

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

*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) Hicks, Jr., S. Maurice	2. Court or Organization U.S. District Co., Western La.	3. Date of Report 08/10/2018
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 ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2017 to 12/31/2017
5b. ☐ Amended Report		
7. Chambers or Office Address Tom Stagg United States Court House 300 Pannin St., Suite 5101 Shreveport, LA 71101		
IMPORTANT NOTES: <i>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>		

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. Lecturer/Adjunct Faculty Member	Centenary College of Louisiana
2. Board of Directors Member	Children and Arthritis, Inc. (501(c)(3) organization)
3. Advisory Board Member	Global Power Air Museum of Barksdale Air Force Base (501(c)(3) organization)
4. Board of Trustees	Paul M. Hebert Law Center, Louisiana State University
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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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. 2017	Centenary College of Louisiana - Teaching	\$2,500.00
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. 2017	Paralegal services - self-employed
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. Bar Group, Bar Organization, or Bar Association	05/10/2017 - 05/11/2017	New Orleans, LA	Activity of professional association or civic organization	Transportation, meals, lodging
2. Private Foundation, Association, or Society	11/09/2017 - 11/10/2017	Houston, TX	Educational activities other than judicial education	Transportation, meals, lodging
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.	Midland Mortgage	Mortgage - Rental Property #1, Ruston, LA	L
2.	Capital One Bank	Consumer Line of Credit	None
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. Capital One Bank Account #1	A	Interest	J	T					
2. State Farm Life Insurance Co. Universal Life	B	Int./Div.	K	T					
3. Northwestern Mutual Life Insurance Co. Whole Life	B	Int./Div.	K	T					
4. Timber Land, Lincoln Parish, Louisiana - 1/1/96, \$30,000		None	K	R					
5. Rental Property #1, Ruston, LA - 07/03/01, \$74,000	D	Rent	L	R					
6. IRA # 1 Raymond James Bank Deposit Program	A	Interest			Closed	04/03/17	K		
7. Red River Syndicate LP	A	Int./Div.	L	U					
8. Janney, Montgomery Scott Brokerage Account - Cash	A	Interest	J	T					
9. IRA #2 Raymond James Bank Deposit Program	A	Interest	L	T					
10. Raymond James Bank Deposit Program-T	A	Int./Div.	K	T					
11. IRA #2- Genesis Energy LP	B	Distribution			Sold	12/04/17	K	A	
12. IRA #1- GNMA Series 2009-87	A	Interest			Closed	03/27/17	J		
13. IRA #3 Raymond James Bank Deposit Program	A	Interest	J	T					
14. JP Morgan -Cash Acct.		None	J	T					
15. Raymond James Bank Deposit Program-S	A	Interest	J	T					
16. IRA #1-GNMA Series 2010-162	A	Interest			Closed	03/27/17	J		
17. IRA #2-Apple Incorporated	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 \$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	

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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 I (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. IRA #2-Proto Labs Incorporated		None			Sold	12/04/17	J	A	
19. IRA #2-Regeneron Pharmaceuticals		None			Sold	12/04/17	J	A	
20. IRA #2-Cyrusone Incorporated	A	Dividend	K	T					
21. IRA #2-Energy Transfer Partners	A	Distribution			Sold	12/04/17	J	A	
22. IRA #2-W P Carey Inc.	B	Dividend	K	T					
23. IRA #2- Grifols	A	Dividend			Sold	10/10/17	J	A	
24. IRA #2- Hydrogenics		None	J	T					
25. IRA #2- Energy Transfer Equity	A	Distribution			Sold	12/04/17	J	A	
26. Gilead Sciences - Janney	A	Dividend	J	T					
27. Enlink Midstream - Janney	A	Distribution	J	T					
28. IberiaBank		None	J	T					
29. IRA #2- Verint Systems Inc		None			Sold	12/04/17	J	A	
30. IRA #2- Valero Energy Corp	A	Dividend			Sold	12/04/17	J	A	
31. IRA #2- T. Rowe Price Blue Chip	A	Dividend	J	T					
32. IRA #2- Vanguard Wellesley Inc Fund Investor Class	A	Dividend			Closed	04/11/17	J		
33. IRA #2 - Dodge & Cox Stock Fund	A	Dividend	J	T	Sold (part)	10/10/17	J	A	
34. IRA #2 - Amazon		None	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	
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	(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. IRA #2 - Alphabet Inc		None	K	T					
36. IRA #2 - Delaware Smal Cap	A	Int./Div.	J	T					
37. IRA #2- Fidelity Small Cap Growth Fund	A	Dividend	J	T					
38. IRA #2 - AmCap Fund Class F2 American Funds	A	Dividend	J	T					
39. IRA #2 - Fidelity New Millenium	A	Dividend			Sold	10/10/17	J	A	
40. Raymond James S- Citizens Natl Bancshares		None			Sold	08/15/17	J	C	
41. Azure Midstream Partners - Janney	B	Distribution			Sold	02/13/17	J	A	
42. General Electric Co - Janney	A	Dividend			Sold	11/14/17	J	A	
43. Raymond James T- Citizens Natl Bancshares		None			Sold (part)	08/15/17	J	B	
44.					Sold	08/30/17	J	B	
45. IRA #2 - Cal Maine Foods		None			Sold	03/24/17	J	A	
46. IRA #2 - EOG Res	A	Dividend			Sold	11/01/17	J	A	
47. IRA #2 - Pioneer Nat Res	A	Dividend	K	T					
48. IRA #2 - Martin Midstream Ptnrs	A	Distribution			Sold	12/04/17	J	A	
49. IRA #2 - World Pt Terms LP	A	Distribution			Sold	07/07/17	J	A	
50. IRA #3 - Genesis Energy LP	A	Distribution	J	T					
51. Raymond James S - Cash Account		None	J	T	Open	12/29/17	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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52. IRA #2 - MSIF International Opp Fund	A	Dividend	J	T	Buy	10/11/17	J		
53. IRA #2 - Vanguard REIT Index Fund Admiral Shares	A	Dividend	J	T	Buy	10/11/17	J		
54. IRA #2 - Eaton Vance Atlanta Capital SMID Cap Fund	A	Dividend	J	T	Buy	10/12/17	J		
55. IRA #2 - Invesco Diversified Dividend Fund	A	Dividend	J	T	Buy	10/12/17	J		
56. IRA #2 - Capital Income Builder Fund	A	Dividend	J	T	Buy	10/12/17	J		
57. IRA #2 - Pioneer Bond Fund	A	Dividend	J	T	Buy	10/12/17	J		
58. IRA #2 - Fidelity OTC Portfolio Fund	A	Dividend	J	T	Buy	10/12/17	J		
59. IRA #2 - Dodge & Cox Income Fund	A	Dividend	J	T	Buy	10/12/17	J		
60. IRA #2 - GNMA REMIC Trust 2009-87	A	Interest	J	T	Open	03/27/17	J		
61. IRA #2 - GNMA REMIC Trust 2010-162	A	Interest	J	T	Open	03/27/17	J		
62. IRA #2 - Vanguard Wellesley Income Fund Admiral Shares	A	Dividend	K	T	Open	04/11/17	J		
63. Capital One Bank Account #2 (X)	A	Interest	J	T					
64. Capital One Bank Account #3 (X)		None	J	T					
65. Capital One Bank Account #4 (X)	A	Interest	L	T					
66. Capital One Bank Account #5 (X)	A	Interest	J	T					
67.									

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

- 1.) Description of asset has been updated.
- 5.) Rental Property #1 Ruston, LA - original purchase price \$74,000. Improvements to property since date of purchase total \$16,194.
- 12.) IRA #1 was closed during 2017. IRA #1 - GNMA series 2009-87 was transferred to Raymond James IRA #2 and is now being reported on line 60 as IRA #2 - GNMA REMIC Trust 2009-87.
- 16.) IRA #1 was closed during 2017. IRA #1 - GNMA series 2010-162 was transferred to Raymond James IRA #2 and is now being reported on line 61 as IRA #2 - GNMA REMIC Trust 2010-162.
- 32.) IRA #2 - Vanguard Wellesley Inc Fund Investor Class was exchanged on 4/11/2017 for shares of Vanguard Wellesley Income Fund Admiral Shares reported on line 62.
- 60.) IRA #2 - GNMA REMIC Trust 2009-87 was transferred into IRA #2 from IRA #1 which was previously reported on line 12 (IRA #1 - GNMA series 2009-87).
- 61.) IRA #2 - GNMA REMIC Trust 2010-162 was transferred into IRA #2 from IRA #1 which was previously reported on line 16 (IRA #1 - GNMA series 2010-162).
- 62.) IRA #2- Vanguard Wellesley Income Fund Admiral Shares were transferred into IRA #2 as an exchange from Vanguard Wellesley Inc Fund Investor Class shares reported on line 32.
- 63.) Capital One Bank Account #2 was previously reported with Capital One Bank Account #1 on line 1. These bank accounts are now being separately stated.
- 64.) Capital One Bank Account #3 was previously reported with Capital One Bank Account #1 on line 1. These bank accounts are now being separately stated.
- 65.) Capital One Bank Account #4 was previously reported with Capital One Bank Account #1 on line 1. These bank accounts are now being separately stated.
- 66.) Capital One Bank Account #5 was previously reported with Capital One Bank Account #1 on line 1. These bank accounts are now being separately stated.

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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/ S. Maurice Hicks, 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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Washington, D.C. 20544