

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) Engelhardt, Kurt D.	2. Court or Organization United States Fifth Circuit Court of Appeals	3. Date of Report 02/17/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Circuit Judge - Active	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 John Minor Wisdom United States Court of Appeals Building 600 Camp Street, Room 230 New Orleans, Louisiana 70130		
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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Member - Board of Directors (Uncompensated)	Cancer Association of Greater New Orleans (CAGNO)
2. Member - Dean's Advisory Planning Board (Uncompensated)	Louisiana State University - College of Humanities & Social Sciences
3. Trustee (Uncompensated)	Special Needs Trust
4.	
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.	

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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. 2019	Parish of Jefferson-24th Judicial District Court - Administrative Assistant
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. Houston Bar Association	04/09/2019	Houston, TX	CLE Presentation to the Federal Practice Section of the Houston Bar Association	Transportation
2. The Federalist Society	11/13/2019-11/15/2019	Washington, DC	Panel Moderator at The Federalist Society National Lawyers Convention	Transportation, Meals, Hotel
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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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. New York Life - LifeStages Variable Annuity (H)									
2. - MainStay VP MacKay S&P 500 Index (High)	A	Dividend	J	T					
3. - MainStay VP MacKay Growth Initial CL. (High)	A	Dividend	J	T					
4. - MainStay VP Income Builder Initial CL. (Moderate)	A	Dividend	J	T					
5. - MainStay VP MacKay Common Stock Initial CL. (High)	A	Dividend	J	T					
6. - MainStay VP MacKay High Yield Corporate Bond Initial CL.-Moderate	A	Dividend	K	T					
7. - Fidelity VIP Equity - Income Initial CL. (High)	A	Dividend	J	T					
8. - Fidelity VIP Contrafund Initial CL. (High)	A	Dividend	J	T					
9. - Janus Henderson Global Research Portfolio - Institut. Shares-High	A	Dividend	J	T					
10. - MainStay VP MacKay Convertible - Initial CL. (Moderate)	B	Dividend	K	T					
11. - MainStay VP Large Cap Growth - Initial CL. (High)	A	Dividend	J	T					
12. - MainStay VP MacKay Mid Cap Core - Initial CL. (High)	A	Dividend	J	T					
13. - MainStay VP MacKay Small Cap Core - Initial CL. (High)	B	Dividend	K	T					
14. - MainStay VP Epoch U.S. Equity Yield - Initial CL. (High)	B	Dividend	K	T					
15. - MainStay VP Janus Henderson Balanced - Initial CL. (Moderate)	A	Dividend	J	T					
16. New York Life Annuity - Fixed	B	Interest	K	T					
17. New York Life Whole Life Policy #1	B	Dividend	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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	(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. New York Life Whole Life Policy #2	A	Dividend	K	T					
19. New York Life Secure Term Choice Fixed Annuity	A	Interest	K	T					
20. AT&T (stock)	A	Dividend	J	T	Redeemed (part)	03/05/19	K		
21. LPL Financial - IRA	A	Dividend	K	T	Redeemed (part)	07/13/19	L		
22. - AB Relative Value Advisor CL CBBYX	A	Dividend	J	T					
23. - American Funds American Balanced CL F2 AMBFX	A	Dividend	J	T					
24. - Capital Income Builder CL F2 CAIFX	A	Dividend	J	T					
25. - Catalyst Millburn Hedge Strategy CL I MBXIX	A	Dividend	J	T					
26. - Cohen & Steers Real Estate Securities CL I CSDIX	A	Dividend	J	T					
27. - Columbia Quality Income Instl CL CUGZX	A	Dividend	J	T					
28. - Delaware Small Cap Value Instl CL DEVIX	A	Dividend	J	T					
29. - Delaware Value Instl CL DDVIX	B	Dividend	J	T					
30. - Hartford Core Equity CL I HGIIX	B	Dividend	J	T					
31. - Janus Henderson Global Life Sciences CL T JAGLX	A	Dividend	J	T					
32. - Lord Abbett Short Duration Income CL F LDLFX	A	Dividend	J	T					
33. - Invesco Oppenheimer Intl Growth CL Y OIGYX	A	Dividend	J	T					
34. - Pioneer Bond CL Y PICYX	A	Dividend	J	T					

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		
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35. - PGIM Jennison Health Sciences CL Z PHSZX	A	Dividend	J	T					
36. - SPDR Series Trust S&P Dividend ETF SDY	B	Dividend	J	T					
37. - T Rowe Price Global Technology Investor CL PRGTX	A	Dividend	J	T					
38. - Vanguard Strategic Equity Investor CL VSEQX	A	Dividend	J	T					
39. - 683801407 Oppenheimer Intl Growth CL Y	A	Dividend	J	T					
40. Jefferson Parish Retirement Plan	A	Dividend	K	W					See Explanation-Part VIII
41. Special Needs Trust (H)									
42. - JPMorgan Chase Bank (Fixed)	A	Interest	M	T					
43. Travelers Pension Accout (Fixed)	A	Interest	K	T					

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

Line 40 - Jefferson Parish Retirement Plan - The Jefferson Parish Retirement Plan is a plan maintained, controlled and owned by Jefferson Parish. It is a 401A - defined benefit government Pension Plan. There are no provisions for making loans from this account regardless of need.

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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/ **Kurt D. Engelhardt**

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