

**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) Cain, Jr, James D.	2. Court or Organization U.S. District Court Western District of Louisiana	3. Date of Report 05/06/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U. S. District Judge	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 611 Broad St Suite 328 Lake Charles, LA 70601		
IMPORTANT NOTES: <i>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>		

I. POSITIONS. *(Reporting individual only; see pp. 9-13 of filing instructions)*

☐ NONE *(No reportable positions.)*

POSITION

NAME OF ORGANIZATION/ENTITY

1. Member in Real Estate, LLC	401 Property Investors, LLC
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. 2020	Self-Employed License Professional Counselor
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.				

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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. Merchants and Farmers Bank	Guarantor of Commercial Loan of 7.5% for Commercial Office Building	M
2. Bankcorp South	Guarantor of Commercial Loan for Children Investment in Commercial Retail Center	O
3.		
4.		
5.		
6.		

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. Brokerage Account #1 (H)									
2. Amazon.com	A	Dividend	K	T					
3. Apple, Inc.	A	Dividend	M	T					
4. Tesla	A	Dividend	J	T					
5. Walt Disney Co.	A	Dividend	K	T					
6. Vanguard 500 Index Fund	A	Dividend	K	T					
7. Vanguard Inter-Term Tax Exempt Fund	A	Dividend	J	T					
8. Vanguard Prime Money Mkt Fund	A	Dividend	J	T					
9. Vangurard Short Term Bond Fund	A	Dividend	J	T					
10. Simple IRA (H)									
11. Vanguard Target Retirement 2025	C	Dividend	M	T					
12. Vanguard Target Retirement 2025	C	Dividend	M	T					
13. Vanguard Target Retirment 2020	A	Dividend	J	T					
14. IRA - Morgan Stanley (H)									
15. American Intl GW	F	Dividend	L	T					
16. American Intm BD	E	Dividend	J	T					
17. Blackrock Mid Cap Grw EQ	F	Dividend	L	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

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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NONE (No reportable income, assets, or transactions.)

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18. Columbia Div Income	F	Dividend	L	T					
19. DWS Emerg. Mkts	F	Dividend	L	T					
20. DWS Real Assets	F	Dividend	L	T					
21. Invesco S&P Equal Weight	E	Dividend	K	T					
22. IShares Global Tech	E	Dividend	K	T					
23. Scwab US Large Cap	F	Dividend	L	T					
24. SPDR S&P 500 EFT Trust	E	Dividend	K	T					
25. Vanguard Growth EFT	F	Dividend	L	T					
26. Gateway Fund	C	Dividend	J	T					
27. Janus Henderson Global Eq Fund	B	Dividend	J	T					
28. John Hancock Bond I Fund	A	Dividend	K	T					
29. John Hancock Regional Bank Fund	A	Dividend	J	T					
30. JP Morgan Core Plus Bond Fund A	B	Dividend	J	T					
31. Loomis Sayles Core Plus BD	B	Dividend	J	T					
32. Nuance Mid Cap Value Fund	A	Dividend	K	T					
33. Real Estate (H)									
34. Investment Property Office Building-Lake Charles, LA	A	Rent	M	W					

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

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H1 =\$1,000,001 - \$5,000,000

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P1 =\$1,000,001 - \$5,000,000

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H2 =More than \$5,000,000

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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)
35. Investment Non Real Estate (H)									
36. Fly Guys, Inc	E	Dividend	K	T					

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

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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 D. Cain, Jr**

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
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