

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) Engelhardt, Kurt D.	2. Court or Organization United States Fifth Circuit Court of Appeals	3. Date of Report 10/28/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Circuit Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2020 to 12/31/2020
7. Chambers or Office Address John Minor Wisdom United States Court of Appeals Building 600 Camp Street, Room 230 New Orleans, Louisiana 70130		
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. Member - Board of Directors (Uncompensated)	Cancer Association of Greater New Orleans (CAGNO)
2. Member - Dean's Advisory Planning Board (Uncompensated)	Louisiana State University - College of Humanities & Social Sciences
3. Trustee (Uncompensated)	Special Needs Trust
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

Engelhardt, Kurt D.

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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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2020	Parish of Jefferson-24th Judicial District Court - Administrative Assistant
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.				

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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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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. New York Life - LifeStages Variable Annuity (H)									
2. - MainStay VP MacKay S&P 500 Index (High)	B	Dividend	J	T					
3. - MainStay VP MacKay Growth Initial CL. (High)	B	Dividend	J	T					
4. - MainStay VP Income Builder Initial CL. (Moderate)	A	Dividend	J	T					
5. - MainStay VP MacKay Common Stock Initial CL. (High)	B	Dividend	J	T					
6. - MainStay VP MacKay High Yield Corporate Bond Initial CL.-Moderate	A	Dividend	K	T					
7. - Fidelity VIP Equity - Income Initial CL. (High)	B	Dividend	J	T					
8. - Fidelity VIP Contrafund Initial CL. (High)	A	Dividend	J	T					
9. - Janus Henderson Global Research Portfolio - Institut. Shares-High	B	Dividend	J	T					
10. - MainStay VP MacKay Convertible - Initial CL. (Moderate)	C	Dividend	K	T					
11. - MainStay VP Large Cap Growth - Initial CL. (High)	A	Dividend	J	T					
12. - MainStay VP MacKay Mid Cap Core - Initial CL. (High)	B	Dividend	J	T					
13. - MainStay VP MacKay Small Cap Core - Initial CL. (High)	C	Dividend	K	T					
14. - MainStay VP Epoch U.S. Equity Yield - Initial CL. (High)	C	Dividend	K	T					
15. - MainStay VP Janus Henderson Balanced - Initial CL. (Moderate)	A	Dividend	J	T					
16. New York Life Annuity - Fixed	B	Interest	K	T					
17. New York Life Whole Life Policy #1	B	Dividend	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	
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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☐ 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. New York Life Whole Life Policy #2	A	Dividend	K	T					
19. New York Life Secure Term Choice Fixed Annuity	A	Interest	K	T					
20. AT&T (stock)	A	Dividend	J	T					
21. LPL Financial - IRA	A	Dividend			Redeemed	02/10/20	K		
22. - AB Relative Value Advisor CL CBBYX	A	Dividend			Redeemed	02/10/20	J		
23. - American Funds American Balanced CL F2 AMBFX	A	Dividend			Redeemed	02/10/20	J		
24. - Capital Income Builder CL F2 CAIFX	A	Dividend			Redeemed	02/10/20	J		
25. - Catalyst Millburn Hedge Strategy CL I MBXIX	A	Dividend			Redeemed	02/10/20	J		
26. - Cohen & Steers Real Estate Securities CL I CSDIX	A	Dividend			Redeemed	02/10/20	J		
27. - Columbia Quality Income Instl CL CUGZX	A	Dividend			Redeemed	02/10/20	J		
28. - Delaware Small Cap Value Instl CL DEVIX	A	Dividend			Redeemed	02/10/20	J		
29. - Delaware Value Instl CL DDVIX	B	Dividend			Redeemed	02/10/20	J		
30. - Hartford Core Equity CL I HGIIX	B	Dividend			Redeemed	02/10/20	J		
31. - Janus Henderson Global Life Sciences CL T JAGLX	A	Dividend			Redeemed	02/10/20	J		
32. - Lord Abbett Short Duration Income CL F LDLFX	A	Dividend			Redeemed	02/10/20	J		
33. - Invesco Oppenheimer Intl Growth CL Y OIGYX	A	Dividend			Redeemed	02/10/20	J		
34. - Pioneer Bond CL Y PICYX	A	Dividend			Redeemed	02/10/20	J		

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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	
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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)
35. - PGIM Jennison Health Sciences CL Z PHSZX	A	Dividend			Redeemed	02/10/20	J		
36. - SPDR Series Trust S&P Dividend ETF SDY	B	Dividend			Redeemed	02/10/20	J		
37. - T Rowe Price Global Technology Investor CL PRGTX	A	Dividend			Redeemed	02/10/20	J		
38. - Vanguard Strategic Equity Investor CL VSEQX	A	Dividend			Redeemed	02/10/20	J		
39. - 683801407 Oppenheimer Intl Growth CL Y	A	Dividend			Redeemed	02/10/20	J		
40. Jefferson Parish Retirement Plan	A	Dividend	K	W					See Explanation-Part VIII
41. Special Needs Trust (H)									
42. - JPMorgan Chase Bank (Fixed)	A	Interest			Closed	12/08/20	M		See Explanation-Part VIII
43. -Iberia Bank (Fixed)	A	Interest	N	T	Open	12/08/20	M		See Explanation-Part VIII
44. Travelers Pension Account (Fixed)	A	Interest			Redeemed	05/31/20	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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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Line 40 - Jefferson Parish Retirement Plan - The Jefferson Parish Retirement Plan is a plan maintained, controlled and owned by Jefferson Parish. It is a 401A - defined benefit government Pension Plan. There are no provisions for making loans from this account regardless of need.

Line 42 - JP Morgan Chase Bank (Fixed) - This account was closed on 12/8/2020 as noted on Line 24 in Part VII - Investments and Trusts. The funds contained within this account were transferred into a new account - Iberia Bank (Fixed).

Line 43 - Iberia Bank (Fixed) - This account was opened on 12/8/2020 as noted on Line 25 in Part VII - Investments and Trusts with the funds contained in JP Morgan Chase Bank (Fixed) when it was closed.

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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/ **Kurt D. Engelhardt**

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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Washington, D.C. 20544