Builder Fund	\$1,000 or less	Dividend	None	Cash Market			
IRA #2 - Capital Income Builder Fund					Sold	08/24/2018	\$15,000 or less
IRA #2 - Pioneer Bond Fund	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
IRA #2 - Pioneer Bond Fund					Purchased	05/15/2018	\$15,000 or less
IRA #2 - Fidelity OTC Portfolio Fund	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			

DESCRIPTION	INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
IRA #2 - Fidelity OTC Portfolio Fund					Purchased	05/14/2018	\$15,000 or less
IRA #2 - Fidelity OTC Portfolio Fund					Purchased	08/28/2018	\$15,000 or less
IRA #2 - Dodge & Cox Income Fund	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
IRA #2 - Dodge & Cox Income Fund					Purchased	05/14/2018	\$15,000 or less
IRA #2 - GNMA REMIC Trust 2009-87	\$1,000 or less	Interest	None	Cash Market			
IRA #2 - GNMA REMIC Trust 2009-87					Sold	05/21/2018	\$15,000 or less
IRA #2 - GNMA REMIC Trust 2010-162	\$1,000 or less	Interest	\$15,000 or less	Cash Market			
IRA #2 - Vanguard Wellesley Income Fund Admiral Shares	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
Capital One Bank Account #2 (X)	\$1,000 or less	Interest	\$15,000 or less	Cash Market			
Capital One Bank Account #3 (X)	None	None	\$15,000 or less	Cash Market			
Capital One Bank Account #4 (X)	\$1,000 or less	Interest	\$15,001 - \$50,000	Cash Market			
Capital One Bank Account #5 (X)	\$1,000 or less	Interest	\$15,000 or less	Cash Market			
IRA #2- Youngevity International Incorp Com New	None	None	\$15,000 or less	Cash Market			
IRA #2- Youngevity International Incorp Com New					Purchased	01/02/2018	\$15,000 or less
IRA #2- American Century Ultra Fund Investor Shares N/L	None	None	\$15,000 or less	Cash Market			
IRA #2- American Century Ultra Fund Investor Shares N/L					Purchased	08/28/2018	\$15,000 or less

DESCRIPTION	INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
IRA #2- Blackrock Mid Cap Growth Equity Portfolio Ins Class	None	None	\$15,000 or less	Cash Market			
IRA #2- Blackrock Mid Cap Growth Equity Portfolio Ins Class					Purchased	08/28/2018	\$15,000 or less
IRA #2- Cohen & Steers Real Estate Securities Fund Class I	None	None	\$15,000 or less	Cash Market			
IRA #2- Cohen & Steers Real Estate Securities Fund Class I					Purchased	12/20/2018	\$15,000 or less
IRA #2-Fidelity Advisor International Real Estate Fund Class I	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
IRA #2-Fidelity Advisor International Real Estate Fund Class I					Purchased	03/26/2018	\$15,000 or less
IRA #2-Fidelity Advisor International Real Estate Fund Class I					Purchased	05/15/2018	\$15,000 or less
IRA #2- Franklin Dynatech Fund Advisor Class	None	None	\$15,000 or less	Cash Market			
IRA #2- Franklin Dynatech Fund Advisor Class					Purchased	08/29/2018	\$15,000 or less
IRA #2- Franklin Convertible Securities Fund Advisor Class	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
IRA #2- Franklin Convertible Securities Fund Advisor Class					Purchased	08/24/2018	\$15,000 or less
IRA #2- Franklin Convertible Securities Fund Advisor Class					Purchased	08/29/2018	\$15,000 or less
IRA #2- Goldman Sachs Small Cap Value Insights FD Investor	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
IRA #2- Goldman Sachs Small Cap Value Insights FD Investor					Purchased	08/29/2018	\$15,000 or less

DESCRIPTION	INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
IRA #2- Janus Henderson Enterprise Fund Class I	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
IRA #2- Janus Henderson Enterprise Fund Class I					Purchased	05/14/2018	\$15,000 or less
IRA #2 - New Perspective Fund Class F2	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
IRA #2 - New Perspective Fund Class F2					Purchased	05/15/2018	\$15,000 or less
IRA #2- Vanguard Equity Income Fund Admiral Shares	None	None	\$15,000 or less	Cash Market			
IRA #2- Vanguard Equity Income Fund Admiral Shares					Purchased	03/23/2018	\$15,000 or less
IRA #2 - Vanguard Explorer Fund Admiral Shares	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
IRA #2 - Vanguard Explorer Fund Admiral Shares					Purchased	05/14/2018	\$15,000 or less
IRA #2 - Vanguard Explorer Fund Admiral Shares					Sold	08/27/2018	\$15,000 or less
IRA #2 - Virtus Kar Small Cap Growth Fund	None	None	\$15,000 or less	Cash Market			
IRA #2 - Virtus Kar Small Cap Growth Fund					Purchased	05/15/2018	\$15,000 or less
IRA #2 - Virtus Kar Small Cap Growth Fund					Purchased	08/28/2018	\$15,000 or less
IRA #2 - Pacer Trendpilot US Large Cap	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
IRA #2 - Pacer Trendpilot US Large Cap					Purchased	02/07/2018	\$15,000 or less
IRA #2 - Pacer Trendpilot US Large Cap					Purchased	08/27/2018	\$15,000 or less
Pacer Trendpilot US Large Cap ETF- Raymond James T	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			

DESCRIPTION	INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
Pacer Trendpilot US Large Cap ETF- Raymond James T					Purchased	02/07/2018	\$15,000 or less
Energy Transfer LTD - Janney	\$1,000 or less	Interest, Dividend	\$15,000 or less	Cash Market			
Energy Transfer LTD - Janney					Purchased	11/15/2018	\$15,000 or less
Bank of America Corp - Janney	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
Bank of America Corp - Janney					Purchased	01/01/2018	\$15,000 or less
Citigroup Inc - Janney	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
Citigroup Inc - Janney					Purchased	01/01/2018	\$15,000 or less

Additional Information or Explanation

PART	#	NOTE
VII.	4	\$30,000
VII.	5	\$74,000
VII.	6	\$50,001 - \$100,000