

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) Sheldon, Sam S.	2. Court or Organization U.S. District Court, Southern District Court of Texas	3. Date of Report 08/06/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge - Full-time	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 Southern District of Texas 515 Rusk Street 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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. _____	_____
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. _____	_____
2. _____	_____
3. _____	_____

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Name of Person Reporting

Sheldon, Sam S.

Date of Report

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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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Sheldon, Sam S.	08/06/2021

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. Navient	Student loan	L
2.		
3.		
4.		
5.		

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Name of Person Reporting

Sheldon, Sam S.

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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. Individual Assets (H)									
2. Bank of America (cash)	A	Interest	J	T					
3. Account #1 (H)									
4. Fidelity FDIC Insured Deposit Account (cash) (X)	A	Interest	J	T					
5. Fidelity Money Market Premium (cash eq.)	A	Int./Div.			Buy	04/06/20	O		
6.					Sold (part)	06/09/20	J		
7.					Sold (part)	06/22/20	K		
8.					Sold (part)	07/16/20	J		
9.					Sold (part)	08/07/20	J		
10.					Sold (part)	08/28/20	N		
11.					Sold (part)	08/31/20	L		
12.					Sold (part)	09/04/20	J		
13.					Sold (part)	09/08/20	J		
14.					Sold	10/14/20	J		
15. Fidelity Zero Large Cap Index Fund (FNILX)	A	Dividend	L	T	Sold	04/06/20	M		
16.					Buy	08/28/20	L		
17. Blackrock Mid Cap Growth Equity (BMGAX)		None	L	T	Sold	04/07/20	M		

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	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	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	
3 Value Method Codes (See Column C2)					

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Name of Person Reporting

Sheldon, Sam S.

Date of Report

08/06/2021

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.					Buy	08/31/20	L		
19.					Sold (part)	10/13/20	J	A	
20.					Sold (part)	12/24/20	J	B	
21. Federated Kaufmann Small Cap Fund (FKASX)		None			Sold	04/07/20	M		
22. Fidelity Asset Manager 20% (FASIX)	D	Dividend	N	T	Buy	08/26/20	M		
23.					Buy (add'l)	08/28/20	L		
24. Account #2 (H)									
25. Fidelity Money Market Premium (cash eq.)	A	Int./Div.			Buy	08/24/20	M		
26.					Sold (part)	09/29/20	J		
27.					Sold (part)	10/26/20	L		
28.					Sold (part)	11/20/20	L		
29.					Sold (part)	11/23/20	K		
30.					Sold	12/17/20	K		
31. Fidelity Asset Manager 20% (FASIX)	C	Dividend	N	T	Buy	08/26/20	N		
32. Account #3 (H)									
33. State of Israel--Mazel Tov Bond [REDACTED]		None	J	T					
34. State of Israel--Mazel Tov Bond [REDACTED]		None	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	

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. 8th Sabra Sav 3Y 3.43 Bond		None	J	T					
36. Account #4 (H)									
37. Maryland 529-Global Equity Market Index Portfolio	A	Dividend	L	T	Sold	04/03/20	M		
38.					Buy	08/27/20	L		
39.					Sold (part)	11/23/20	J		
40. Maryland 529 US Treasury Money Market Portfolio	A	Dividend			Buy	04/03/20	M		
41.					Sold (part)	08/12/20	K		
42.					Sold	08/27/20	L		
43. Account #5 (H)									
44. Maryland 529-Global Equity Market Index Portfolio	A	Dividend	M	T	Sold	04/03/20	M		
45.					Buy	08/27/20	L		
46. Maryland 529 US Treasury Money Market Portfolio	A	Dividend			Buy	04/03/20	M		
47.					Sold (part)	07/08/20	J		
48.					Sold	08/27/20	L		
49. Account #6 (H)									
50. Maryland 529-Global Equity Market Index Portfolio	A	Dividend	K	T	Sold	04/03/20	K		
51.					Buy	08/27/20	K		

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

Sheldon, Sam S.

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☐ NONE (No reportable income, assets, or transactions.)

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52.					Sold (part)	12/30/20	J		
53. Maryland 529 US Treasury Money Market Portfolio	A	Dividend			Buy	04/03/20	K		
54.					Sold	08/27/20	K		
55. Account #7 (H)									
56. Fidelity Money Market Account (cash eq.) (SPRXX)	A	Int./Div.			Buy	04/06/20	J		
57.					Sold (part)	08/28/20	J		
58.					Sold	08/31/20	J		
59. Fidelity Zero Large Cap Index Fund	A	Dividend	J	T	Buy	08/28/20	J		
60.					Sold (part)	12/30/20	J	A	
61. Blackrock Mid Cap Growth Equity (BMGAX)		None	J	T	Sold	04/07/20	J		
62.					Buy	08/31/20	J		
63.					Sold (part)	12/31/20	J	A	
64. Morgan Stanley Global Opportunity A (MGGPX)		None			Sold	04/06/20	J	B	
65. Fidelity Asset Manager 20%	A	Dividend			Buy	08/28/20	J		
66.					Sold	12/30/20	J	A	
67. Account #8 (H)									
68. Fidelity Money Market Account (cash eq.) (SPRXX)	A	Int./Div.			Buy	04/06/20	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
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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)
69.					Sold (part)	08/28/20	J		
70.					Sold	08/31/20	J		
71. Fidelity Zero Large Cap Index Fund	A	Dividend	J	T	Buy	08/28/20	J		
72. Fidelity Asset Manager 20%	A	Dividend	J	T	Buy	08/28/20	J		
73. Blackrock Mid Cap Growth Equity (BMGAX)		None	J	T	Sold	04/07/20	J		
74.					Buy	08/31/20	J		
75. Federated Kaufmann Small Cap Fund (FKASX)		None			Sold	04/07/20	J		

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

Parenthetical numbers in Part VII are CUSIP numbers.

Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value, per page 42 of the filing instructions.

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Sheldon, Sam S.

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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/ Sam S. Sheldon**

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