

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

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) Harmon, Melinda	2. Court or Organization U. S. District Court Southern District of Texas	3. Date of Report 05/12/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Senior Status Article III Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2020 to 12/31/2020
7. Chambers or Office Address 2435 Del Monte Drive Houston Texas 77019		
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. 12/31/1987	Exxon Mobil Pension Plan
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. 2020	ExxonMobil Employment Pension	\$15,825.48
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. 2020	Partner, Crain, Caton & James Law Firm
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.				
2.				
3.				
4.				
5.				

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Harmon, Melinda	05/12/2021

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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Name of Person Reporting

Harmon, Melinda

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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. IRA #1 (H)									
2. ----ExxonMobil	F	Dividend	O	T					
3. ---Invesco Amer Franchise A	F	Dividend	P1	T					
4. ---Morgan Stanley Bank Deposit Program	A	Interest	J	T					
5. IRA #2 (H)									
6. ----Morgan Stanley Bank Deposit Program	A	Interest	J	T					
7. ----Invesco Amer Franchise A	D	Dividend	M	T					
8. MORGAN STANLEY Active Assets Account #2 (H)									
9. ----Invesco Amer Franchise A	E	Dividend	M	T					
10. ----ExxonMobil	C	Dividend	K	T					
11. ----Morgan Stanley Private Bank Deposit	A	Interest	J	T					
12. IRA #3 (H).									
13. ----Triumph Resources		None	J	T					
14. ----Invesco Amer Franchise A	D	Dividend	L	T	Sold (part)	03/09/20	J	B	
15.					Sold (part)	03/26/20	J	A	
16.					Sold (part)	03/26/20	J	A	
17.					Sold (part)	03/26/20	J	A	

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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Harmon, Melinda

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☐ 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.					Sold (part)	03/26/20	J	A	
19.					Sold (part)	03/26/20	J	B	
20.					Sold (part)	05/18/20	J	B	
21.					Sold (part)	05/22/20	J	A	
22. ----AB LARGE-CAP GRW A	B	Dividend	K	T	Sold (part)	03/26/20	J	C	
23. ----Alternate Investment TCG BDC II		None	M	T					
24. ----Morgan Stanley Bank Deposit Program	A	Interest	J	T					
25. MORGAN STANLEY Active Assets Account #1 (H)									
26. ----Alliance Bernstein Large Cap Growth Fund A	A	Dividend	J	T	Sold (part)	07/17/20	J	C	
27. ----Invesco Amer Franchise A	B	Dividend	J	T	Sold (part)	07/17/20	J	C	
28. ----Morgan Stanley Pruvate Bank NA	A	Interest	J	T					
29. LAW FIRM 401 K PROFIT SHARING PLAN (H)									
30. ----BNY MELLON APPRECIATION INVESTOR DGAGX	E	Dividend	N	T					
31. ----ALL CAP INDEX EQUITY FUND R2		None	P1	T					
32. REAL ESTATE, DALLAS, DALLAS COUNTY, TX PARCEL 2	B	Rent	J	Q					
33. EXTRAORDINARY LIFE POLICY, NORTHWESTERN MUTUAL	B	Dividend	L	T					
34. NORTHWESTERN MUTUAL "65 LIFE" POLICY #1	A	Dividend	J	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	
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35. NORTHWESTERN MUTUAL "65 LIFE" POLICY #2	A	Dividend	J	T					
36. NORTHWESTERN MUTUAL "65 LIFE" POLICY #3	A	Dividend	J	T					
37. Brokerage Account #1 (H)									
38. ----JNJ common	A	Dividend			Sold	04/03/20	J		
39. ----MSFT common	A	Dividend			Sold	04/03/20	J		
40. ----Raymond James Bank Deposit Program	A	Interest	J	T					
41. ----TXN common	A	Dividend			Sold	04/03/20	J		
42. ----MRK common	A	Dividend			Sold	04/03/20	J		
43. ----UTX common	A	Dividend			Sold	04/03/20	J		
44. ----GOOGL common		None			Sold	04/03/20	J		
45. ----AAPL common	A	Dividend			Sold	04/03/20	J		
46. ----HD common	A	Dividend			Sold	04/03/20	J		
47. ----CSCO common	A	Dividend			Sold	04/03/20	J		
48. ----JPM	A	Dividend			Sold	04/03/20	J		
49. ----GIS	A	Dividend			Sold	04/03/20	J		
50. ----MDT	A	Dividend			Sold	04/03/20	J		
51. ----AMZN		None			Sold	04/03/20	J		

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52. ----PFE	A	Dividend			Sold	04/03/20	J		
53. CHASE CHECKING	A	Interest	K	T					
54. CHASE SAVINGS	A	Interest	K	T					
55. BROKERAGE ACCOUNT #2 (H)									
56. ----XOM common	A	Dividend	J	T					
57. ----Raymond James Bank Deposit Program	A	Interest	J	T					
58. BROKERAGE ACCOUNT # 3 (H)									
59. ----iShares MSCI EAFE Small Cap Et	A	Dividend	J	T					
60. ----iShaes Russ 2000 ETF	A	Dividend	J	T					
61. ----iShares Russ 3000 ETF	A	Dividend	J	T					
62. ----iShares MSCI EAFE Value ETF	A	Dividend	J	T					
63. ----Vanguard FTSE Dev Mkts EIF	A	Dividend	J	T					
64. ----Vanguard Large Cap ETF	A	Dividend	J	T					
65. ----AB Interme Diversified Muni A	A	Dividend	J	T					
66. ----American Century T/F BD C11	A	Dividend	J	T					
67. ----Amern Tax-Ex Bond of Amer A	A	Dividend	J	T					
68. ----Artisan Partners Value Fund	A	Dividend	J	T					

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	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)
69. ----Blackrock Natl Mun Fund CI A	A	Dividend	J	T					
70. ----Franklin Fed Tax-Free Income A	A	Dividend	J	T					
71. ----Invesco International Growth	A	Dividend	J	T					
72. ----John Hancock Disciplined Val A	A	Dividend	J	T					
73. ----MFS Municipal High Income A	A	Dividend	J	T					
74. ----T Rowe Price Blue Chip Grw I	A	Dividend	J	T					
75. ----Thornburg Ltd Term Muni Fund A	A	Dividend	J	T					
76. ----Victory Mun Mid-Cap Core GR A	A	Dividend	J	T					
77. ----Edward Jones Cash	A	Interest	K	T					
78.									

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

Part VII Investments and Trus

Line 22. Alliance Bernstein Large Cap Growth Fund A, which appeared on lines 21 and 22 of the 2018 report and is reported on this 2020 report on line 22 was inadvertently left off the 2019 report. The information should have been between lies 26 and 27 on the 2019 report. The information is as follows:

- Part VII B (1) B
- Part VII B (2) DIV
- Part VII C (1) K
- Part VII C (2) T
- Part VII D (1), (2), (3), (4) Blank

Line 32: Undivided 1/8th interest in a piece of property in Dallas, Dallas County, Texas. Date of appraisal, December 6, 1994.

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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/ **Melinda Harmon**

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