AO 10
Rev. 1/2021

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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)	2. Court or Organization	3. Date of Report
Smith, Jerry E.	Fifth Circuit Court of Appeals	08/08/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)	**5a. Report Type (check appropriate type)**	**6. Reporting Period**
U.S. Circuit Judge (active)	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☑ Amended Report	01/01/2019 **to** 12/31/2019
7. Chambers or Office Address		
12621 U.S. Courthouse 515 Rusk Houston, TX 77002-2698		

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.	Independent Executor	Estate # 1
2.	Independent Executor	Estate # 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.		

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.	2019	Matthew Bender & Co., Inc.: writing and editing	$3,780.00
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.	2019	self-employed, political consulting
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.	American Law Institute	7/25-27/19	Santa Fe, NM	Seminar	Transportation, lodging, and meals
2.	Federalist Society for Law & Public Policy	11/14-16/19	Washington, DC	Convention	Transportation, lodging, and meals
3.	J. Reuben Clark Law School, Brigham Young University	3/14-16/19	Provo, Utah	Moot court	Transportationl lodging, and meals
4.					
5.					

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.			

Name of Person Reporting	Date of Report
Smith, Jerry E.	08/08/2021

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	B		C		D				
	Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
	Place "(X)" after each asset exempt from prior disclosure	(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)
1.	Invesco Money Market Fd -- Class AX (ACZXX)	A	Dividend	J	T					
2.	99% int. in Professional Audio-Video Corp. (see Part VIII)		None	J	T					
3.	Wells Fargo Bank -- savings account	A	Interest	J	T					
4.	Chase Bank -- checking account	A	Interest	J	T					
5.	Compass Bank -- checking & IRA cash-equivalent	A	Interest	K	T					
6.	Allegiance Bank, Brookshire, TX common stock		None	J	T					
7.	Fidelity Security Life Ins. Co. -- IRA -- fixed annuity	A	Interest	J	T					
8.	Templeton Growth Fd Inc. Class A (TEPLX)	A	Dividend	K	T	Sold (part)	12/19/19	J	B	
9.	Templeton Funds Inc. World Fd Class A (TEMWX)	A	Dividend	K	T					
10.	Wells Fargo Bank -- bank deposit sweep	A	Int./Div.	J	T					
11.	American Century Inter-term Tax Free Bond Fd Cl Y (ATBYX)	A	Dividend	J	T					
12.										
13.	JPMorgan Deposit Sweep (QCPCM)	A	Int./Div.	J	T	Sold (part)	01/07/19	J		
14.						Buy (add'l)	01/07/19	J		
15.						Buy (add'l)	03/05/19	J		
16.						Sold (part)	03/06/19	J		
17.						Buy (add'l)	09/25/19	J		

1 Income Gain Codes: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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 (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	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.)*

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	Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
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18.						Sold (part)	09/26/19	J		
19.										
20.	Causeway Int'l Value Fd Inst. Cl (CIVIX)	A	Dividend			Sold	04/02/19	J		
21.										
22.	iShares MSCI EAFE Int'l Index Fd (BTMKX)	A	Dividend	J	T	Sold (part)	02/11/19	J		
23.										
24.										
25.	iShares Tr 1-3 Yr Treasury Bd ETF (SHY)	A	Dividend			Sold (part)	01/04/19	J		
26.						Buy (add'l)	03/04/19	J		
27.						Sold	06/06/19	J		
28.										
29.										
30.	Black Rock Mun Bd Fd Inc Nat'l Mun Fd Cl K (BNMLX)	A	Dividend	J	T	Buy (add'l)	02/11/19	J		
31.										
32.	iShares Tr Short Treasury Bd. ETF (SHV)	A	Dividend			Buy	06/06/19	J		
33.						Sold	09/23/19	J		
34.										

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35. iShares Tr 7-10 yr. Treasury Bd ETF (IEF)	A	Dividend	J	T	Buy	09/23/19	J		
36.									
37. iShares Tr 3-7 yr Treasury Bd (IEI)	A	Dividend	J	T	Buy	09/23/19	J		
38.									
39.									
40. Dodge & Cox Funds Int'l Stock Fd (DODFX)	A	Dividend			Sold	04/02/19	J		
41.									
42. Dodge & Cox Income Fd (DODIX)	A	Dividend	J	T					
43.									
44. JPMorgan Tr II Short-Inter Mun Bd Fd Inst'l (JIMIX)	A	Dividend	J	T					
45.									
46.									
47. JPMorgan Beta Builders Canada ETF (BBCA)	A	Dividend	J	T					
48.									
49. JP Morgan Tr I US Equity Fd Cl R6 (JUEMX)	A	Dividend			Sold	04/02/19	J		
50.									
51.									

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52.	Fidelity 500 Index Fd Institutional Prem Class I (FXAIX)	A	Dividend	J	T	Buy (add'l)	01/04/19	J		
53.						Buy (add'l)	08/26/19	J		
54.						Sold (part)	11/21/19	J		
55.										
56.	Fid. Salem Str. Tr. Int'l (FSPSX)	A	Dividend	J	T	Buy	02/20/19	J		
57.						Sold (part)	03/04/19	J		
58.						Buy (add'l)	04/02/19	J		
59.										
60.	MFS Ser. Tr. X Emerging Mkt. Debt Fd Class I (MEDIX)	A	Dividend			Sold	02/20/19	J		
61.										
62.	MFS Ser. Tr. X Emerging Mkts. Debt Fd R6 (X) (MEDHX)	A	Dividend			Sold	02/20/19	J		
63.										
64.	iShares MSCI Japan ETF Solicited (EWJ)	A	Dividend	J	T					
65.										
66.	Vanguard 500 Index Fd Admiral Cl (VFIAX)	A	Dividend	J	T					
67.										
68.	Vanguard Short Term Inflation Protected Sec Index Fd (VTIP)	A	Dividend	J	T					

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69.										
70.	Vanguard Int'l Eq Index Fd FTSE Europe ETF (VGK)	A	Dividend	J	T					
71.										
72.	John Hancock Income Fd Cl R6 (JSNWX)	A	Dividend			Sold	02/11/19	J		
73.										
74.	Mainstay Fds High Yield Corp Bd Fd Cl R6 (MHYSX)	A	Dividend			Sold (part)	02/20/19	J		
75.						Sold	03/04/19	J		
76.										
77.	Harris Assocs Inv Tr Oakmark Fd Inst Cl (OANMX)	A	Dividend			Sold	04/02/19	J		
78.										
79.										
80.	Mass. Investors Tr Cl. R6 (MITJX)	A	Dividend			Sold	04/02/19	J		
81.										
82.	MFS Research Int'l Fd Cl R6 (MRSKX)	A	Dividend			Sold	04/02/19	J		
83.										
84.										
85.	SPDR ETF Trust (SPY)	A	Dividend	J	T					

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86.									
87. PIMCO Total Return Fd Inst'l Cl (PTTRX)	A	Dividend			Sold	02/11/19	J		
88.									
89.									
90.									
91.									
92.									
93.									
94. PIMCO Low Duration Fd Inst'l Cl (PTLDX)	A	Dividend	J	T	Sold (part)	09/23/19	J		
95.									
96.									
97. Bernstein Intermed Div Mun Portfolio Adv. Clas (AIDYX)	A	Dividend	J	T					
98.									
99. Tax Exempt Bd Fd Amer. Cl F3 (TFEBX)	A	Dividend	J	T	Buy (add'l)	02/20/19	J		
100.									
101.									
102. Six Circles Tax Aware Ultra Short Duration Fd (CUTAX)	A	Dividend	J	T					

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H1 =$1,000,001 - $5,000,000
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2 Value Codes (See Columns C1 and D3)
J =$15,000 or less
K =$15,001 - $50,000
L =$50,001 - $100,000
M =$100,001 - $250,000
N =$250,001 - $500,000
O =$500,001 - $1,000,000
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103.									
104. Six Circlues U S Unconstrained Eq Fd (CUSUX)	A	Dividend	J	T	Buy (add'l)	04/02/19	J		
105.									
106. Six Circles Int'l Unconstrained Eq Fd (CIUEX)	A	Dividend	J	T	Buy (add'l)	04/02/19	J		
107.									
108. T Rowe Price Summit Mun Intermed Fd (PRSMX)	A	Dividend	J	T	Buy (add'l)	11/21/19	J		
109.									
110.									
111.									
112. Estate #1 (H)									
113. -- First United Bank, Lubbock, TX -- checking acct.		None	M	T					
114. -- Working int., Bravo Land Co. #1 (see Part VIII)	A	Royalty	J	W					
115.									
116. -- Working int., CAT Federal (see Part VIII)	A	Royalty	J	W					
117. -- Working int., J.T. Federal #1A (see Part VIII)	A	Royalty	J	W					
118. -- Working int., J.T. Federal #3 (see Part VIII)	A	Royalty	J	W					
119. -- Working int., J.T. Federal #4 (see Part VIII)	A	Royalty	J	W					

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2 Value Codes (See Columns C1 and D3) — J =$15,000 or less; K =$15,001 - $50,000; L =$50,001 - $100,000; M =$100,001 - $250,000; 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

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120. -- Working int., J.T. Federal #5 (see Part VIII)	A	Royalty	J	W					
121. -- Working int., Quest Muddy Sand Unit (see Part VIII)	C	Royalty	J	W					
122. -- Working int., Leola Unit (see Part VIII)	A	Royalty	J	W					
123. -- Royalty int., various leases (see Part VIII)	D	Royalty	K	W					
124. -- Royalty int., various leases (see Part VIII)	A	Royalty	J	W					
125. -- Royalty int., various leases (see Part VIII)	A	Royalty	J	W					
126. -- Royalty int., City of Lubbock Unit (see Part VIII)	D	Royalty	J	W					
127.									
128.									
129. Estate # 2 (H)									
130. -- First United Bank, Lubbock, TX -- checking acct.		None	J	T					
131.									
132. -- Working int., Bravo Land Co. #1 (see Part VIII)	A	Royalty	J	W					
133.									
134. -- Working int., CAT Federal (see part VIII)	A	Royalty	J	W					
135. -- Working int., J.T. Federal #1A (see Part VIII)	A	Royalty	J	W					
136. -- Working int., J.T. Federal #3 (see Part VIII)	A	Royalty	J	W					

1 Income Gain Codes: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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 (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
	U =Book Value	V =Other	W =Estimated		

Name of Person Reporting	Date of Report
Smith, Jerry E.	08/08/2021

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	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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)
137. -- Working int., J.T. Federal #4 (see Part VIII)	A	Royalty	J	W					
138. -- Working int., J.T. Federal #5 (see Part VIII)	A	Royalty	J	W					
139. -- Working int., Quest Muddy Sand Unit (see Part VIII)	C	Royalty	J	W					
140. -- Working int., Leola Unit (see Part VIII)	A	Royalty	J	W					
141. -- Royalty int., various leases (see Part VIII)	D	Royalty	K	W					
142. -- Royalty int., various leases (see Part VIII)	A	Royalty	J	W					
143. -- Royalty int., various leases (see Part VIII)	A	Royalty	J	W					
144. -- Royalty int., City of Lubbock Unit (see Part VIII)	D	Royalty	J	W					
145.									

1 Income Gain Codes: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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 (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
	U =Book Value	V =Other	W =Estimated		

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

Part VII, line 2: Victoria, TX (asset: video production equipment)

Part VII, lines 114 & 132: Duval County, TX; Payor: Chroma Operating, Inc., Houston, TX

Part VII, lines 116 & 134: Campbell County, WY; Payor: Encana Oil & Gas, Inc., Denver, CO

Part VII, lines 117 & 135: Campbell County, WY; Payor: Encana Oil & Gas, Inc., Denver, CO

Part VII, lines 118 & 136: Campbell County, WY; Payor: Encana Oil & Gas, Inc., Denver, CO

Part VII, lines 119 & 137: Campbell County, WY; Payor: Encana Oil & Gas, Inc., Denver, CO

Part VII, lines 120 & 138: Campbell County, WY; Payor: Encana Oil & Gas, Inc., Denver, CO

Part VII, lines 121 & 139: Weson County, WY; Payors: Eighty-Eight Oil LLC, Casper, WY; Maxim Drilling & Exploration, Gillette, WY; Plains Marketing, L.P., Houston, TX

Part VII, lines 122 & 140: Campbell County, WY; Payor: Encana Oil & Gas, Inc., Denver, CO

Part VII, lines 123 & 141: La Plata County, CO; Payor: BP America Production Co., Tulsa, OK

Part VII, lines 124 & 142: Caddo County, OK; Payor: Mustang Fuel Corp., Oklahoma City, OK

Part VII, lines 125 & 143: La Plata County, CO; Payor: Red Willow Production Co., Ignacio, CO

Part VII, lines 126 & 144: Lubbock County, TX; Payor: Texland Petroleum, L.P., Fort Worth, TX

Name of Person Reporting	Date of Report
Smith, Jerry E.	08/08/2021

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/ Jerry E. Smith

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
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