

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) Palermo, Dena E.	2. Court or Organization U.S. District Court for the Southern District of Texas	3. Date of Report 08/10/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States Magistrate Judge (FT)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2019 to 12/31/2019
7. Chambers or Office Address United States District Court for the Southern District of Texas 515 Rusk Street 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.		
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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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.		
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.)

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.)



NONE (No reportable reimbursements.)

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

1.				
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.			
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.	Tuition Management Systems	College Tuition	None
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)	(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. INDIVIDUAL ASSETS (H)									
2. Wells Fargo (cash)	A	Interest	J	T					
3. IRA #1(H)									
4. FDIC Ins Dep at BNY Mellon (cash)		None			Closed	05/08/19	K		
5. FDIC Ins Dep at Citibank (cash) (Y)									
6. Fidelity Govt Money Market (SPAXX)	A	Dividend			Sold	05/08/19	L		
7. Vanguard Federal Money Market Fund (cash)	A	Dividend	L	T	Open	05/08/19	L		
8. Fidelity Growth Co (FDGRX)	B	Dividend	L	T					
9. Fidelity 500 Index Fund (FXAIX)	D	Dividend	N	T					
10. Fidelity U.S. Bond Index Fund (FXNAX)	A	Dividend	K	T					
11. IRA #2 (H)									
12. Vanguard Federal Money Market Fund (cash) (X)	A	Dividend	K	T					
13. Vanguard Div Growth (VDIGX)	D	Dividend	M	T					
14. Vanguard 500 Index Adm (VFIAX)	C	Dividend	M	T					
15. Vanguard ST Inv Grade Fund Inv Sh (VFSTX)	A	Dividend	K	T					
16. Vanguard Health Care Fund (VGHAX)	D	Dividend	L	T	Sold (part)	09/23/19	K		
17. Vanguard Cap Oppty Fund Adm (VHCAX)	D	Dividend	M	T	Buy (add'l)	09/23/19	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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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. Vanguard Primecap Core Investor (VPCCX)	C	Dividend	L	T	Buy	09/23/19	L		
19. Vanguard Total Stock Market Index Admiral (VTSAX)		None	K	T	Buy	12/30/19	K		
20. Vanguard Treas Money Market (VUSXX)	B	Dividend	K	T	Sold (part)	12/30/19	K		
21. Vanguard HY Corp (VWEHX)	B	Dividend	L	T	Buy (add'l)	09/23/19	K		
22. Vanguard Internatl Growth Inv Shares (VWILX)	A	Dividend	L	T	Buy (add'l)	09/23/19	J		
23. Vanguard Energy Fund (VGELX)	A	Dividend			Sold	09/23/19	J		
24. Vanguard Selected Value Fund (VASVX)		None			Sold	09/23/19	L		
25. IRA #3 (H)									
26. Vanguard Gr Index (VIGAX)	A	Dividend	J	T					
27. BROKERAGE ACCOUNT #1 (H)									
28. Vanguard Municipal Money Market Fund (VMSXX) (Y)									
29. Vanguard 500 Index Admiral (VFIAX)	A	Dividend	J	T	Buy	07/12/19	J		
30. Vanguard Cap Oppty Fund Adm (VHCAX)	A	Dividend	J	T					
31. Vanguard Primecap Fund Core Fund (VPCCX)	A	Dividend	J	T					
32. Vanguard Primecap Fund Inv Shares (VPMCX)	B	Dividend	J	T	Sold (part)	12/30/19	K		
33. Vanguard Mut Fund Vang 500 Ind (VFINX)	A	Dividend			Sold	07/12/19	J		
34. Vanguard Energy Fund (VGENX) (Y)									

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

Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value, per page 42 of the filing instructions.

Fid 500 Index Fund (FXAIX) was Fid 500 Index Fund (FUSVX).

Fid U.S. Bond Index Fund (FXNAX) was Fid U.S. Bond Index Fund (FXNAX).

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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/ Dena E. Palermo**

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
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