

**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) Autrey, Henry E.	2. Court or Organization US District Court, EDMO	3. Date of Report 11/10/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☐ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2019 to 12/31/2019
7. Chambers or Office Address 111 S. Tenth Street Suite 10.148 St. Louis, MO 63102		
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.)*

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	President	Dulcinea, Inc.
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. 3/18/2012	I receive vested retirement benefits from the State of Missouri (benefits began 3/18/12)
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 13

Name of Person Reporting

Autrey, Henry E.

Date of Report

11/10/2021

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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2019	State of Missouri -- Pension	\$54,000.00
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2019	State of Missouri
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.				

FINANCIAL DISCLOSURE REPORT

Page 2 of 13

Name of Person Reporting

Autrey, Henry E.

Date of Report

11/10/2021

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.		
2.		
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 13

Name of Person Reporting

Autrey, Henry E.

Date of Report

11/10/2021

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) 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. BCE Incorporated com (BCE)	B	Dividend	K	T					
2. Logitech International S A SHS (LOGI)	A	Dividend	K	T					
3.					Buy (add'l)	04/16/19	K		
4. Money Market - Commerce Bank	A	Interest	J	T					
5. ADP	B	Dividend							
6.					Buy (add'l)	01/22/19	K		
7.					Sold (part)	07/16/19	L		
8.					Sold	12/09/19	L		
9. Pepsico Incorporated (PEP)	C	Dividend	M	T	Buy (add'l)	10/10/19	K		
10. BCE Incorporated com (BCE)	B	Dividend	K	T					
11. SPDR Gold Shares		None			Buy	01/22/19	J		
12.					Sold	07/25/19	J		
13. Anthem Incorporated (ANTM)	A	Dividend			Buy (add'l)	01/22/19	K		
14.					Buy (add'l)	02/04/19	K		
15.					Sold	04/16/19	L		
16. Emerson Electric (EMR)	A	Dividend							
17.					Buy (add'l)	01/22/19	J		

1 Income Gain Codes: (See Columns B1 and D4)	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	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
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FINANCIAL DISCLOSURE REPORT

Page 5 of 13

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18.					Sold (part)	05/29/19	K		
19.					Sold	08/06/19	K		
20. Alibaba Group Holding Limited Sponsorers ADS (BABA)		None	M	T	Buy (add'l)	01/22/19	K		
21.					Buy (add'l)	02/04/19	K		
22.					Sold (part)	12/09/19	K		
23.					Buy (add'l)	12/17/19	K		
24. Abbvie Inc (ABBV)	C	Dividend							
25.					Buy (add'l)	01/22/19	K		
26.					Sold (part)	06/27/19	L		
27.					Sold	07/16/19	K		
28. Deere & Company (DE)	A	Dividend							
29.					Sold (part)	05/29/19	K		
30.					Sold	07/16/19	K		
31. Verizon Communications Inc (VZ)	C	Dividend	M	T					
32. Apple Inc (AAPL)	B	Dividend	M	T					
33.					Buy	02/04/19	K		
34.					Buy (add'l)	03/14/19	K		

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FINANCIAL DISCLOSURE REPORT

Page 6 of 13

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35.					Buy (add'l)	04/16/19	K		
36.					Buy (add'l)	08/26/19	K		
37.									
38. Pfizer Inc (PFE)	A	Dividend							
39.					Buy (add'l)	02/04/19	K		
40.					Sold (part)	05/13/19	K		
41.					Sold	05/29/19	K		
42. Valero Energy Corp. (VLO)	C	Dividend	L	T					
43.					Buy (add'l)	02/04/19	J		
44.					Buy (add'l)	03/21/19	K		
45.					Buy (add'l)	04/16/19	K		
46. Ishares TR US AER DEF ETF (ITA)	A	Dividend							
47.					Buy (add'l)	02/04/19	K		
48.					Sold (part)	07/16/19	K		
49.					Sold	07/25/19	L		
50. Lowes Companies Inc (LOW)	B	Dividend							
51.					Sold (part)	11/25/19	L		

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FINANCIAL DISCLOSURE REPORT

Page 7 of 13

Name of Person Reporting

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52.					Sold (part)	12/09/19	K		
53.					Sold	12/17/19	K		
54. Centene Corporation DEL (CNC)		None			Transfer In	02/07/19			
55.					Sold (part)	04/09/19	L		
56.					Sold	04/16/19	K		
57. United Technologies Corp (UTX)	B	Dividend							
58.					Sold (part)	03/21/19	L		
59.					Sold	06/19/19	L		
60. Cigna Corporation New (CI)	A	Dividend			Sold	03/19/19	J		
61. Microsoft Corporation (MSFT)	B	Dividend	M	T					
62. Ishares TR U.S. Real ES ETF (IYR)			K	T	Buy	03/21/19	K		
63.	B	Dividend							
64. Spire (SR)			K	T	Buy	03/21/19	K		
65.	A	Dividend							
66. Union Pacific Corporation (UNP)	C	Dividend	L	T					
67.					Sold (part)	03/21/19	K		
68.					Buy	04/16/19	K		

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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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FINANCIAL DISCLOSURE REPORT

Page 8 of 13

Name of Person Reporting

Autrey, Henry E.

Date of Report

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69.					Sold (part)	10/22/19	L		
70. Royce Micro Cap Trust (RMT)	A	Dividend			Sold (part)	06/25/19	J		
71.					Sold (part)	06/25/19	J		
72.					Sold (part)	09/27/19	J		
73.					Sold (part)	09/27/19	J		
74.					Sold	10/10/19	J		
75. Cisco Systems Inc (CSCO)	A	Dividend							
76.					Buy	04/16/19	K		
77.					Buy (add'l)	08/26/19	J		
78.					Sold (part)	10/10/19	K		
79.					Sold	12/17/19	J		
80. Arbor RLTY TR Inc. (ABR)			K	T	Buy	05/29/19	J		
81.					Buy (add'l)	08/26/19	J		
82.	A	Dividend							
83. ARES COML Real Estate Corp. REIT (ACRE)			K	T	Buy	05/29/19	K		
84.	A	Dividend							
85. Worldpay Inc. Class A (3WPOLD)		None			Buy	05/29/19	K		

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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 9 of 13

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Autrey, Henry E.

Date of Report

11/10/2021

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86.					Buy (add'l)	07/16/19	K		
87.					Buy (add'l)	07/25/19	K		
88.					Merged (with line 89)	08/01/19	J		
89. Fidelity Natl Information Svcs (FIS)	A	Dividend	K	T	Open	08/01/19	J		
90.					Sold (part)	08/06/19	J		
91.					Buy (add'l)	08/26/19	L		
92.					Sold (part)	09/24/19	L		
93.					Sold (part)	10/10/19	K		
94. Paypal Holdings Inc. (PYPL)		None	L	T	Buy	05/29/19	K		
95.					Buy (add'l)	06/27/19	K		
96.					Buy (add'l)	08/06/19	K		
97. Yum Brands Inc. (YUM)			K	T	Buy	06/11/19	K		
98.					Buy (add'l)	06/19/19	K		
99.					Buy (add'l)	08/07/19	K		
100.	A	Dividend							
101.					Sold (part)	11/18/19	K		
102. Dollar General Corp (DG)					Buy	06/19/19	K		

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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 10 of 13

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103.					Buy (add'l)	07/16/19	K		
104.	A	Dividend							
105.					Buy (add'l)	09/16/19	K		
106.					Sold (part)	12/09/19	K		
107.					Sold	12/17/19	K		
108. Colgate Palmolive Co (CL)			K	T	Buy	06/27/19	J		
109.	A	Dividend							
110.					Buy (add'l)	08/06/19	K		
111. Enterprise Products Partners LP (EPD)			K	T	Buy	07/16/19	K		
112.	A	Distribution							
113. Match Group Inc. (MTCH)		None			Buy	07/25/19	K		
114.					Buy (add'l)	08/26/19	K		
115.					Sold (part)	09/16/19	K		
116.					Sold	10/10/19	K		
117. Kansas City Southern COM (KSU)		None	L	T	Buy	09/13/19	K		
118.					Buy (add'l)	10/22/19	K		
119. AT&T Inc. (T)			K	T	Buy	09/13/19	K		

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FINANCIAL DISCLOSURE REPORT

Page 11 of 13

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120.	A	Dividend							
121. Omega Healthcare INVS Inc. REIT (OHI)			K	T	Buy	09/24/19	K		
122.	A	Dividend							
123. Algonquin PWR UTILS Corp (AQN)			K	T	Buy	09/24/19	K		
124.					Buy (add'l)	10/10/19	J		
125.	A	Dividend							
126. ARES CAP Corp. (ARCC)			K	T	Buy	11/06/19	K		
127.	A	Dividend							
128. TJX Companies Inc. (TJX)			K	T	Buy	10/22/19	K		
129.	A	Dividend							
130. Lululemon Athletica Inc. (LULU)		None	M	T	Buy	11/18/19	K		
131.					Buy (add'l)	12/09/19	K		
132.					Buy (add'l)	12/17/19	K		
133. Target Corp. (TGT)		None	K	T	Buy	11/25/19	K		
134. Zimmer Biomet HLDGS Inc. (ZBH)		None	L	T	Buy	12/09/19	L		
135. Berkshire Hathaway Inc. DEL Class B		None	M	T					
136.									

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 12 of 13

Name of Person Reporting

Autrey, Henry E.

Date of Report

11/10/2021

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

FINANCIAL DISCLOSURE REPORT

Page 13 of 13

Name of Person Reporting

Autrey, Henry E.

Date of Report

11/10/2021

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/ **Henry E. Autrey**

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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One Columbus Circle, N.E.
Washington, D.C. 20544