

**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) Cummings, Samuel R.	2. Court or Organization U.S. District Court Northern District of Texas	3. Date of Report 03/09/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Senior	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 1205 Texas Avenue Room 308 Lubbock, Texas 79401		
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.)*

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

Cummings, Samuel R.

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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.)

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.

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Cummings, Samuel R.	03/09/2021

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.		

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Name of Person Reporting

Cummings, Samuel R.

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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) 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. money market-savings - Wells Fargo Bank	B	Interest	O	T					
2. Oil & Gas Royalty & Working Interests: (H)									
3. --Dynegy (Targo) Midstream Service	A	Royalty			Sold	01/01/20	J	A	
4. --Roy Furr Estate Operator	A	Royalty	J	W					
5. Steward Energy	E	Royalty	L	W					
6. Brokerage Account #1 (H) TIC									
7. --CD - Provincial Financial Bank, Clayton, MO	B	Interest	K	T					
8. --CD - National Republic Bank, Chicago, IL	A	Interest	J	T					
9. --Bond - Barbers Hill TX ISD	B	Interest			Redeemed	02/18/20	K	A	
10. --Bond - Ft. Worth TX CTF oblig.	B	Interest			Redeemed	07/16/20	L	A	
11. --Bond - NW Harris County Municipal Utility District	C	Interest	L	T					
12. --Bond - Donna TX ISD School Building PSF	B	Interest			Redeemed	02/18/20	L	A	
13. --Bond - Pharr San Juan Alamo TX ISD	B	Interest			Redeemed	02/03/20	L	A	
14. --Bond - Lubbock TX ISD Sch Bldg Fund PSF	B	Interest			Redeemed	02/18/20	L	A	
15. --Burleson TX CTF oblig.	A	Interest	K	T					
16. --McKinney TX Ind. Sch. Dis. g/o	A	Interest	L	T					
17. Brokerage Account #2 (H) IRA									

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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18. --CD - Bank of North Carolina, Thomasville, NC	B	Interest	M	T					
19. --CD - Discover Bank, Greenwood, DE	B	Interest	M	T					
20. Brokerage Account #1 (H) TIC									
21. --Bond - Texas Tech University Bond	A	Interest	K	T					
22. --Bond - Temple Tex. Rev. & Ltd. Tax Bds	A	Interest	K	T					
23. Brokerage Account #2 (H) IRA									
24. --Nuveen Quality Preferred FD3	B	Dividend	K	T					
25. --Nuveen Quality Preferred FD3	B	Dividend	K	T					
26. Brokerage Account #1 (H) TIC									
27. --Bond - Ft. Bend TX Util Dis BDS	B	Interest			Redeemed	09/01/20	L	A	
28. --Bond - Victoria County TX Jr. College Dist.	B	Interest	L	T					
29. --Bond - Crowley TX ISD	B	Interest	L	T					
30. --Bond-50 Northside Tex. Ind. Sch. Dis. Tax Bds	B	Interest	L	T					
31. --Bond-Stanton TX ISD Bldg. Bds	B	Interest	L	T					
32. --Bond-North Hopkins TX ISD	B	Interest	L	T					
33. --Bond-Weston Mun. Ut. Dis. TEXU Ltd Bonds	B	Interest	L	T					
34. --Bond-Cypress Hill Mun. Dist. No. 1	B	Interest	L	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	
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35. Brokerage Account #2 (H) (IRA)									
36. --825 shares Tr. High Dividend ETF	B	Dividend	L	T					
37. Brokerage Account #1 (H) TIC									
38. --Bond-Lake Mun. Ut. Dis. Tax	B	Interest	M	T					
39. --Bond-Edinburgh Tax & Rev. CTFS oblig.	B	Interest	K	T					
40. --Bond-Houston Higher Ed. Fin. Corp.	B	Interest	L	T					
41. --Bond-Fort Bend Cnty. Util. Dist.	B	Interest	K	T					
42. Brokerage Account-#2 (H) IRA									
43. --First Tr Value Divid Index SHS	B	Dividend	M	T					
44. --First Tr ETF Staples ALPHA DEX	B	Dividend	M	T					
45. --Global X FD DIS ETF	B	Dividend	L	T					
46. --Wells Fargo Corporate Bond	B	Interest			Redeemed	02/19/20	M	A	
47. --Wells Fargo Corporate Bond	B	Interest	L	T					
48. --JP Morgan Chase Corporate Bond	B	Interest	M	T					
49. Brokerage Account #1 (H) TIC									
50. --Travis Cnty Ctfs of Oblig	B	Interest	K	T					
51. --New Caney Util Dis Tax Bds	B	Interest	L	T					

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	(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. --Travis Cnty Tx Mun Util Dis No. 16	C	Interest	M	T					
53. --Lbb Cooper ISD Bond	B	Interest	K	T					
54. --Houston Tx Bds	B	Interest	L	T					
55. --Tomball Tx ISD Bds	B	Interest	M	T					
56. --Centerville Tx ISD Bds	B	Interest	M	T					
57. --Alief Tx ISD Bds	B	Interest	L	T					
58. --Chambers County Bds	B	Interest	L	T					
59. --Willow Fork Drain Dis Tx Bds	B	Interest	M	T					
60. --College Station Tx ISD Bds	B	Interest	L	T					
61. --Klein Tx ISD Bds	B	Interest	L	T					
62. --Lovejoy Tx ISD Bds	B	Interest	M	T					
63. --Prosper Tx ISD Bds	B	Interest	L	T					
64. --Red Oak Tx ISD Bds	B	Interest	M	T					
65. --Tex Tech Rev Bds	B	Interest	M	T					
66. --Borger Tx ISD Bds	B	Interest	M	T					
67. --Harris Co. Tx Mun Bds	B	Interest	L	T					
68. --Pharr San Juan Tx ISD Bds	B	Interest			Redeemed	02/03/20	L	A	

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69. --West Harris Co. Tx Mun Bds	B	Interest	M	T					
70. --Horizon Tx Mun. Bds	B	Interest	L	T					
71. --Plano Tx GO Bds	B	Interest	L	T					
72. --Woodcreek Resv Munc Util Bds	B	Interest	K	T					
73. --Whitehouse Tx ISD Bds	B	Interest	M	T					
74. --El Paso Hosp Dis Bds	B	Interest	M	T					
75. --Irving Tx Bds	B	Interest	M	T					
76. --North Tx Mun WTR Rev Bds	B	Interest	L	T					
77. --Waco Tx Rev CTFS	B	Interest	M	T					
78. --Arlington Fin Corp Harmony Pub Schs	B	Interest	M	T					
79. --Richardson CTFS of Oblig	B	Interest	M	T					
80. --Harris - Mtgy Co Mun Util Dis	A	Interest	L	T					
81. --Willow Fork Drain Dis Util Bds	A	Interest	L	T					
82. --Hartford Finan FIX/FLT 42	B	Dividend	L	T					
83. --Public Storage SHS	B	Dividend	L	T					
84. --Wells Fargo Dep SHS	B	Dividend	L	T					
85. --Ector Cnty CTFS of Oblig.	B	Interest	L	T					

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86. --Waco Tx CTFS of Oblig.	B	Interest	L	T					
87. --Brazoria Co UT Dist Bds	B	Interest	L	T					
88. --Paloma Lake Tx Bds	B	Interest	L	T					
89. Brokerage Acct. #2 IRA									
90. --First Trust DSIP Portfolio	B	Interest	M	T					
91. --2017 BJ ELN Series	B	Interest	L	T					
92. --ISHARES USA ETF	B	Dividend	L	T					
93. Brokerage Acct. #1 TIC									
94. --University TX BDS	B	Interest	L	T					
95. --Frisco TX ISD	B	Interest	L	T					
96. --Hidalgo Cnty TX CFTS OBLIG	B	Interest	M	T					
97. --Texas Tech Univ BDS Ser 2015A	A	Interest	L	T					
98. Brokerage Acct. #2 IRA									
99. --First Trust DVD 2Q '18 Term	B	Dividend	M	T					
100. --First Trust S&P DVD Target	B	Dividend	M	T					
101. Brokerage Acct. #1 (TTC)									
102. --Denton County WTR Supply Dist. BDS	B	Interest	M	T					

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103. --St. George Redev TX BDS	B	Interest	L	T					
104. --Goldthwaite TX ISD BDS	B	Interest	L	T					
105. --Montgomery Cnty WTR IMPT Dis TX Bds	B	Interest	L	T					
106. --Travis Co. Util. Dis BDS	A	Interest	K	T					
107. Brokerage Acct. #2 (IRA)									
108. --Smart Trust Equities Trust	B	Dividend			Redeemed	07/23/20	M	A	
109. --Wells Fargo CD	B	Interest			Redeemed	07/30/20	M	A	
110. --First Trust S&P DVD Target 25	C	Dividend	N	T					
111. --Invpsco DVD Portfolio 193 Term	C	Dividend	N	T					
112. --Guggenheim Strategy 029 Term	B	Dividend	L	T					
113. Brokerage Acct. #1 TIC									
114. --Nuveen Amt Mun. Income	D	Int./Div.			Buy	02/19/20	N		
115. --Nuveen Amt Mun. Income	A	Int./Div.			Buy	09/08/20	K		
116. Brokerage Acct. #2 IRA									
117. --1 Shares Trust Select DIVID ETF	B	Dividend	M	T	Buy	02/25/20	M		
118. --First Trust Amer. Reinvtm Unit Trust	B	Dividend	M	T	Buy	08/11/20	M		
119. --Guggenheim US Capitol Portfolio	A	Dividend	K	T	Buy	08/11/20	K		

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	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)
120. --Smart Trust Defensive 50 Equities	B	Dividend	M	T	Buy	08/11/20	M		
121.									
122.									
123.									
124.									
125.									
126.									
127.									

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

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Name of Person Reporting

Cummings, Samuel R.

Date of Report

03/09/2021

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

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Cummings, Samuel R.

Date of Report

03/09/2021

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/ Samuel R. Cummings

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