

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) Norman, Jeffrey P.	2. Court or Organization United States Bankruptcy, Southern District of Texas	3. Date of Report 06/10/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States Bankruptcy 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 515 Rusk, Suite 4505 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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Name of Person Reporting

Norman, Jeffrey P.

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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.		
2.		
3.		
4.		
5.		

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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. Charles Schwab									
2. -Charles Schwab Bank Account	B	Interest	K	T					
3. -Altria Group, Inc. (MO)	A	Dividend	J	T					
4. -Costco Wholesale Co. (COST)	A	Dividend	J	T					
5. -Gilead Sciences, Inc. (GILD)	A	Dividend	J	T					
6. -Western Digital Corp (WDC)	A	Dividend	J	T					
7. -Schwab Value Advantage (SWVXX)	B	Interest	N	T	Buy	04/01/20	K		
8.					Buy	05/29/20	N		
9. Tom Root Note	D	Interest			Redeemed	05/29/20	N		
10. Michael and Katelyn Norman Jones Secured Note	D	Interest	M	T					
11. Vanguard -Variable Annuity									
12. -WA-Total Bond Fund	C	Interest	K	T					
13. -Vanguard Balanced Fund	B	Int./Div.	M	T					
14. -Vanguard Equity Index	B	Dividend	M	T					
15. Vanguard - Brokerage									
16. -AUSTIN TX CMNTY CLLG DIST PUB FAC LES REV HAYS B/E	A	Interest	K	T					
17. -CORPUS CHRISTI TX RFDG GENL IMPT SER B B/E OID	A	Interest	K	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	
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

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18. -HARRIS CNTY TX CULTURAL FIN MED REV RFDG MTG A BAYLOR B/E OID	A	Interest	J	T					
19. -HARRIS CNTY TY CULTURAL ED FAC FIN CORP REV RFDG HOSP A B/E OID	A	Interest	K	T					
20. -HARRIS CNTY TX CULTURAL	A	Interest	K	T	Buy	03/31/20	K		
21. -HOUSTON TX RFDG PUB IMPT SER A B/E CPN	A	Interest	K	T					
22. -HOUSTON TX CMNTY CLLG SYS REV RFDG SR LIEN STDNT FEE AGM B/E CPN	A	Interest	J	T					
23. -ILLINOIS DEV FIN AUTH RETIRE REV REGENCY PK B ETM ZER	A	Interest			Redeemed	05/29/20	J		
24. -MIAMI DADE CNTY FL PUB SVC TAX REV RFDG UMSA IMPT AGM B/E CPN	A	Interest	J	T					
25. -MORaine OH SOLID WST XXX SUBMITTED FOR ESCROW REV GM CORP AMT CPN	A	Interest			Redeemed	03/31/20	J		
26. -TEXAS TECH UNIV REV RFDG & IMPT FING 12TH SER B/E CPN	A	Interest			Redeemed	03/31/20	J		
27. -UNIVERSITY HOUSTON TX REV RFDG CONS AGM B/E CPN	A	Interest			Redeemed	03/31/20	J		
28. -UNIVERSITY HOUSTON TX REV RFDG CONS SYS SER A B/E OID	A	Interest			Redeemed	03/31/20	K		
29. Vanguard Rollover IRA									
30. -Vanguard Intermediate Bond Fund (VBILX)	A	Interest	K	T					
31. -Vanguard Prime Money Market (VMMXX)	A	Interest	J	T					
32. -Vanguard Short Term Corp Bond Index	A	Int./Div.	K	T					
33. Vanguard Mutual Fund Account	F								

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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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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
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34. -Vanguard Mun BD Tax Exempt Bond Index EFT (VTEB)	A	Interest	K	T					
35. -Vanguard Prime Money Market Fund (VMMXX) Sweep Account	A	Interest	L	T					
36. -iShares U. S. Preferred Stock ETF	A	Dividend	K	T					
37. -Vanguard Short Term Tax Exempt (VWSUX)	B	Interest	N	T					
38. -Vanguard High Yield Tax Exempt (VWIUX)	B	Interest	L	T					
39. --Vanguard Intermediate Term Tax Exempt (VWIUX)	B	Interest	O	T					
40. -Vanguard Equity Income Investor CL(VEIPX)	C	Dividend	J	T					
41. Vanguard Mun Bd Tax Exempt Bond Index EFT	A	Interest	K	T					
42. Ishares Trust Ishares Preferred and Income SECS EFT	A	Int./Div.	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/ **Jeffrey P. Norman**

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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