

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) Counts, III, Walter D.	2. Court or Organization U.S.D.C. Western District, TX	3. Date of Report 05/07/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. 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 U.S. Courthouse 200 East Wall Street Midland, Texas 79701		
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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. _____	_____
2. _____	_____
3. _____	_____
4. _____	_____
5. _____	_____

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

☐ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1. 1987	Texas County & District Retirement Systems, Austin, Tx (Defined Benefit Plan) - no control
2. _____	_____
3. _____	_____

FINANCIAL DISCLOSURE REPORT

Page 2 of 8

Name of Person Reporting

Counts,III, Walter D.

Date of Report

05/07/2021

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.

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.

FINANCIAL DISCLOSURE REPORT

Page 3 of 8

Name of Person Reporting

Counts,III, Walter D.

Date of Report

05/07/2021

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. Bank of America (Cash)	A	Interest	M	T					
2. Nationwide Highmark Funds (Bond Class A - fixed)	A	Dividend			Sold	09/17/20	J	A	
3. IRA									
4. - Blackrock Equity Dividend FD Cl A MDDVX	A	Dividend	K	T					
5. - Invesco Int'l Growth A AIIEX	A	Dividend	J	T					
6. - DWS Cap Core Fd A SZCAX	A	Dividend	J	T					
7. - Hartford Mut Midcap Fd Cl C HMDCX	A	Dividend	J	T					
8. - Wells Fargo 100% Treasury Money Mkt (cash sweep)	A	Interest	J	T					
9. Empower Retirement (Def'd Comp)									
10. - Putnam Stable Value Fund: 45bps	A	Dividend	K	T					
11. - Vanguard Total Bond Market Index Adm	D	Dividend	L	T					
12. Rent House (Abilene, Taylor County, Texas)	C	Rent			Sold	10/30/20	L	D	
13. Rent House (Lubbock, Lubbock County, Texas)	D	Rent	M	W					
14. TD Ameritrade									
15. - Apple (AAPL)	A	Dividend	K	T	Buy	09/04/20	K		
16. - Rocket (RKT)	A	Dividend	J	T	Buy	09/04/20	J		
17. - Radian (RDN)	A	Dividend	J	T	Buy	09/04/20	J		

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

FINANCIAL DISCLOSURE REPORT

Page 5 of 8

Name of Person Reporting

Counts,III, Walter D.

Date of Report

05/07/2021

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)
18. - Boeing (BA)	A	Dividend	J	T	Buy	09/04/20	J		
19. - Microsoft (MSFT)	A	Dividend	K	T	Buy	09/08/20	K		
20. - T-Mobile (TMUS)	A	Dividend	J	T	Buy	09/09/20	J		
21. - Apple (APPL)	A	Dividend	K	T	Buy	09/11/20	J		
22. - Bank of America (BAC)	A	Dividend	J	T	Buy	09/14/20	J		
23. - Mitek (MITK)	A	Dividend	J	T	Buy	09/14/20	J		
24. - NetApp (NTAP)	A	Dividend	J	T	Buy	09/21/20	J		
25. - Boeing (BA)	A	Dividend			Sold	10/05/20	J	A	
26. - Target (TGT)	A	Dividend	K	T	Buy	10/06/20	K		
27. - Verizon Wireless (VZ)	A	Dividend	J	T	Buy	10/06/20	J		
28. - Apple (AAPL)	A	Dividend	K	T	Buy	11/06/20	J		
29. - Radian (RDN)	A	Dividend	J	T	Buy	11/09/20	J		
30. - Verizon Wireless (VZ)	A	Dividend			Sold	11/09/20	J	A	
31. - Mitek (MITK)	A	Dividend	J	T	Buy	11/09/20	J		
32. - NetApp (NTAP)	A	Dividend			Sold	11/09/20	J	A	
33. - Bank of America (BAC)	A	Dividend	J	T	Buy	11/11/20	J		
34. - Apple (AAPL)	A	Dividend	K	T	Sold (part)	11/12/20	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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 8

Name of Person Reporting

Counts,III, Walter D.

Date of Report

05/07/2021

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)
35. - JP Morgan (JPM)	A	Dividend	J	T	Buy	11/12/20	J		
36. - Microsoft (MSFT)	A	Dividend	K	T	Buy	11/23/20	J		
37. - Associated Banc-Corp (ASB)	A	Dividend	J	T	Buy	11/24/20	J		
38. - Harbor One Bancorp (HONE)	A	Dividend	J	T	Buy	11/24/20	J		
39. - Microsoft (MSFT)	A	Dividend	K	T	Buy	12/08/20	J		
40. - Associated Banc-Corp (ASB)	A	Dividend	J	T	Buy	12/17/20	J		
41. - Ameris Bancorp (ABCB)	A	Dividend	J	T	Buy	12/21/20	J		
42. - Western Alliance (WAL)	A	Dividend	J	T	Buy	12/21/20	J		
43. - NetApp (NTAP)	A	Dividend	J	T	Buy	12/24/20	J		
44. - Harbor One Bancorp (HONE)	A	Dividend			Sold	12/29/20	J	A	
45. - Associated Banc-Corp (ASB)	A	Dividend			Sold	12/29/20	J	A	
46. - Sturm Ruger (RGR)	A	Dividend	J	T	Buy	12/29/20	J		
47. - Mitek (MITK)	A	Dividend			Sold	12/29/20	J	A	
48. - PepsiCo (PEP)	A	Dividend	J	T	Buy	12/30/20	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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 8

Name of Person Reporting

Counts,III, Walter D.

Date of Report

05/07/2021

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

II.1. As of termination of employment, neither I nor my former employer contribute to this plan.

VII.6. Formerly Deutsch Value Ser Inc Small Cap Value Fd Cl C - at some point name changed to DWS Small Cap Core, and on approximately 9/11/20 the company had a share class exchange from C to A (at the 10-year mark of holding the fund)

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

Counts,III, Walter D.

Date of Report

05/07/2021

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/ **Walter D. Counts,III**

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