

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) Dennis, James L.	2. Court or Organization U.S. 5th Cir. Court of Appeals	3. Date of Report 04/26/2021
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 01/01/2020 to 12/31/2020
	5b. ☐ Amended Report	
7. Chambers or Office Address John Minor Wisdom Building 600 Camp Street, Room 219 New Orleans, LA 70130		
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. Member, Advisory Committee | Geo. W. & Jean H. Pugh Institute for Justice, a fund held by the L.S.U. Foundation for the benefit of L.S.U. Law School |
| 2. Member, LSU Law Center Board of Trustees | LSU Law Center Board of Trustees, a consultative or advisory body to the Chancellor; appointed by Chancellor; not a governing board. |
| 3. | |
| 4. | |
| 5. | |

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions)

☐ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

- | | |
|-------------|--|
| 1. 10/02/95 | LA State Employees' Retirement System. No control; fully vested 10/31/94. See La.R.S. 11:551 |
| 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	LA State Employees' Retirement System - Pension	\$64,829.04
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	Teachers' Retirement System of Louisiana - pension
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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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.		

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. AllianceBernstein International Growth Fund (AWPAX)	A	Dividend	K	T					
2. Bank Deposit Program (Wells Fargo)	A	Interest	K	T					
3. Anchor Nat'l Life Polaris Choice II Variable Annuity (FKA AIG)		None	N	T					
4. Amgen	B	Dividend	K	T	Sold (part)	01/30/20	J	D	
5. Enterprise Prods Partners	B	Dividend	K	T					
6. JP Morgan Short Term Tax Free Bond Fund	A	Dividend	J	T					
7. Plains All American Pipeline	A	Dividend	J	T					
8. Postrock Energy Corp.		None	J	T					
9. Teekay Tankers Ltd.		None	J	T					
10. Centurylink (name change to Lumen)	A	Dividend	J	T					
11. Hercules Tech. Capital Inc.	A	Dividend	J	T					
12. Hewlett Packard Enterprise Co.	A	Dividend			Sold	01/31/20	J	B	
13. Sandridge Mississippian Trust I	A	Dividend	J	T					
14. Delta Airlines	A	Dividend	J	T					
15. Apple Inc.	A	Dividend	L	T					
16. First Trust IPO (ETF)	A	Dividend	K	T					
17. Intel Corp.	A	Dividend	K	T					

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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☐ 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. PGIM Short Duration High Yield Fund (CEF)	A	Dividend	J	T					
19. KKR & Co.	A	Dividend	K	T					
20. Taylor Morrison Home Corp.		None	J	T					
21. Trinity Industries	A	Dividend			Sold	01/30/20	J	C	
22. Cisco Systems	A	Dividend	J	T					
23. Coreenergy Infrastructure Trust Inc.	A	Dividend	J	T					
24. General Motors	A	Dividend	J	T					
25. United Rentals		None	K	T					
26. Advent Claymore Convertible	A	Dividend	J	T					
27. Gabelli Dividend & Income Fund (CEF)	A	Dividend	J	T					
28. RMR Group, Inc. (X)	A	Dividend	J	T					
29. MPLX LP	B	Dividend			Sold	01/30/20	J	A	
30. Veritiv Corp.		None	J	T					
31. Fiat Chrysler (name change to Stellantis)	A	Dividend	K	T					
32. Lamar Advertising	A	Dividend	K	T					
33. Bristol Myers Squibb	A	Dividend	K	T					
34. Nuveen Muni 2021 Target (CEF)	A	Dividend	K	T					

1 Income Gain Codes: (See Columns B1 and D4)	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	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	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	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	
3 Value Method Codes (See Column C2)					

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35. Nuveen Emerging Markets Debt (CEF) 2022 Term	B	Dividend	K	T					
36. Micron Technology		None	K	T					
37. Carlyle Group LP	A	Dividend	J	T					
38. Accenture Ireland PLC	A	Dividend	K	T					
39. Alphabet Inc. Class A		None	K	T					
40. AT&T Inc.	A	Dividend	J	T					
41. Chevron Corp.	A	Dividend	J	T					
42. Chubb Ltd.	A	Dividend	K	T					
43. Citigroup Inc.	A	Dividend	J	T					
44. CVS Health Corp.	A	Dividend	K	T					
45. Danaher Corp.	A	Dividend	K	T					
46. Emerson Electric Co.	A	Dividend	K	T					
47. Facebook Inc.		None	K	T					
48. HSBC Holdings	B	Dividend	J	T					
49. Illinois Tool Works Inc.	A	Dividend	K	T					
50. Intercontinental Hotel Group	A	Dividend	K	T					
51. Merck	A	Dividend	K	T					

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52. Microsoft Corp.	A	Dividend	K	T					
53. Starbucks Corp.	A	Dividend	K	T					
54. UBS Group	B	Dividend	K	T					
55. Amazon.com		None	K	T					
56. U.S. Foods Holdings Corp		None	J	T					
57. SAP SE ADS	A	Dividend	K	T					
58. Energy Transfer L.P.	D	Distribution	K	T					
59. Perspecta Inc.	A	Dividend	J	T					
60. Costco Whs/Corp	A	Dividend	K	T	Buy	01/31/20	K		
61. L3 Harris Tech	A	Dividend	K	T	Buy	01/31/20	K		
62. PayPal Holdings Inc.		None	L	T	Buy	01/31/20	K		
63.									

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

Part I. The LSU Law Center Board of Trustees has no reportable assets.

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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/ **James L. Dennis**

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