

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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) Fitzwater, Sidney A.	2. Court or Organization U.S. District Court, Northern District of Texas	3. Date of Report 03/26/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Senior Status	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2018 to 12/31/2018
7. Chambers or Office Address U.S. Courthouse 1100 Commerce St., Room 1528 Dallas, Texas 75242-1035		
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 9

Name of Person Reporting

Fitzwater, Sidney A.

Date of Report

03/26/2019

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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE AND TYPE

1. 2018

Cheryl Henry - salary

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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. _____

2. _____

3. _____

4. _____

5. _____

FINANCIAL DISCLOSURE REPORT

Page 3 of 9

Name of Person Reporting

Fitzwater, Sidney A.

Date of Report

03/26/2019

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 9

Name of Person Reporting

Fitzwater, Sidney A.

Date of Report

03/26/2019

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. American Funds-Wash. Mut. Invs. Fund-A	A	Dividend	J	T					
2. UBS Bank USA Deposit Acct.	A	Interest	K	T					
3. 3M Corp. Common Stock	A	Dividend	K	T					
4. J.P. Morgan Chase & Co. Common Stock	A	Dividend	J	T					
5. Trust # 2 (Nos. 5-10) (H)									
6. -UBS RMA Gov't Money Mkt. Fund	A	Dividend	K	T					
7. -Lord Abbett Income Fund-Class A	B	Dividend	K	T					
8. -Lord Abbett Intermediate Tax Free Fund- Class A	B	Dividend	K	T					
9. -Lord Abbett Short Duration Income Fund- Class A	B	Dividend	K	T					
10. -Thornburg Limited Term Municipal Fund- Class A	A	Dividend	K	T					
11. Calamos Growth and Income Fund-Class C	A	Dividend	J	T					
12. Lord Abbett Fundamental Equity-Class C (See Part VIII)		None			Merged (with line 13)	05/29/18	J		
13. Lord Abbett Fundamental Equity-Class A (X) (See Part VIII)	A	Dividend	J	T					
14. MFS Total Return Bond Fund-C (See Part VIII)	A	Dividend			Merged (with line 15)	04/24/18	J		
15. MFS Total Return Bond Fund-A (X) (See Part VIII)	A	Dividend	J	T					
16. Lord Abbett Income Fund-Class A	A	Dividend	J	T					
17. Lord Abbett Intermediate Tax Free Fund- Class A	A	Dividend	J	T					

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	B = \$1,001 - \$2,500 F = \$50,001 - \$100,000	C = \$2,501 - \$5,000 G = \$100,001 - \$1,000,000	D = \$5,001 - \$15,000 H1 = \$1,000,001 - \$5,000,000	E = \$15,001 - \$50,000 H2 = More than \$5,000,000
2. Value Codes	J = \$15,000 or less (See Columns C1 and D3)	K = \$15,001 - \$50,000 N = \$250,001 - \$500,000	L = \$50,001 - \$100,000 O = \$500,001 - \$1,000,000	M = \$100,001 - \$250,000 P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000 P4 = More than \$50,000,000
3. Value Method Codes	Q = Appraisal (See Column C2)	R = Cost (Real Estate Only) U = Book Value	S = Assessment V = Other	T = Cash Market W = Estimated	

FINANCIAL DISCLOSURE REPORT

Page 5 of 9

Name of Person Reporting

Fitzwater, Sidney A.

Date of Report

03/26/2019

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)

18. Lord Abbett Short Duration Income Fund-Class A	A	Dividend	J	T					
19. Thornburg Limited Term Municipal Fund-Class A	A	Dividend	J	T					
20. Lincoln Nat'l Corp. Secure Line	C	Interest	M	T					
21. IRA #1 (Nos. 21-26) (H)									
22. -Royce Premier Fund (See Part VIII)	A	Dividend	K	T	Sold (part)	08/09/18	J		
23. -Blackrock Strategic Income A	B	Dividend	K	T					
24. -Blackrock Global Allocation Fund Inc. A (See Part VIII)	A	Dividend	K	T	Sold (part)	08/09/18	J		
25. -First Eagle Global Fund Class A	A	Dividend	K	T	Sold (part)	08/09/18	J	A	
26. -FT-Franklin Income	C	Dividend	K	T	Sold (part)	08/09/18	J	A	
27. Aberdeen Asia-Pacific Income Fund	A	Dividend	J	T					
28. Ameren Corporation Common Stock	A	Dividend	J	T					
29. Consolidated Edison, Inc. Common Stock	A	Dividend	K	T					
30. Dominion Energy, Inc. Common Stock	B	Dividend	K	T					
31. Dreyfus Strategic Municipals Inc. (Closed-End Fund)	A	Dividend	J	T					
32. Duke Energy Corp. Common Stock	B	Dividend	K	T					
33. Entergy Corp. Common Stock	A	Dividend	J	T					
34. Exelon Corp. Common Stock	B	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 9

Name of Person Reporting

Fitzwater, Sidney A.

Date of Report

03/26/2019

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. ExxonMobil Corp. Common Stock	D	Dividend	M	T					
36. Firstenergy Corp. Common Stock	A	Dividend	J	T					
37. NextEra Energy, Inc. Common Stock	B	Dividend	L	T					
38. Hawaiian Electric Industries Inc. Common Stock	A	Dividend	K	T					
39. Express Scripts Holding Co. Common Stock (See Part VIII)		None			Merged (with line 62)	12/20/18	J	A	
40. Merck & Co. Inc. Common Stock	A	Dividend	K	T					
41. Monsanto Co. New Common Stock (See Part VIII)	A	Dividend			Sold	06/07/18	J	C	
42. Nuveen Quality Municipal Income Fund	C	Dividend	K	T					
43. Nuveen Municipal Credit Income Fund	C	Dividend	L	T					
44. Nuveen AMT-Free Quality Municipal Income Fund	B	Dividend	K	T					
45. Nuveen Municipal Value Fund Inc.	B	Dividend	K	T					
46. Nuveen Select Maturities Municipal Fund	A	Dividend	K	T					
47. Pepsico, Inc. Common Stock	B	Dividend	K	T					
48. Pfizer Inc. Common Stock	A	Dividend	K	T					
49. Invesco Van Kampen Municipal Opportunity Trust	A	Dividend	J	T					
50. Westar Energy Inc. Common Stock (See Part VIII)	A	Dividend			Merged (with line 63)	06/04/18	J		
51. Xcel Energy Inc. Common Stock	B	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 \$5,000,000	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 9

Name of Person Reporting

Fitzwater, Sidney A.

Date of Report

03/26/2019

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)

52. TIAA-CREF Savings and Investment Plan (Annuity)		None	M	T					
53. TIAA-CREF (IRA) Managed Allocation Fund II R		None	L	T	Sold (part)	06/05/18	J	B	
54. USAA Tax Exempt Long-Term Bond Fund	D	Interest	M	T					
55. Blackrock Strategic Income A	A	Dividend	J	T					
56. Emerson Electric Co. Common Stock	A	Dividend	J	T					
57. Royal Dutch Shell PLC Common Stock	A	Dividend	J	T					
58. WEC Energy Group Inc. Common Stock	A	Dividend	J	T					
59. Minn. Life Ins. Co. Eclipse Protector Indexed Univ. Life Policy		None	J	T					
60. Enbridge Inc. Common Stock	A	Dividend	J	T					
61. Bank of America Cash Account		None	K	T					
62. Cigna Corp. Common Stock (X) (See Part VIII)		None	J	T					
63. Evergy, Inc. Common Stock (X) (See Part VIII)	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 \$5,000,000	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 9

Name of Person Reporting

Fitzwater, Sidney A.

Date of Report

03/26/2019

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

Part VII, Item Nos. 12 and 13

The asset disclosed as Item No. 12 was exchanged for the asset disclosed as Item No. 13 on May 29, 2018. Because the form does not permit the use of the term "exchanged," I designated the type of transaction in Column D(1) as "merged." No gain code is disclosed in Column D(4) for Item No. 12 because the transaction was a non-taxable exchange that did not result in a gain.

Part VII, Item Nos. 14 and 15

Item No. 14 is reported as Item No. 13 in my 2017 Financial Disclosure Report under the name "MFS Total Return Bond Fund." The specific name is "MFS Total Return Bond Fund-C," under which name it is reported as Item No. 14 in this report. The asset disclosed as Item No. 14 was exchanged for the asset disclosed as Item No. 15 on April 24, 2018. Because the form does not permit the use of the term "exchanged," I designated the type of transaction in Column D(1) as "merged." No gain code is disclosed in Column D(4) for Item No. 14 because the transaction was a non-taxable exchange that did not result in a gain.

Part VII, Item No. 22

No gain code is disclosed in Column D(4) for this item because it was sold at a loss.

Part VII, Item No. 24

No gain code is disclosed in Column D(4) for this item because it was sold at a loss.

Part VII, Item Nos. 39 and 62

Express Scripts Holding Company combined with Cigna Corporation effective December 20, 2018. Because the form does not permit the use of the term "combined," I designated the type of transaction in Column D(1) as "merged." Cigna Corporation is reported in Item No. 62 as a new asset.

Part VII, Item No. 41

Monsanto Company was acquired by Bayer AG effective June 7, 2018 for cash. My shares of Monsanto Company were sold under the terms of this acquisition.

Part VII, Item Nos. 50 and 63

Westar Energy Inc. merged with Evergy, Inc. effective June 4, 2018. Evergy, Inc. was formed by the merger of Westar Energy, Inc. and Great Plains Energy Incorporated. Shares of Westar Energy, Inc. were exchanged for Evergy, Inc. common stock. No gain code is disclosed in Column D(4) for Item No. 50 because the transaction did not result in a gain. Evergy, Inc. is reported in Item No. 63 as a new asset.

FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

Fitzwater, Sidney A.

Date of Report

03/26/2019

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/ Sidney A. Fitzwater**

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