

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) Hanen, Andrew S.	2. Court or Organization United States District Court - Texas	3. Date of Report 5/12/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States District 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 United States Courthouse 515 Rusk Street, Rm. 9110 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.)

<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.	
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. Morgan Stanley	Line of credit	O
2.		
3.		
4.		
5.		

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Name of Person Reporting

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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 Account #1 (H)									
2. - Bank of America RASP	A	Interest	J	T					
3. - Apple (AAPL)	A	Dividend	M	T					
4. - iShares Nasdaq Biotechnology ETF (IBB)	A	Dividend	J	T					
5. - Vanguard Consumer Staples Index Fund (VDC)	A	Dividend	J	T	Buy (add'l)	05/14/20	J		
6. - Vanguard Materials Index Fund ETF (VAW)	A	Dividend	J	T					
7. - Consumer Discretionary Select Sector SPDR Fund (XLY)	A	Dividend	K	T	Sold (part)	08/14/20	J	A	
8.					Sold (part)	10/22/20	J	A	
9. - Vanguard Industrials Index Fund ETF (VIS)	A	Dividend	K	T	Sold (part)	08/14/20	J	A	
10. - Health Care Select Sector SPDR Fund (XLV)	A	Dividend	K	T	Buy (add'l)	05/14/20	J		
11. - Financial Select Sector SPDR Fund (XLF)	A	Dividend	J	T	Sold (part)	05/14/20	J	A	
12. - Vanguard Information Technology Index ETF (VGT)	A	Dividend	K	T	Sold (part)	04/16/20	J	A	
13. - First Trust Dow Jones Internet Index ETF (FDN)		None	K	T	Buy (add'l)	03/16/20	J		
14.					Sold (part)	05/14/20	J	A	
15. - First Trust Cloud Computing ETF (SKYY)	A	Dividend	K	T	Sold (part)	05/14/20	J	A	
16. - Energy Select Sector SPDR Fund (XLE)	A	Dividend			Sold	03/16/20	J	A	
17. - Real Estate Select Sector SPDR Fund (XLRE)	A	Dividend			Sold (part)	05/14/20	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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18.					Sold	10/22/20	J	A	
19. - Communication Services Select Sector SPDR (XLC)	A	Dividend	K	T	Buy (add'l)	05/14/20	J		
20. - Pacer Benchmark Data & Infra (SRVR)	A	Dividend	J	T	Buy	10/22/20	J		
21. - ProShares Online Retail ETF (ONLN)	A	Dividend	J	T	Buy	10/22/20	J		
22. Retirement Account #1 (H)									
23. - BMO Strategic Income Fund Class A (BMTAX)	B	Dividend			Sold	02/18/20	M	F	
24. - Microsoft Bonds (CUSIP 594918AH7)	A	Interest			Redeemed	10/01/20	K	B	
25. - Fidelity Government Cash Reserves (FDRXX)	A	Dividend	M	T					
26. - Fidelity MMKT Premium Class (FZDXX)	A	Dividend	L	T	Sold (part)	02/19/20	J	A	
27.					Buy (add'l)	06/09/20	L		
28. - Fidelity ContraFund (FCNTX)	C	Dividend	L	T					
29. - Fidelity Equity Dividend Income Fund (FEQTX)	B	Dividend	L	T					
30. - Fidelity Dividend Growth Fund (FDGFX)	A	Dividend	K	T					
31. - Fidelity Blue Chip Value Fund (FBCVX)	A	Dividend	J	T					
32. - Modern Bank CD (CUSIP 607544AT0)	A	Interest			Redeemed	04/13/20	K		
33. - Wells Fargo Bank CD (CUSIP 949763SE7)	B	Interest			Redeemed	07/13/20	M		
34. - Fidelity 500 Index Fund (FXAIX)	A	Dividend	K	T					

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35. - Fidelity Limited Term Bond Fund (FJRLX)	B	Dividend	M	T	Buy	02/18/20	M		
36. - Fidelity Total Bond (FTBFX)	D	Dividend	M	T	Buy	02/19/20	M		
37. Brokerage Account #1 (H)									
38. - Morgan Stanley Private Bank NA Fund	A	Interest	J	T					
39. - JP Morgan Chase FXD 5.3 (CUSIP 46625HKK5)	C	Dividend	L	T					
40. - CitiGroup Inc. FXD 5.95 (CUSIP 172967JZ5)	D	Dividend	L	T					
41. - CitiGroup Inc. FXD 6.125 (CUSIP 172967KD2)	D	Dividend	M	T					
42. - Federated Prime Cash Obligations Fund (PCOXX)	A	Dividend			Sold	11/17/20	J	A	
43. - Bank of America Corp FXD 6.1 (CUSIP 060505EN0)	D	Dividend	M	T					
44. - Bank of America Corp FXD 5.125 (CUSIP 060505FP4)	D	Dividend	M	T					
45. - JP Morgan Chase FXD 6.1 (CUSIP 48126HAC4)	D	Dividend	M	T					
46. - Morgan Stanley FXD 5.3 (CUSIP 269246BR4) (See Note 2)	E	Dividend	N	T					
47. - PGIM Short Dur High Yield (SDHY)			M	T	Buy	11/25/20	L		
48. Brokerage Account #2 (H)									
49. - N. Tex. Twy. Auth. Municipal Bonds (CUSIP 66285WFX9)	C	Interest			Sold	11/25/20	L	A	
50. - Waco TX CTFS (CUSIP 929831FN0)	B	Interest			Sold	11/25/20	L	A	
51. - Bank of America Money Market Fund	A	Interest	J	T					

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52. - Eaton Vance Tax-Managed Global Buy-Write (ETW)	D	Dividend			Sold	11/25/20	L	A	
53. - SP500 CLIRN Issuer CIBC (MLVJS)		None			Redeemed	10/30/20	L	D	
54. Compass Bank	E	Interest	O	T					
55. Northwestern Mutual EOL Whole Life Insurance #117 (See Note 1)	A	Dividend	J	T					
56. Northwestern Mutual EOL Whole Life Insurance #714	A	Dividend	J	T					
57. Northwestern Life Mutual Whole Life Insurance #642	A	Dividend	J	T					
58. Northwestern Mutual Whole Life Insurance #817	C	Dividend	L	T					
59. Northwestern Mutual Whole Life Insurance #811	C	Dividend	L	T					
60. Northwestern Mutual Whole Life Insurance #840	C	Dividend	K	T					
61. IRA Account #4 (H)									
62. - Capital Income BLDR (CAIBX)	D	Dividend	M	T					
63. - American FDS Portfolio Growth and Income Fund (GAIOX)	D	Dividend	N	T					
64. - Apple (AAPL)	A	Dividend	J	T					
65. - Industrial Select Sector SPDR Fund (XLI)	A	Dividend	J	T					
66. - Consumer Staples Select Sector SPDR (XLP)	A	Dividend	J	T					
67. - Energy Select Sector SPDR Fund (XLE)	A	Dividend	J	T					
68. - Consumer Discretionary Select Sector SPDR (XLY)	A	Dividend	J	T					

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69. - SPDR Gold Trust (GLD)		None	J	T					
70. - Vanguard Information Technology Index (VGT)	A	Dividend	K	T					
71. - WF Sweep	A	Interest	J	T					
72. - American Funds High Income Trust (AHITX)	B	Dividend	K	T					
73. IRA Account #5 (H)									
74. - iShares Core S&P 500 (IVV)	A	Dividend			Sold	04/02/20	J	A	
75. - iShares MSCI EAFE ETF (EFA)		None			Sold	04/06/20	J	A	
76. - Pacer Trendpilot US Large Cap ETF (PTLC)		None			Sold	01/27/20	J	A	
77. - SPDR Gold Trust (GLD)		None	K	T	Buy (add'l)	02/13/20	J		
78.					Buy (add'l)	03/18/20	J		
79.					Sold (part)	05/12/20	J	A	
80.					Sold (part)	12/02/20	J	A	
81. - Vanguard Emerging Markets Stock Index (VWO)		None			Sold (part)	01/27/20	J	A	
82.					Sold	01/29/20	J	A	
83. - Vanguard Mid-Cap Index Fund ETF (VO)	A	Dividend			Sold (part)	03/03/20	J	A	
84.					Sold	03/25/20	J	A	
85. - Vanguard Small-Cap Index Fund ETF (VB)	A	Dividend			Sold (part)	03/03/20	J	A	

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86.					Sold	03/25/20	J	A	
87. - WisdomTree Japan Hedged Equity ETF (DXJ)	A	Dividend	J	T	Sold (part)	03/24/20	J	A	
88.					Sold (part)	12/02/20	J	A	
89. - Janus Henderson Developed World Bond I (HFAIX)	A	Dividend			Sold	04/29/20	K	A	
90. - Loomis Sayles Global Allocation Fund (LSWXX)		None			Sold	05/01/20	J	A	
91. - Lord Abbett Short Duration Income Fund (LLDYX)	A	Dividend			Sold	03/19/20	K	A	
92. - Oakmark Fund Advisor Class (OAYMX)		None			Sold	03/24/20	J	A	
93. - Putnam Income Fund Class Y (PNCYX)	A	Dividend			Sold	04/29/20	K	A	
94. - VanEck Vectors JP Morgan EM Local Currency Bond ETF (EMLC)	A	Dividend			Sold	04/29/20	K	A	
95. - First Eagle Global Fund Class I (SGIIX)		None			Sold	05/01/20	J	A	
96. - Fidelity Investments MMKT FDS (FNSXX)	A	Dividend	K	T	Buy	01/27/20	K		
97.					Sold (part)	02/07/20	J	A	
98.					Buy (add'l)	03/03/20	K		
99.					Sold (part)	03/13/20	K		
100.					Sold (part)	03/19/20	K		
101.					Buy (add'l)	05/05/20	K		
102. - PACER FDS Cash Cows (COWZ)		None			Buy	03/23/20	J		

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(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	
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103.					Buy (add'l)	03/25/20	J		
104.					Sold	05/01/20	J		
105. - Vanguard Short Term ETF (BSV)	A	Dividend	K	T	Buy	03/19/20	K		
106.					Buy (add'l)	04/29/20	J		
107.					Buy (add'l)	05/01/20	J		
108.					Sold (part)	12/02/20	K	A	
109. - iShares MSCI USA Qaulity Factor ETF (QUAL)	A	Dividend	K	T	Buy	03/23/20	J		
110.					Buy (add'l)	03/25/20	J		
111.					Buy (add'l)	04/02/20	J		
112.					Buy (add'l)	05/01/20	J		
113.					Sold (part)	11/04/20	J	A	
114.					Sold (part)	12/02/20	J	A	
115. - First Trust Dow Jones ETF (FDN)		None	J	T	Buy	04/02/20	J		
116.					Sold (part)	05/12/20	J	A	
117.					Sold (part)	11/04/20	J	A	
118.					Sold (part)	12/02/20	J	A	
119. - Vanguard Consumer Staples ETF (VDC)	A	Dividend	J	T	Buy	04/02/20	J		

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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Name of Person Reporting

Hanen, Andrew S.

Date of Report

5/12/2021

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)
120.					Buy (add'l)	05/01/20	J		
121.					Sold (part)	12/02/20	J	A	
122. - iShares MSCI Int'l Multifactor ETF (INTF)	A	Dividend	J	T	Buy	04/06/20	J		
123.					Buy (add'l)	05/01/20	J		
124.					Sold (part)	12/02/20	J	A	
125. - First Trust TCW Opportunistic Fixed Income ETF (FIXD)	A	Dividend	K	T	Buy	04/29/20	K		
126.					Sold (part)	12/02/20	J	A	
127. - PIMCO Active Bond ETF (BOND)	A	Dividend	K	T	Buy	04/29/20	K		
128.					Sold (part)	12/02/20	J	A	
129. - Vanguard Total Int'l Bond ETF (BNDX)	A	Dividend	J	T	Buy	04/29/20	K		
130.					Sold (part)	12/02/20	J	A	
131. - Xtrackers MSCI Europe Hedged Equity (DBEU)	A	Dividend	J	T	Buy	05/01/20	J		
132.					Sold (part)	12/02/20	J	A	
133. - Goldman Sachs ActiveBeta US (GSLC)	A	Dividend	J	T	Buy	05/01/20	J		
134.					Sold (part)	11/04/20	J	A	
135.					Sold (part)	12/02/20	J	A	
136. - Wells Fargo Sweep	A	Interest	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		
3 Value Method Codes	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
(See Column C2)	U =Book Value	V =Other	W =Estimated		

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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)
137. IRA Account #6 (H)									
138. - Energy Transfer Equity (ET)	B	Dividend	J	T	Buy (add'l)	03/18/20	J		
139. - Enterprise Products Partners LP (EPD)	B	Dividend	J	T	Buy (add'l)	04/15/20	J		
140.					Sold (part)	11/25/20	J	A	
141. - Kinder Morgan Inc. (KMI)	A	Dividend	J	T	Buy (add'l)	03/11/20	J		
142.					Sold (part)	11/25/20	J	A	
143. - ONEOK Inc. (OKE)	A	Dividend	J	T	Buy (add'l)	03/11/20	J		
144.					Buy (add'l)	03/18/20	J		
145. - Williams Companies Inc. (WMB)	B	Dividend	J	T	Sold (part)	11/25/20	J	A	
146. - First Eagle Overseas Fund Class A (SGOVX)	A	Dividend	K	T	Buy (add'l)	03/17/20	J		
147.					Sold (part)	11/24/20	J	A	
148. - Templeton Emerging Markets Income Fund (TEI)	A	Dividend	J	T					
149. - Templeton Global Bond Fund Class A (TPINX)	A	Dividend			Sold	08/17/20	K	A	
150. - Vanguard Prime Money Market Fund (VMMXX)	A	Dividend	L	T	Buy (add'l)	04/28/20	K		
151. - iShares JP Morgan EM Local Currency Bond ETF (LEMB)		None	J	T	Sold (part)	08/06/20	J	A	
152.					Sold (part)	11/25/20	J	A	
153. - iShares S&P 500 Growth ETF (IVW)	A	Dividend	K	T	Buy (add'l)	04/06/20	J		

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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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)
154.					Sold (part)	06/22/20	J	B	
155.					Sold (part)	08/21/20	J	B	
156.					Sold (part)	11/25/20	J	C	
157. - iShares S&P 500 Value ETF (IVE)	A	Dividend	K	T	Buy (add'l)	03/11/20	J		
158.					Buy (add'l)	04/06/20	J		
159.					Sold (part)	11/25/20	J	A	
160. - iShares Core MSCI Emerging Markets ETF (IEMG)	A	Dividend			Buy (add'l)	03/11/20	J		
161.					Buy (add'l)	04/06/20	J		
162.					Sold	06/29/20	K	A	
163. - Vanguard Short-Term Bond Index Fund ETF (BSV)	A	Dividend	K	T	Sold (part)	03/11/20	J	A	
164.					Sold (part)	04/06/20	J	A	
165.					Buy (add'l)	08/27/20	J		
166.					Sold (part)	11/25/20	J	A	
167. - Pershing Gov. Acct.	A	Dividend	J	T					
168. - MFS International Diversification Fund (MDIIX)	A	Dividend	K	T	Buy (add'l)	03/17/20	J		
169.					Sold (part)	06/30/20	J	A	
170.					Sold (part)	08/20/20	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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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)
171.					Sold (part)	11/24/20	J	B	
172. - Vanguard High-Yield Corporate Bond Fund Admiral (VWEAX)	A	Dividend			Sold (part)	02/28/20	K	A	
173.					Sold	04/03/20	J	A	
174. - JPMorgan Emerging Markets (JFAMX)	A	Dividend	K	T	Buy	06/26/20	K		
175.					Sold (part)	08/20/20	J	A	
176.					Sold (part)	11/24/20	J	B	
177. - Eaton Vance Emerging Markets (EEIAX)	A	Dividend	J	T	Buy	08/06/20	J		
178. - PGIM Global Total Return Fund (PZTRX)	A	Dividend	K	T	Buy	08/17/20	K		
179.					Sold (part)	11/24/20	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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Hanen, Andrew S.

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

1. All life insurance policies (Part VII, Lines 96-101) are either whole life or what is called extraordinary life (EOL), which are essentially whole life policies. Any dividends that are generated are used to pay the premium or to buy more coverage. The undersigned does not have any investment authority over these policies, nor does he invest any funds associated with these policies.
2. Previously labeled E*Trade 5.3. Morgan Stanley bought E*Trade in October 2020 and the FXD was renamed Morgan Stanley 5.3.

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Hanen, Andrew S.

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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/ **Andrew S. Hanen**

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