

Judiciary Branch Personnel

Financial Disclosure Report (AO Form 10)

Filer's Information

Hicks, S Maurice

Report Year: 2019

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/ Hicks, S Maurice [electronically signed on 08/14/2020 by Hicks, S Maurice in JEPS]

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	Self Employed	Management Fees

IV. Reimbursements

#	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1	Bar Group, Bar Organization or Bar Association	04/11/2019 - 04/12/2019	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	None
2	Progressive Bank	Line of Credit	\$15,001 - \$50,000
3	Northwestern Mutual	Personal Loan	\$15,001 - \$50,000
4	Origin Bank	Mortgage (Investment / Rental Property)	None

VII. Investments and Trusts

#	DESCRIPTION	INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
1	Capital One Bank Account #1	\$1,000 or less	Interest	\$15,000 or less	Cash Market			
2	State Farm Life Insurance Co. Universal Life	\$1,000 or less	Interest, Dividend	\$15,001 - \$50,000	Cash Market			
3	Northwestern Mutual Life Insurance Co. Whole Life	\$1,000 or less	Interest, Dividend	\$15,001 - \$50,000	Cash Market			

#	DESCRIPTION		INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
4	Timber Land, Lincoln Parish, Louisiana - 1/1/96	See Note	None	None	\$15,001 - \$50,000	Cost (Real Estate Only)			
5	Rental Property #1, Ruston, LA - 07/03/01	See Note	\$5,001 - \$15,000	Rent	None	Cost (Real Estate Only)			
5.1	Rental Property #1, Ruston, LA - 07/03/01						Sold	07/05/2019	\$50,001 - \$100,000
6	Red River Syndicate LP	See Note	\$5,001 - \$15,000	Dividend, Interest, Gain	\$50,001 - \$100,000	Book Value			
7	Janney, Montgomery Scott Brokerage Account - Cash		\$1,000 or less	Interest	\$15,000 or less	Cash Market			
8	IRA #2 Raymond James Bank Deposit Program		\$1,000 or less	Interest	\$15,001 - \$50,000	Cash Market			
9	Raymond James Bank Deposit Program-T		\$1,000 or less	Interest	\$15,000 or less	Cash Market			
10	JP Morgan -Cash Acct.		None	None	\$15,000 or less	Cash Market			
11	Raymond James Bank Deposit Program-S		\$1,000 or less	Interest	\$15,000 or less	Cash Market			
12	IRA #2-Apple Incorporated		\$1,000 or less	Dividend	None	Cash Market			
12.1	IRA #2-Apple Incorporated						Distributed	12/31/2019	\$15,000 or less
13	IRA #2-Cyrusone Incorporated		\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
14	IRA #2-W P Carey Inc.		\$1,001 - \$2,500	Dividend	\$15,001 - \$50,000	Cash Market			
14.1	IRA #2-W P Carey Inc.						Sold	11/06/2019	\$15,000 or less
15	IRA #2- Hydrogenics		None	None	None	Cash Market			
15.1	IRA #2- Hydrogenics						Sold	09/12/2019	\$15,000 or less

#	DESCRIPTION	INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
16	Gilead Sciences - Janney	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
17	IberiaBank	None	None	\$15,000 or less	Cash Market			
18	IRA #2- T. Rowe Price Blue Chip	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
19	IRA #2 - Dodge & Cox Stock Fund	\$1,000 or less	Dividend	None	Cash Market			
19.1	IRA #2 - Dodge & Cox Stock Fund					Sold	03/11/2019	\$15,000 or less
20	IRA #2 - Amazon	None	None	None	Cash Market			
20.1	IRA #2 - Amazon					Distributed	12/31/2019	\$15,001 - \$50,000
21	IRA #2 - Alphabet Inc	None	None	None	Cash Market			
21.1	IRA #2 - Alphabet Inc					Distributed	12/31/2019	\$15,001 - \$50,000
22	IRA #2 - Delaware Smal Cap	\$1,000 or less	Interest, Dividend	None	Cash Market			
22.1	IRA #2 - Delaware Smal Cap					Sold	03/12/2019	\$15,000 or less
23	IRA #2- Fidelity Small Cap Growth Fund	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
23.1	IRA #2- Fidelity Small Cap Growth Fund					Purchased	03/11/2019	\$15,000 or less
24	IRA #2 - MSIF International Opp Fund	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
24.1	IRA #2 - MSIF International Opp Fund					Purchased	03/11/2019	\$15,000 or less
25	IRA #2 - Eaton Vance Atlanta Capital SMID Cap Fund	\$1,000 or less	Dividend	None	Cash Market			

#	DESCRIPTION	INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
25.1	IRA #2 - Eaton Vance Atlanta Capital SMID Cap Fund					Sold	03/12/2019	\$15,000 or less
26	IRA #2 - Pioneer Bond Fund	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
26.1	IRA #2 - Pioneer Bond Fund					Sold	10/24/2019	\$15,000 or less
27	IRA #2 - Fidelity OTC Portfolio Fund	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
27.1	IRA #2 - Fidelity OTC Portfolio Fund					Sold	10/28/2019	\$15,000 or less
28	IRA #2 - Dodge & Cox Income Fund	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
28.1	IRA #2 - Dodge & Cox Income Fund					Sold	03/11/2019	\$15,000 or less
29	IRA #2 - GNMA REMIC Trust 2010-162	\$1,000 or less	Interest	\$15,000 or less	Cash Market			
30	IRA #2 - Vanguard Wellesley Income Fund Admiral Shares	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
30.1	IRA #2 - Vanguard Wellesley Income Fund Admiral Shares					Sold	03/11/2019	\$15,000 or less
31	Capital One Bank Account #2	None	None	\$15,000 or less	Cash Market			
32	Capital One Bank Account #3	None	None	\$15,000 or less	Cash Market			
33	Capital One Bank Account #4	None	None	\$15,000 or less	Cash Market			
34	Capital One Bank Account #5	\$1,000 or less	Interest	\$15,001 - \$50,000	Cash Market			
35	IRA #2- Youngevity International Incorp Com New	None	None	None	Cash Market			

#	DESCRIPTION	INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
35.1	IRA #2- Youngevity International Incorp Com New					Distributed	12/31/2019	\$15,000 or less
36	IRA #2- American Century Ultra Fund Investor Shares N/L	None	None	None	Cash Market			
36.1	IRA #2- American Century Ultra Fund Investor Shares N/L					Sold	10/23/2019	\$15,000 or less
37	IRA #2- Blackrock Mid Cap Growth Equity Portfolio Ins Class	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
37.1	IRA #2- Blackrock Mid Cap Growth Equity Portfolio Ins Class					Purchased	03/11/2019	\$15,000 or less
38	IRA #2- Cohen & Steers Real Estate Securities Fund Class I	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
38.1	IRA #2- Cohen & Steers Real Estate Securities Fund Class I					Purchased	03/11/2019	\$15,000 or less
39	IRA #2-Fidelity Advisor International Real Estate Fund Class I	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
40	IRA #2- Franklin Dynatech Fund Advisor Class	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
41	IRA #2- Franklin Convertible Securities Fund Advisor Class	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
42	IRA #2- Goldman Sachs Small Cap Value Insights FD Investor	\$1,000 or less	Dividend	None	Cash Market			
42.1	IRA #2- Goldman Sachs Small Cap Value Insights FD Investor					Sold	03/12/2019	\$15,000 or less
43	IRA #2- Janus Henderson Enterprise Fund Class I	\$1,000 or less	Dividend	None	Cash Market			

#	DESCRIPTION	INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
43.1	IRA #2- Janus Henderson Enterprise Fund Class I					Sold	03/11/2019	\$15,000 or less
44	IRA #2 - New Perspective Fund Class F2	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
45	IRA #2- Vanguard Equity Income Fund Admiral Shares	None	None	None	Cash Market			
45.1	IRA #2- Vanguard Equity Income Fund Admiral Shares					Sold	03/11/2019	\$15,000 or less
46	IRA #2 - Vanguard Explorer Fund Admiral Shares	\$1,000 or less	Dividend	None	Cash Market			
46.1	IRA #2 - Vanguard Explorer Fund Admiral Shares					Sold	11/29/2019	\$15,000 or less
47	IRA #2 - Virtus Kar Small Cap Growth Fund	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
47.1	IRA #2 - Virtus Kar Small Cap Growth Fund					Purchased	03/12/2019	\$15,000 or less
48	IRA #2 - Pacer Trendpilot US Large Cap	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
49	Pacer Trendpilot US Large Cap ETF- Raymond James T	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
50	Energy Transfer LTD - Janney	\$1,000 or less	Interest, Dividend	\$15,000 or less	Cash Market			
51	Bank of America Corp - Janney	\$1,000 or less	Dividend	None	Cash Market			
51.1	Bank of America Corp - Janney					Sold	07/17/2019	\$15,000 or less
52	Citigroup Inc - Janney	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
53	IRA #2 - AMG Yacktman Focused Fund	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
53.1	IRA #2 - AMG Yacktman Focused Fund					Purchased	03/11/2019	\$15,000 or less

#	DESCRIPTION	INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
54	IRA #2 - AMG FQ Long-Short Equity Fund	\$1,000 or less	Dividend	None	Cash Market			
54.1	IRA #2 - AMG FQ Long-Short Equity Fund					Purchased	03/11/2019	\$15,000 or less
54.2	IRA #2 - AMG FQ Long-Short Equity Fund					Sold	10/28/2019	\$15,000 or less
55	SPDR S&P 600 Small Cap ETF	\$1,000 or less	Dividend	None	Cash Market			
55.1	SPDR S&P 600 Small Cap ETF					Purchased	03/11/2019	\$15,000 or less
55.2	SPDR S&P 600 Small Cap ETF					Sold	10/29/2019	\$15,000 or less
56	IRA #2 - Vanguard Dividend Appreciation	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
56.1	IRA #2 - Vanguard Dividend Appreciation					Purchased	03/11/2019	\$15,000 or less
57	IRA #2 - Invesco S&P Midcap Low Volatility	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
57.1	IRA #2 - Invesco S&P Midcap Low Volatility					Purchased	03/11/2019	\$15,000 or less
58	IRA #2 - Lord Abbett Short Duration Income Fund	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
58.1	IRA #2 - Lord Abbett Short Duration Income Fund					Purchased	03/12/2019	\$15,000 or less
58.2	IRA #2 - Lord Abbett Short Duration Income Fund					Purchased	10/29/2019	\$15,000 or less
59	IRA #2 - Western Asset Core Bond	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
59.1	IRA #2 - Western Asset Core Bond					Purchased	10/23/2019	\$15,000 or less
60	IRA #2 - Brown Advisory Sustainability Growth 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
60.1	IRA #2 - Brown Advisory Sustainability Growth Fund					Purchased	10/23/2019	\$15,000 or less
61	IRA #2 - AMG River Road Small Cap Value Fund	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
61.1	IRA #2 - AMG River Road Small Cap Value Fund					Purchased	10/28/2019	\$15,000 or less
62	IRA #2 - Fidelity Advisor Growth Opportunities Fund	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
62.1	IRA #2 - Fidelity Advisor Growth Opportunities Fund					Purchased	10/29/2019	\$15,000 or less
63	IRA #2 - Columbia Mortgage Opportunities Fund	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
63.1	IRA #2 - Columbia Mortgage Opportunities Fund					Purchased	11/29/2019	\$15,000 or less
64	IRA #2 - PIMCO Long Term Credit Bond Fund	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
64.1	IRA #2 - PIMCO Long Term Credit Bond Fund					Purchased	11/29/2019	\$15,000 or less
65	IRA #2 - ISHARES TR Edge MSCI MINM	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
65.1	IRA #2 - ISHARES TR Edge MSCI MINM					Purchased	11/29/2019	\$15,000 or less
66	BancorpSouth Checking (X)	None	None	\$15,000 or less	Cash Market			
67	IRA #3 - Alphabet Incorporated	None	None	\$15,001 - \$50,000	Cash Market			
67.1	IRA #3 - Alphabet Incorporated					Opened	12/31/2019	\$15,001 - \$50,000
68	IRA #3 - Amazon	None	None	\$15,001 - \$50,000	Cash Market			
68.1	IRA #3 - Amazon					Opened	12/31/2019	\$15,001 - \$50,000

#	DESCRIPTION	INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
69	IRA #3 - Apple	None	None	\$15,000 or less	Cash Market			
69.1	IRA #3 - Apple					Opened	12/31/2019	\$15,000 or less
70	IRA #3 - Youngevity International	None	None	\$15,000 or less	Cash Market			
70.1	IRA #3 - Youngevity International					Opened	12/31/2019	\$15,000 or less
71	IRA #3 - Raymond James Bank Deposit	None	None	\$15,000 or less	Cash Market			
71.1	IRA #3 - Raymond James Bank Deposit					Opened	12/31/2019	\$15,000 or less
72	IRA #4 - Raymond James Bank Deposit	None	None	\$15,000 or less	Cash Market			
72.1	IRA #4 - Raymond James Bank Deposit					Opened	12/31/2019	\$15,000 or less
73	Origin Bank	\$1,000 or less	Interest	\$15,001 - \$50,000	Cash Market			
73.1	Origin Bank					Opened	06/21/2019	\$15,000 or less
74	CVS Health Corp - Janney	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
74.1	CVS Health Corp - Janney					Purchased	10/21/2019	\$15,000 or less

Additional Information or Explanation

PART	#	NOTE
VII.	4	Purchase price \$30,000

PART	#	NOTE
VII.	5	Purchase price \$74,000
VII.	6	Book value \$50,001 - \$100,000