

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) Ramos, Nelva G.	2. Court or Organization U.S. District Court, Southern District of Texas	3. Date of Report 05/05/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge (Active)	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 1133 North Shoreline Blvd. Corpus Christi, Texas 78401		
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. 2001	State of Texas Judicial Retirement Plans
2. _____	_____
3. _____	_____

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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	Onyx Engineering--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.)*

<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) 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. Wells Fargo Bank (cash)	A	Interest	J	T					
3. Plains Capital (cash)	A	Interest	J	T					
4. New York Life Insurance Company - Whole Life		None	K	T					
5. Account #1 (H)									
6. Franklin Equity Income Fund CL A (FISEX)	A	Dividend	K	T					
7. Franklin Growth Fund CL A (FKGRX)	B	Dividend	K	T					
8. Franklin Growth Opptys Fd Cl A (FGRAX)	A	Dividend	K	T					
9. Franklin High Income Fund A (FCHIX)	A	Dividend	J	T					
10. Franklin Managed Income CL A (FBLAX)	B	Dividend	K	T					
11. Franklin Mutual Global Discovery Fund CL A (TEDIX)	A	Dividend	J	T					
12. Franklin Mutual Shares Fund CL A (TESIX)	A	Dividend	J	T					
13. Franklin Rising Dividends Fund CL A (FRDPX)	A	Dividend	J	T					
14. Franklin Small-Mid Cap Grwth A (FRSGX)	C	Dividend	K	T					
15. Templeton Growth Fund CL A (TEPLX)	A	Dividend	K	T					
16. Franklin Total Return Fund CL A (FKBAX)	A	Dividend	K	T					
17. Franklin U S Government Securities Fund CL A (FKUSX)	A	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	

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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. Account #2 (H)									
19. Franklin Growth Fund CL A (FGRAX)	A	Dividend	J	T					
20. Templeton Foreign Fund CL A (TFFAX)	A	Dividend	J	T					
21. Templeton Global Smaller Companies Fund CL A (TEMGX)	A	Dividend	J	T					
22. Templeton Growth Fund CL A (TEPLX)	A	Dividend	J	T					
23. Templeton World Fund CL A (TEMWX)		None	J	T					
24. Franklin Total Return A (FKBAX)	A	Dividend	J	T					
25. Franklin US Govt Secs A (FKUSX)	A	Dividend	J	T					
26. Account #3 (H)									
27. Ark Genomic Revolution ETF (ARKG)	A	Dividend	L	T	Buy	09/25/20	J		
28.					Buy (add'l)	10/22/20	J		
29.					Sold (part)	11/13/20	J	A	
30.					Buy (add'l)	12/11/20	K		
31. Ark Innovation ETF (ARKK)	C	Dividend	M	T	Buy	06/01/20	K		
32.					Buy (add'l)	07/01/20	J		
33.					Sold (part)	07/23/20	J	A	
34.					Sold (part)	09/25/20	J	C	

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	
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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.					Buy (add'l)	10/22/20	K		
36.					Buy (add'l)	11/13/20	L		
37.					Buy (add'l)	11/30/20	K		
38.					Sold (part)	12/11/20	K	D	
39. Ark Next Generation Internet ETF (ARKW)	A	Dividend	L	T	Buy	09/25/20	J		
40.					Buy (add'l)	10/22/20	J		
41.					Buy (add'l)	12/11/20	K		
42.					Sold (part)	11/30/20	J	A	
43. Cohen & Steers Preferred SEC & Income FD CL I (CPXIX)	B	Dividend			Sold (part)	03/09/20	J	A	
44.					Sold (part)	04/30/20	J		
45.					Buy (add'l)	05/07/20	J		
46.					Buy (add'l)	07/23/20	K		
47.					Buy (add'l)	09/25/20	J		
48.					Sold	10/22/20	L	C	
49. Cohen & Steers Low Duration Preferred & Inc Fd Cl I (LPXIX)	A	Dividend			Buy	05/07/20	J		
50.					Sold	07/23/20	J	A	
51. Doubleline Shiller Enh Cape Fd (DSEEX)	A	Dividend			Buy (add'l)	01/21/20	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)
52.					Buy (add'l)	03/09/20	J		
53.					Sold	03/25/20	J		
54. Invesco QQQ (QQQ)	A	Dividend			Buy (add'l)	03/09/20	J		
55.					Buy (add'l)	03/25/20	K		
56.					Buy (add'l)	04/30/20	J		
57.					Sold (part)	07/01/20	J	C	
58.					Sold (part)	09/25/20	J	C	
59.					Buy (add'l)	10/22/20	K		
60.					Sold (part)	11/13/20	K	D	
61.					Sold (part)	11/30/20	K	D	
62.					Sold	12/11/20	K	B	
63. Ishares Core S&P 500 ETF (IVV)	A	Dividend			Buy	03/09/20	K		
64.					Buy (add'l)	03/25/20	J		
65.					Sold	04/30/20	K	C	
66. Ishares Trust Es Aware MSCI USA ETF (ESGU)	A	Dividend			Buy	04/30/20	K		
67.					Sold (part)	06/01/20	K	B	
68.					Sold (part)	09/25/20	J	A	

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3 Value Method Codes (See Column C2)					

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69.					Buy (add'l)	10/22/20	J		
70.					Sold	11/13/20	K	D	
71. Lord Abbett Bond Debenture Fd Cl F (LBDFX)	A	Dividend			Sold (part)	01/21/20	J	A	
72.					Sold (part)	03/09/20	J	A	
73.					Buy (add'l)	05/08/20	J		
74.					Sold	07/23/20	K	A	
75. Lord Abbett High Yield Fund Cl F (LHYFX)	A	Dividend			Buy	05/08/20	J		
76.					Sold	07/23/20	J	A	
77. Pimco Income Fund CL 12 (PONPX)	A	Dividend			Sold (part)	03/09/20	J		
78.					Sold (part)	03/25/20	J		
79.					Sold	05/07/20	K		
80. Vanguard 500 Index Fund (VOO)	A	Dividend			Buy (add'l)	01/21/20	J		
81.					Sold	03/09/20	K		
82. Account #4 (H)									
83. Edward Jones Money Market (JRSXX) (cash equivalent)	A	Dividend	K	T					
84. FT Bld Amer Bds 10-20 Yr #11 (VKBTHX)	A	Interest	J	T					
85. Franklin Fed Tax - Free Income A (FKTIX)	B	Dividend	L	T					

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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)
86. Account #5 (H)									
87. Edward Jones Cash (cash)		None	J	T	Open	12/28/20	J		
88. Franklin Mod Alloc Age 13-16 A		None	J	T	Sold (part)	09/01/20	J		

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

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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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/ **Nelva G. Ramos**

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