

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) Jones, David R.	2. Court or Organization U.S. Bankruptcy Court, Southern District of Texas	3. Date of Report 07/06/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. 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 U.S. Courthouse 515 Rusk Street, Room 4202 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

Jones, David R.

Date of Report

07/06/2021

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. 07/20	Texas Southern University (teaching)	\$3,000.00
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.	
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
Jones, David R.	07/06/2021

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

Jones, David 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)	(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. BOA Bank Accounts	A	Interest	O	T					
2. ING Bank Account n/k/a Capital One 360	B	Interest	M	T					
3. Discover Bank	C	Interest	M	T					
4. ING Cap. Allocation Mutual Fund n/k/a VOYA Cap. Allocation Fund	A	Int./Div.	J	T					
5. Am/Ex Bank Account	C	Interest	M	T					
6. AEP common (IRA)	A	Dividend	K	T					
7. BA Depository Shares	A	Dividend	K	T					
8. Chevron common (IRA)	B	Dividend	K	T					
9. Conoco Phillips/Phillips 66 common (IRA)	B	Dividend	K	T					
10. Exxon common (IRA)	B	Dividend	J	T					
11. Fedex common (IRA)	A	Dividend	L	T					
12. Royal Dutch common (IRA)	B	Dividend	J	T					
13. American Balance Fund (IRA)	C	Int./Div.	M	T	Buy (add'l)	03/17/20	J		
14.					Buy (add'l)	06/16/20	J		
15.					Buy (add'l)	09/15/20	J		
16.					Buy (add'l)	12/16/20	J		
17. Capital World Growth & Income Fund (IRA)	B	Int./Div.	M	T	Buy (add'l)	12/16/20	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	

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.					Buy (add'l)	09/15/20	J		
19.					Buy (add'l)	06/16/20	J		
20.					Buy (add'l)	03/17/20	J		
21. JP Morgan Chase Lkd to Dollar (IRA)	A	Interest	M	T					
22. Fundamental Investors Fund (IRA)	C	Int./Div.	N	T	Buy (add'l)	03/19/20	J		
23.					Buy (add'l)	06/18/20	J		
24.					Buy (add'l)	09/17/20	J		
25.					Buy (add'l)	12/21/20	J		
26. Income Fund of America (IRA)	D	Int./Div.	N	T	Buy (add'l)	03/17/20	J		
27.					Buy (add'l)	06/16/20	J		
28.					Buy (add'l)	09/15/20	J		
29.					Buy (add'l)	12/16/20	J		
30. Templeton Dragon Fund (IRA)	D	Distribution	L	T					
31. Washington Mutual Fund (IRA)	C	Int./Div.	N	T	Buy (add'l)	03/19/20	J		
32.					Buy (add'l)	06/18/20	J		
33.					Buy (add'l)	09/17/20	J		
34.				T	Buy (add'l)	12/21/20	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

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Name of Person Reporting

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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)
35. Colony Tex Dec. Corp Tax Increment Contract (IRA)	C	Int./Div.	L	T					
36. The Growth Fund of America (IRA)	A	Int./Div.	M	T	Buy (add'l)	12/21/20	J		
37. AMCAP Fund Class A (IRA)	A	Int./Div.	M	T	Buy (add'l)	12/17/20	J		
38.					Buy (add'l)	06/18/20	J		
39. GMS Group Money Market (Federated Gov't Reserves) Clearing Acct.	A	Int./Div.	J	T					
40. Texas Muncipal Bonds	G	Interest	P2	T	Redeemed (part)	09/01/20	K	A	
41.					Redeemed (part)	06/12/20	K	B	
42.					Redeemed (part)	09/01/20	K	A	
43.					Redeemed (part)	09/01/20	K	A	
44.					Redeemed (part)	09/01/20	L	A	
45.					Redeemed (part)	08/17/20	K	B	
46.					Redeemed (part)	12/01/20	K	A	
47.					Redeemed (part)	09/01/20	K	A	
48.					Redeemed (part)	09/15/20	K	A	
49.					Redeemed (part)	06/12/20	J	A	
50.					Redeemed (part)	06/12/20	K	A	
51.					Redeemed (part)	02/19/20	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	

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.					Redeemed (part)	12/24/20	L	A	
53.					Redeemed (part)	05/01/20	L	A	
54.					Redeemed (part)	09/01/20	K	A	
55.					Redeemed (part)	09/01/20	K	A	
56.					Redeemed (part)	09/21/20	K	A	
57.					Redeemed (part)	04/14/20	K	A	
58.					Redeemed (part)	04/01/20	K	A	
59.					Redeemed (part)	05/21/20	K	A	
60.					Redeemed (part)	08/17/20	K	A	
61.					Buy (add'l)	06/03/20	K		
62.					Buy (add'l)	09/02/20	L		
63.					Buy (add'l)	08/28/20	K		
64.					Buy (add'l)	04/29/20	K		
65.					Buy (add'l)	10/27/20	K		
66.					Buy (add'l)	02/26/20	K		
67.					Buy (add'l)	02/19/20	J		
68.					Buy (add'l)	03/25/20	L		

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

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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)
69.					Buy (add'l)	02/24/20	K		
70.					Buy (add'l)	04/28/20	K		
71.					Buy (add'l)	07/17/20	L		
72.					Buy (add'l)	02/27/20	J		
73.					Buy (add'l)	08/28/20	M		
74.					Buy (add'l)	04/30/20	K		
75.					Buy (add'l)	08/20/20	L		
76.					Buy (add'l)	05/29/20	J		
77.					Buy (add'l)	06/09/20	K		
78.					Buy (add'l)	03/17/20	K		
79.					Buy (add'l)	09/17/20	L		
80.					Buy (add'l)	03/17/20	K		
81.					Buy (add'l)	02/25/20	K		
82.					Buy (add'l)	12/02/20	K		
83. Colorado Municipal Bonds	D	Interest	M	T	Sold (part)	12/18/20	J	A	
84.					Sold (part)	12/18/20	L	A	
85. Conocophillips.com	B	Dividend	L	T					

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

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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

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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.)

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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)
86. P&G common	B	Dividend	K	T					
87. Washington Mutual Fund	C	Int./Div.	L	T	Buy (add'l)	12/21/20	J		
88.					Buy (add'l)	09/17/20	J		
89.					Buy (add'l)	06/18/20	J		
90.					Buy (add'l)	03/19/20	J		
91. Am Ex Annuity	D	Interest	M	T					
92. Fundamental Investors Fund (SIRA)	C	Int./Div.	L	T	Buy (add'l)	12/21/20	J		
93.					Buy (add'l)	09/17/20	J		
94.					Buy (add'l)	06/18/20	J		
95.					Buy (add'l)	03/19/20	J		
96. AMCAP FUND Class A	D	Distribution	N	T	Buy (add'l)	12/17/20	J		
97. John Hancock Tax Advantage Fund	B	Distribution	K	T					
98. The Growth Fund of America			L	T	Buy	12/23/20	L		
99. John Hancock Fin. Opportunities Fund	B	Int./Div.	K	T	Buy	02/03/20	K		
100.									

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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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/ **David R. Jones**

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