

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) Hanen, Andrew S.	2. Court or Organization United States District Court - Texas	3. Date of Report 05/15/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States District Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address United States District Judge Andrew S. Hanen United States Courthouse 600 E. Harrison St., #301 Brownsville, Texas 78520		
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
2.		
3.		
4.		
5.		

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.		
2.		
3.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 10

Name of Person Reporting

Hanan, Andrew S.

Date of Report

05/15/2017

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. 2016

Self-employed attorney

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. State Bar of Texas

7/8/16

San Antonio, Texas

Legal Education Speech

Mileage

2.

3.

4.

5.

FINANCIAL DISCLOSURE REPORT

Page 3 of 10

Name of Person Reporting

Hanan, Andrew S.

Date of Report

05/15/2017

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

1.

2.

3.

4.

5.

FINANCIAL DISCLOSURE REPORT

Page 4 of 10

Name of Person Reporting

Hanen, Andrew S.

Date of Report

05/15/2017

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. IRA Account #1									
2. -Bk of America RASP	A	Interest	J	T					
3. -Apple	A	Dividend	K	T					
4. -I Shares Biotech	A	Dividend	J	T	Buy (add'l)	02/19/16	J		
5. -I Shares Biotech					Sold (part)	10/03/16	J	A	
6. -Vanguard Consumer STPL	A	Dividend	J	T	Sold (part)	02/19/16	J	A	
7. -Vanugard Consumer STPL					Buy (add'l)	09/28/16	J		
8. -Vanguard Materials	A	Dividend	J	T	Sold (part)	09/28/16	J	A	
9. -Vanguard Energy					Sold	02/19/16	J	A	
10. -Vanguard Consumer Dis. (XLY) (See Note 1)	A	Dividend	K	T	Sold (part)	02/19/16	J	A	
11. -Vanguard Consumer Dis. (XLY)					Buy (add'l)	09/28/16	J		
12. -Vanugard Ind	A	Dividend	K	T	Sold (part)	02/19/16	J	A	
13. -Vanguard Ind					Buy (add'l)	09/28/16	J		
14. -Health Care Select SPDR Fund	A	Dividend	J	T	Sold (part)	02/19/16	J	A	
15. -Health Care Select SPDR Fund					Buy (add'l)	09/28/16	J		
16. -Health Care Select SPDR Fund					Buy (add'l)	10/03/16	J		
17. -Spdr Financial	A	Dividend	J	T	Buy (add'l)	02/19/16	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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = More than \$50,000,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$250,000.01 - \$500,000.00	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000.00	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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 10

Name of Person Reporting

Hanen, Andrew S.

Date of Report

05/15/2017

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 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. -Spdr Financial					Sold (part)	09/28/16	J	A	
19. -Spdr Financial					Buy (add'l)	10/03/16	J		
20. -Vanguard Info	A	Dividend	K	T	Sold (part)	09/28/16	J	A	
21. -Vanguard Info					Buy (add'l)	10/03/16	J		
22. -First TR Exchange Trade	A	Dividend	J	T	Buy (add'l)	02/19/16	J		
23. -First TR Exchange Trade					Sold (part)	09/28/16	J	A	
24. -First TRISE Cloud	A	Dividend	J	T	Buy (add'l)	02/19/16	J		
25. -First TRISE Cloud					Sold (part)	09/28/16	J	A	
26. -Sector Spdr Energy	A	Dividend	J	T	Buy (add'l)	02/19/16	J		
27. -Sector Spdr Energy					Sold (part)	09/28/16	J	A	
28. -Sector Spdr Energy					Buy	10/03/16	J		
29. -Real Estate Select	A	Dividend	J	T	Buy	09/28/16	J		
30. Retirement Account #1									
31. -Fidelity Short Term Bond Fund	B	Dividend	M	T					
32. -BMO Short Term Intermediate Bond	C	Dividend	M	T					
33. -Dartmouth College Bonds	C	Interest	L	T	Redeemed (part)	05/09/16	L	D	
34. -Microsoft Bonds	C	Interest	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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 10

Name of Person Reporting

Hanen, Andrew S.

Date of Report

05/15/2017

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)
35. -Walmart Bonds	A	Interest	K	T					
36. -Goldman Sachs Bonds	B	Interest	K	T					
37. -George Washington Uni. Bond	A	Interest	K	T					
38. -Fidelity Cash Reserves	A	Interest	L	T					
39. -Fidelity Contra Fund	A	Dividend	J	T					
40. -Fidelity Equity	B	Dividend	J	T					
41. -Fidelity Dividend	A	Dividend	J	T					
42. -Fidelity Blue Chip	A	Dividend	J	T					
43. Brokerage Account #1									
44. -Port Neches Grove ISD Municipal Bonds	C	Interest	M	T					
45. -Hutto Tex. ISD Municipal Bonds	C	Interest			Redeemed	08/01/16	M	A	
46. -Burleson Tex ISD Municipal Bonds	C	Interest	M	T					
47. -MS Tax Free Income Trust	A	Dividend	M	T					
48. Brokerage Account #2 (See Note 2)									
49. -Lancaster ISD Municipal Bonds	C	Interest			Redeemed	02/16/16	M	A	
50. -N. Tex. Twy. Auth. Municipal Bonds	C	Interest	L	T					
51. -Houston Tex. Higher Ed Municipal Bonds	B	Interest	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 \$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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 10

Name of Person Reporting

Hanen, Andrew S.

Date of Report

05/15/2017

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)
52. -BIF Tax Exempt	A	Dividend	M	T					
53. -Waco Texas CTFS Oblig Municipal Bonds	B	Interest	K	T					
54. Compass Bank	A	Interest	M	T					
55. Northwestern Mutual EOL Life Ins #117	A	Dividend	J	T					
56. Northwestern Mutual EOL Life Ins #714	A	Dividend	J	T					
57. Northwestern Mutual Whole Life Ins #642	A	Dividend	J	T					
58. Northwestern Mutual Whole Life Ins. #817	C	Dividend	L	T					
59. Northwestern Mutual Whole Life Ins. #811	C	Dividend	L	T					
60. Northwestern Mutual Whole Life Ins. #840	C	Dividend	K	T					
61. IRA Account #4									
62. -Treasury Strips	A	Interest	J	T					
63. -Capital Income BLDR	D	Dividend	M	T					
64. -America FDS Portfolio Growth and Index Fund	C	Dividend	M	T					
65. -Apple	A	Dividend	J	T					
66. -Spdr Indus.	A	Dividend	J	T					
67. -Spdr. Consumer STPL	A	Dividend	J	T					
68. -Spdr Energy	A	Dividend	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 \$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	

FINANCIAL DISCLOSURE REPORT

Page 8 of 10

Name of Person Reporting

Hanen, Andrew S.

Date of Report

05/15/2017

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)

69. -Consumer Discretion - Select Sector SPDR FD	A	Dividend	J	T					
70. -Spdr Gold	A	Dividend	J	T					
71. -Vanguard Info	A	Dividend	J	T					
72. -WF Sweep	A	Dividend	J	T					
73. Brokerage Account #3									
74. -MS FT	A	Dividend	J	T					
75. -WF Sweep	A	Dividend	J	T					
76. -CISCO	A	Dividend	J	T					
77. -Valero	A	Dividend	J	T					
78. -Wells Fargo	A	Dividend	J	T					
79. -Target	A	Dividend	J	T					
80. -Kinder Morgan	A	Dividend	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 \$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	

FINANCIAL DISCLOSURE REPORT

Page 9 of 10

Name of Person Reporting

Hanen, Andrew S.

Date of Report

05/15/2017

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

1. The Vanguard Consumer Dis. (XLY) fund in IRA Account #1 listed on lines 10 and 11 of this report is the same fund listed on the 2015 report on lines 11, 12, and 13 and on lines 28 and 29. On the 2015 report, these funds were mistakenly separated and described differently. The actual transactions that were reported were done so accurately. This report accurately reflects the fact that these are on the same fund.

2. The fact that the Lower Col. Riv. Auth. Municipal Bonds (listed under Brokerage Account #2 on line 52 of the 2015 Report) were redeemed was inadvertently omitted on last year's report. That is why these bonds do not appear on the 2016 Report. After a discussion with the staff at the Financial Disclosure Committee, the undersigned was instructed to report this redemption on the 2016 Report as a note. Line 52 of the 2015 Report should have read:

(A) Description of Assets: Lower Col. Riv. Auth. Municipal Bonds

(B) Income during reporting period: (1) Amount Code 1: A; (2) Type: Interest

(D) Transactions during reporting Period: (1) Type: Redeemed; (2) Date: 10/05/15; (3) Value Code 2: J; (4) Gain Code 1: A

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

Hanen, Andrew S.

Date of Report

05/15/2017

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/ **Andrew S. Hanen**

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