

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) WERLEIN, JR., EWING	2. Court or Organization USDC/SO. DIST. TEXAS	3. Date of Report 07/19/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) DISTRICT JUDGE - SENIOR STATUS	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 1/1/2020 to 12/31/2020
7. Chambers or Office Address 515 RUSK AVENUE, ROOM 11521 HOUSTON, TX 77002-2605		
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. Director	The Methodist Hospital, Houston, Texas (d/b/a Houston Methodist)
2. Senior Chair of TMH Board, director ex officio w/vote	Methodist Health Centers; Houston Methodist Hospital Foundation, Houston Methodist Academic Institute; and TMH Health Care Group.
3. Trustee	Trust No. 2
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

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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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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.			

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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. Halliburton com.	A	Dividend	K	T					
2. Halliburton com.	A	Dividend	K	T					
3. BP PLC, ADR	B	Dividend	K	T					
4. Exxon Mobil com.	E	Dividend	M	T	Sold (part)	11/23/20	L		
5.					Buy (add'l)	12/28/20	K		
6. Wal-Mart Stores com.	A	Dividend	L	T					
7. Exxon-Mobil com.	C	Dividend	L	T					
8. Johnson & Johnson, com.	D	Dividend	O	T					
9. Conoco Phillips, com.	C	Dividend	L	T					
10. Texas Capital Bankshares, com.		None	N	T					
11. AT&T, com.	C	Dividend	K	T					
12. Bristol-Myers Squibb, com.	A	Dividend	K	T					
13. Berkshire Hathaway CL B com.		None	M	T					
14. Cisco Systems, com.	A	Dividend	J	T					
15. Comcast Corp. Class A	A	Dividend	K	T					
16. HP, Inc. com	A	Dividend	J	T					
17. Hewlett Packard Enterprise Co., com.	A	Dividend	J	T					

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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18. Intel Corp., com.	B	Dividend	L	T					
19. IBM, com.	B	Dividend	K	T					
20. JP Morgan Chase, com.	B	Dividend	K	T					
21. Pepsico, Inc., com.	B	Dividend	M	T					
22. Target Corp., com.	B	Dividend	M	T					
23. Sector SPDR Financial, com.	B	Dividend	L	T					
24. Phillips 66, com.	C	Dividend	K	T					
25. Enterprise Prdts Prtn., LP	B	Distribution	K	T					
26. Kinder Morgan, com.	B	Dividend	K	T					
27. Consumer Discretionary SPDR, com.	A	Dividend	L	T					
28. EPR Properties, com.	A	Dividend	J	T					
29. Bank of America, com.	A	Dividend	K	T					
30. Occidental Pet. Corp., com.	A	Dividend			Sold	12/29/20	J		
31. MUTUAL FUNDS: (H)									
32. Fidelity MM Fund	A	Dividend	J	T					
33. Fidelity Low Price Stock	G	Dividend	P1	T					
34. Fidelity Contrafund	G	Dividend	P1	T					

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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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35. Fidelity Mid-Cap Stock	F	Dividend	O	T					
36. FMI Large Cap Fund		None			Sold	04/20/20	K	D	
37. Harbor Capital Appreciation Fund	D	Dividend	L	T					
38. Oakmark Global Sel Cl 1 Fund		None			Sold	04/20/20	K	D	
39. LPL: Ins'd bank cash dep. sweep	A	Interest	L	T					
40. Western Asset Core Plus Bond	C	Dividend	L	T	Buy (add'l)	09/25/20	K		
41. Blackrock Nat'l Mun. Instl. Cl.	A	Dividend			Sold	04/20/20	K		
42. JP Morgan Large Cap Growth Sel.	D	Dividend	M	T					
43. New Perspective Fund 2	B	Dividend	L	T					
44. Nuveen All American Mun. Bd. Cl 1	B	Dividend	L	T	Buy (add'l)	09/25/20	J		
45. Invesco High Yield Mun. Cl. Y	B	Dividend	K	T					
46. Eaton Vance Flt. Rt. Advntg.	B	Dividend	K	T	Buy (add'l)	09/25/20	J		
47. ISHS Russ 2000 Indx	A	Dividend	K	T					
48. BNY Mellon Equity Income f/k/a Dreyfus	B	Dividend	L	T					
49. Putnam Short Duration Income CLY	A	Dividend			Sold	11/10/20	K	A	
50. Touchstone Mid Cap CLY	A	Dividend	K	T					
51. Fidelity OTC Port. Fund	D	Dividend	M	T					

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(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	
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52. Voya Strategic Income Opptys CLI IISIX	B	Dividend	L	T	Buy (add'l)	09/25/20	J		
53. Federated Hermes Ultrashort Bond Inst'l Cl	A	Dividend	K	T	Buy	11/10/20	K		
54. Ark Innovation ETF ARKK	A	Dividend	K	T	Buy	12/04/20	K		
55. BONDS and U.S. TREASURY NOTES: (H)									
56. Univ Tex Perm Univ FD RFDG Ser. B	B	Interest			Redeemed	07/02/20	K	A	
57. ACCOUNTS IN FINANCIAL INST: (H)									
58. Bank of America, Houston, TX (Accounts)	A	Interest	N	T					
59. Comerica Bank, Houston, TX (Accounts)	B	Interest	N	T					
60. Allegiance Bank, Houston (Accounts)	B	Interest	M	T					
61. Zions Bancorp. (Amegy) fka ZB Nat'l Assoc Amegy	A	Interest	M	T					
62. Allegiance Bank, Houston (Accounts)	C	Interest	M	T					
63. JP Morgan Secs. Bank dep. program	A	Interest	K	T					
64. REAL ESTATE: (H)									
65. Condo-Larimer County, CO	E	Rent	N	W					
66. Working Interest-Cabot U., Andrews County, TX	B	Royalty	J	W					
67. Mineral Interest, Wheeler County, TX	A	Royalty	J	W					
68. Mineral Interests, Martin and Dawson Counties, TX	E	Royalty	L	W					

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69. Mineral Interest, Glasscock County, TX	B	Royalty	J	W					
70. Fractional int. in real property, Kerr County, TX	A	Rent	N	W					
71. Mineral Interests, Howard County, TX	F	Royalty	M	W					
72. Mineral Interests, Howard County, TX	A	Rent	J	W					
73. RETIREMENT & IRA ACCOUNTS: (H)									
74. IRA Acct: John Hancock Ind. Ret. Annuity (Fixed)		None	K	V	Distributed (part)	12/31/20	J	A	See Note (1) in Part VIII
75. IRA ROLLOVER ACCOUNT: (H)									
76. --Citibank FDIC Ins. Bank Deposit Sweep	A	Interest	K	T					
77. --Berkshire Hathaway CL B		None	M	T					
78. --Home Depot, com.	D	Dividend	N	T	Sold (part)	01/02/20	K	E	
79.					Sold (part)	09/02/20	K	E	
80. --Microsoft, com.	B	Dividend	M	T	Sold (part)	01/02/20	K	E	
81.					Sold (part)	09/02/20	K	E	
82. --Stryker Corp., com.	B	Dividend	M	T	Sold (part)	01/02/20	K	E	
83. --Thermo Fish. Sc., com.	A	Dividend	M	T	Sold (part)	01/02/20	K	E	
84.					Sold (part)	09/02/20	K	E	
85. --Fidelity Low Priced Stock	F	Dividend	O	T					

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86. --Fidelity OTC Port	E	Dividend	O	T	Sold (part)	09/02/20	L	F	
87. --Fidelity 500 Index	D	Dividend	O	T					
88. --Fidelity Select Medical Equip & System	D	Dividend	M	T					
89. --Fidelity Select Software & IT	D	Dividend	M	T					
90. --BNY Mellon FDIC Ins. Bank Deposit Sweep	A	Interest	M	T					
91. --Fidelity Contrafund	D	Dividend	M	T					
92. --CIBC Bank USA Bank Deposit Sweep	A	Interest	M	T					
93. --Huntington Bank Deposit Sweep	A	Interest	K	T					
94. --Peoples Bank Deposit Sweep	A	Interest	J	T					
95. --U.S. Bank Deposit Sweep	A	Interest	M	T					
96. --Associated Bank Deposit Sweep	A	Interest	J	T					
97. --Fidelity Invest. Grade Bond Fund	A	Dividend	M	T	Buy	10/14/20	L		
98. --Fidelity U.S. Bond Index Fund	A	Dividend	M	T	Buy	10/14/20	L		
99. IRA ROLLOVER ACCT NO. 2: (H)									
100. CORPORATE BONDS/NOTES IN IRA ROLLOVER ACCT #2: (H)									
101. --AT&T Bonds due 06/30/20	B	Interest			Redeemed	06/01/20	L		
102. --JP Morgan Chase Notes due 10/29/20	B	Interest			Redeemed	09/29/20	L		

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103. --Pepsico Notes due 10/06/21	B	Interest	M	T					
104. --Wells Fargo Notes due 07/26/21	B	Interest	M	T					
105. --Amer Express Notes due 12/02/22	C	Interest	M	T					
106. --Philip Morris Internat'l Notes due 11/2/22	B	Interest	M	T					
107. --McDonald's Notes due 4/1/2023	C	Interest	M	T					
108. --State Street Notes due 5/15/23	C	Interest	M	T					
109. --Morgan Stanley Notes due 10/23/24	C	Interest	M	T					
110. --Verizon Communications Notes due 11/1/24	C	Interest	M	T					
111. --AT&T Notes due 05/15/25	B	Interest	M	T	Buy	06/01/20	M		
112. --JP Morgan Notes due 10/01/26		None	M	T	Buy	09/29/20	M		
113. EQUITIES IN IRA ROLLOVER ACCT #2: (H)									
114. --American Express, com.	A	Dividend	K	T					
115. --Chevron, com. (fka Chevron Texaco)	D	Dividend	M	T					
116. --KO, com.	C	Dividend	M	T					
117. --Exxon Mobil, com.	D	Dividend	M	T					
118. --J.P. Morgan Chase, com.	C	Dividend	M	T					
119. --JNJ, com.	B	Dividend	L	T					

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	

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WERLEIN, JR., EWING

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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)
120. --Merck, com.	A	Dividend	K	T					
121. --PEP, com.	B	Dividend	L	T					
122. --S&P Global, com.	A	Dividend	L	T					
123. --Altria Group, com.	D	Dividend	L	T					
124. --Automatic Data Proc., com.	B	Dividend	L	T					
125. --Occidental Pete Corp. Cal., com.	A	Dividend			Sold	05/08/20	J		
126. --Linde, PLC, com.	B	Dividend	L	T					
127. --Procter & Gamble., com.	B	Dividend	L	T					
128. --Raytheon Technologies f/k/a United Technologies, com.	A	Dividend	K	T	Distributed (part)	04/03/20	J		spinoff (see line 153)
129.					Distributed (part)	04/03/20	J		spinoff (see line 154)
130. --Texas Instruments, com.	C	Dividend	M	T					
131. --Abbott Labs, com.	B	Dividend	L	T					
132. --McDonald's, com.	B	Dividend	L	T					
133. --Philip Morris Intl, com.	D	Dividend	M	T					
134. --Total SA., com.	B	Dividend	K	T					
135. --Nestle Sponsored ADR, com.	A	Dividend	K	T					
136. --Roche Holdings Ltd. Spon. ADR, com.	B	Dividend	L	T					

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		

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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)
137. --Walt Disney Co., com.	A	Dividend	L	T					
138. --Air Products & Chems., com.	B	Dividend	L	T					
139. --Black Rock, com.	B	Dividend	L	T					
140. --Novo Nordisk AS ADR, com.	A	Dividend	L	T					
141. --Abbvie Inc., com.	C	Dividend	L	T					
142. --Canadian Pac Ry Ltd., com.	A	Dividend	K	T					
143. --Novartis AG Spon. ADR, com.	A	Dividend	K	T					
144. --Diageo PLC Spon. ADR New, com.	A	Dividend	K	T					
145. --Chubb Ltd., com	A	Dividend	K	T					
146. --Intercontinental Exchange Group, com.	A	Dividend	L	T					
147. --VISA, com.	A	Dividend	L	T					
148. --Intuitive Surgical, com.		None	L	T					
149. --Microsoft, com.	B	Dividend	M	T					
150. --Union Pac., com.	A	Dividend	K	T					
151. --Alcon Inc., com.	A	Dividend	J	T					
152. --United Health Group, com.	B	Dividend	L	T					
153. --Carrier Global, com.	A	Dividend	J	T	Spinoff (from line 128)	04/03/20	J		from UTX, line 128

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		

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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)
154. --Otis Worldwide, com.	A	Dividend	J	T	Spinoff (from line 129)	04/03/20	J		from UTX, line 129
155. CASH ACCOUNTS IN IRA ROLLOVER ACCT NO. 2: (H)									
156. --Raymond James Ins'd Bank Dep Program	A	Interest	L	T					
157. IRA ROLLOVER NO. 3: (H)									
158. --Lord Abbett Short Fund	E	Dividend	O	T					
159. --iShares Barclays TIPS BO	B	Dividend	M	T					
160. --Invesco Oppenheimer Senior Floating Rate	C	Dividend	L	T					
161. --AT&T Inc., com.	D	Dividend	L	T					
162. --Bristol Meyers, com.		None	L	T	Buy	12/28/20	L		
163. --Caterpillar, com.		None	L	T	Buy	12/28/20	L		
164. --Coca Cola, com.		None	L	T	Buy	12/28/20	L		
165. --McDonald's, com.		None	L	T	Buy	12/28/20	L		
166. --Wal-Mart, Inc., com.		None	L	T	Buy	12/28/20	L		
167. --JP Morgan Deposit Sweep Acct.	A	Interest	K	T					
168. --JP Morgan 100% Treas. Sec. MM Fd.	A	Dividend	J	T					
169. --U.S. Treasury Bills (due 4/2/20)					Redeemed	04/02/20	N		
170. --U.S. Treasury Bills (due 11/27/20)					Buy	06/01/20	N		

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		

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)
171.					Redeemed	11/27/20	N		
172. TRUST NO. 2: (H)									
173. --Fidelity MM	A	Dividend	M	T					
174. --Fidelity Low Price Stock	F	Dividend	O	T					
175. --Fidelity OTC Portfolio Fund	E	Dividend	O	T					
176. --Fidelity MSCI Consumer ETF	A	Dividend	L	T					
177. --Fidelity 500 Index Fund	C	Dividend	M	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

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

(1) Part VII, page 8, line 74: The year-end value of IRA account in John Hancock Ind. Retirement Annuity, which is not publicly traded, was provided by John Hancock Life Ins. Co.

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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/ EWING WERLEIN, JR.**

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
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