

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) Bennett, Alfred H.	2. Court or Organization SOUTHERN DISTRICT OF TEXAS	3. Date of Report 07/30/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) UNITED STATES 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 BOB CASEY UNITED STATES COURTHOUSE 515 RUSK ST. HOUSTON, TX 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. BOARD MEMBER	UTLAW SCHOOL FOUNDATION
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 11

Name of Person Reporting

Bennett, Alfred H.

Date of Report

07/30/2021

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.		
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.				

Name of Person Reporting	Date of Report
Bennett, Alfred H.	07/30/2021

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.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 11

Name of Person Reporting

Bennett, Alfred H.

Date of Report

07/30/2021

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. Bank of America	A	Interest	K	T					
2. Wells Fargo	A	Interest	M	T					
3. Amazon		None	N	T					
4. American Funds Capital Income Builder		None	K	T					
5. American Funds Capital World Bond Fund	C	Dividend	M	T					
6. American Funds Capital World Growth and Income Fund	A	Dividend	M	T					
7. American Funds EuroPacific Growth Fund	A	Dividend	L	T					
8. American Funds Fundamental Investors	A	Dividend	K	T					
9. American Funds High Index	A	Dividend	J	T					
10. Investment Co of America Fund (American Funds)	B	Dividend	M	T					
11. American Funds New Economy	A	Dividend	J	T					
12. American Funds New Perspective Fund	A	Dividend	L	T					
13. American Funds SmallCap World Fund	A	Dividend	M	T					
14. Growth Fund of America (American Funds)	B	Dividend	N	T					
15. Apple Computer (stock)	A	Dividend	K	T					
16. Ariel Appreciation Fund	A	Dividend	J	T					
17. AT &T	A	Dividend	J	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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 11

Name of Person Reporting

Bennett, Alfred H.

Date of Report

07/30/2021

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. Black Rock Equity Dividend 529 option		None	J	T					
19. Black Rock Growth Target Risk 529 option		None	J	T					
20. College America 529 Captial Income Builder		None	K	T					
21. College America 529 Capital World Growth		None	L	T					
22. College America 529 Investment Co of America		None	L	T					
23. College America 529 New Perspective Fund		None	L	T					
24. College America 529 Growth Fund of America		None	M	T					
25. Columbia Seligman Communication and Information Fund	A	Dividend	M	T					
26. Delaware High Yield Opportunities Fund	A	Dividend	K	T					
27. Walt Disney Co.	A	Dividend	K	T					
28. Eaton Vance Dividend Builder Fund	B	Dividend	M	T					
29. Eaton Vance Worldwide Health Sciences Fund	A	Dividend	L	T					
30. First Eagle Fund of America	A	Dividend	L	T					
31. First Trust Aerospace Defense UIT	A	Dividend			Redeemed	03/31/20	K	B	
32. First Trust AI Robotics Tech		Int./Div.	J	T					
33. First Trust Bio Technology Portfolio UIT	A	Dividend			Redeemed	03/20/20	K	B	
34. First Trust Cloud Computing UIT	A	Dividend	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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 11

Name of Person Reporting

Bennett, Alfred H.

Date of Report

07/30/2021

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. First Trust Deep Value UIT	A	Dividend			Redeemed	02/19/20	J	B	
36. First Trust Div Strength UIT	A	Dividend			Redeemed	02/03/20	K	B	
37. First Trust Energy Sel UIT	A	Dividend			Redeemed	03/17/20	J	A	
38. Frist Trust Healthcare Select UIT	A	Dividend			Redeemed	08/25/20	K	B	
39. First Trust Innovative Tech Port UIT	A	Dividend	K	T	Buy (add'l)	04/01/20	K		
40. First Trust Small/Mid Cap Strength UIT	B	Dividend	K	T					
41. First Trust Sabrient Div Portfolio UIT	A	Dividend			Redeemed	07/28/20	K	B	
42. Franklin Mutual Global Discovery Fund	B	Dividend	L	T					
43. Franklin Rising Dividends Fund	A	Dividend	L	T					
44. John Hancock Preferred Income	B	Dividend	K	T					
45. Kraft-Heinz/ Kraft Foods (stock)	A	Dividend	J	T					
46. Lord Abbett Value Opportunities	A	Dividend	L	T					
47. Lord Abbett Ultra Short Bond Fund	A	Dividend	M	T					
48. LyondellBasell (stock)	A	Dividend	J	T					
49. McDonald's (stock)	A	Dividend	J	T					
50. Merck (stock)	A	Dividend	K	T					
51. MFS Utilities Fund	A	Dividend	J	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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 11

Name of Person Reporting

Bennett, Alfred H.

Date of Report

07/30/2021

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)
52. Microsoft (stock)	A	Dividend	J	T					
53. Mondelez (stock)	A	Dividend	J	T					
54. Netflix			L	T					
55. Pimco Long-Term US Government Fund	A	Dividend	J	T					
56. Pimco Real Return Fund	A	Dividend	J	T					
57. Pimco Total Return Fund	A	Dividend	K	T					
58. Invesco QQQ Trust, Series 1 (ETF)	A	Dividend	L	T					
59. Royce Premier Fund	A	Dividend	L	T					
60. Royce Special Equity Fund	A	Dividend	L	T					
61. Starbucks (stock)	A	Dividend	L	T					
62. Templeton World Advisor Fund	B	Dividend	L	T					
63. Atlanta GA Water and Waste Bond	A	Interest	K	T					
64. Beaumont, TX Independent School District	A	Interest	K	T					
65. Belton, TX Independent School District Bond	A	Interest	J	T					
66. Broadview, IL Assur Bond	A	Interest	K	T					
67. California Muni Fin Authority Bond	A	Interest	K	T					
68. Cypress-Fairbanks, TX Independent School District Bond	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	

FINANCIAL DISCLOSURE REPORT

Page 8 of 11

Name of Person Reporting

Bennett, Alfred H.

Date of Report

07/30/2021

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)
69. Evansville Ind Redev Authority Bond	B	Interest	K	T					
70. Grand Rapid Michigan Public Schools Bond	A	Interest	J	T					
71. Hawaii Pacific Health Bond	B	Interest			Redeemed	07/01/20	K	A	
72. Jacksonville, TX Independent School District Bond	A	Interest	J	T					
73. Lancaster, PA Bond	A	Interest	K	T					
74. Lucas County, OH Hospital Bond	C	Interest	K	T					
75. Metropolitan WTR Dist. S Calif Waterworks Bond	A	Interest	K	T					
76. Missouri Municipal Elec Util Bond	A	Interest	K	T					
77. Mississippi Dev Bond	A	Interest	K	T					
78. Nassau County Assur Bond	A	Interest	K	T					
79. New Castle Cty, Del Bond	A	Interest	J	T					
80. NY, NY City Mun WT Bond	A	Interest	K	T					
81. NY State Urban Development Bond	A	Interest	K	T					
82. Rock Island, IL Public Bldg Rev Bond	B	Interest	K	T					
83. Pace Government Money Market	A	Interest	J	T					
84. TransAmerica Liberty 2008 Class L Annuity		None	N	T					
85. Rental property #1, Houston, TX	E	Rent	N	W					

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	

Table with 2 columns: Name of Person Reporting, Date of Report. Row 1: Bennett, Alfred H., 07/30/2021

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.)

Table with 10 columns: A (Description of Assets), B (Income during reporting period), C (Gross value at end of reporting period), D (Transactions during reporting period). Rows include Series EE Savings Bonds, Allstate Universal Life Insurance, NY Life Variable Life Insurance, and an empty row.

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

FINANCIAL DISCLOSURE REPORT

Page 10 of 11

Name of Person Reporting Bennett, Alfred H.	Date of Report 07/30/2021
---	---

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

FINANCIAL DISCLOSURE REPORT

Page 11 of 11

Name of Person Reporting

Bennett, Alfred H.

Date of Report

07/30/2021

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/ **Alfred H. Bennett**

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