

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) Johnson, Nancy K.	2. Court or Organization Southern District of Texas	3. Date of Report 05/11/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Magistrate Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2017 to 12/31/2017
7. Chambers or Office Address 515 Rusk, Suite 7019 Houston, Texas 77002		
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. _____	_____
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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE AND TYPE

1. 12-31-2017

Locke Lord salary

2. 12-31-2017

Government pension

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.)*SOURCEDATESLOCATIONPURPOSEITEMS 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) 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. Vanguard Windsor II IRA	A	Int./Div.	M	T					
2. Vanguard Star IRA	A	Int./Div.	K	T					
3. Hewlett Packard Co. (HPQ)	A	Dividend	J	T					
4. Hewlett Packard Enterprise (HPE)	A	Dividend	J	T					
5. DXC Technology	A	Dividend	J	T	Spinoff (from line 4)	03/31/17	J		
6. Intel	A	Dividend	K	T					
7. USE Credit Union	A	Interest	K	T					
8. Chase Bank	A	Interest	K	T					
9. Microsoft Corporation	A	Dividend	K	T					
10. Pfizer Corporation	A	Dividend	K	T					
11. Kinder Morgan, Inc.	B	Dividend	L	T					
12. Citigroup, Inc.	A	Dividend	J	T					
13. Locke Lord 401K Schwab S&P 500 Index	C	Dividend			Sold	06/30/17	M		
14. Locke Lord 401K Vanguard Inst'l Index	C	Dividend	M	T	Buy	06/30/17	M		
15. Locke Lord 401KT.Rowe Price Blue Chip	C	Dividend	M	T	Buy	06/30/17	M		
16. Locke Lord 401K Vanguard Primecap Core	B	Dividend			Sold	06/30/17	L		
17. Locke Lord 401K Vanguard Smallcap Index I	C	Dividend	M	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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18. Locke Lord 401K Vanguard Midcap Index I	C	Dividend	M	T					
19. Walmart	B	Int./Div.	K	T					
20. ATT	A	Dividend	J	T	Buy	02/15/17	J		
21. Caterpillar (CAT)	B	Dividend	L	T					
22. Altria	D	Dividend	N	T					
23. Berkshire Hathaway "B" Shares		None	M	T					
24. Qualcomm, Inc.	B	Dividend	L	T					
25. Gilead Sciences	B	Dividend	L	T					
26. Bellicum Pharmaceuticals		None	K	T					
27. Mondelez Int'l Inc.	A	Dividend	K	T					
28. Prudential Alliance (X)	A	Interest	K	T					
29. Thornburg Invest Trust Income Builder (X) (BeneIRATIBIX)	A	Dividend	J	T					
30. American Funds/EuroPacific Growth Fund F2AEPFX (BeneIRA)(X)	A	Dividend	J	T					
31. Hotchkiss & WileyHWHIX (BeneIRA) (X)High Yield	A	Dividend	J	T					
32. Oakmark FundOAKMX (BeneIRA) (X)Harris Assoc.Inv. Trust Class 1	A	Dividend	J	T	Sold (part)	09/18/17	J	A	
33. Franklin Custodian FundsFRIAX(BeneIRA)(X)	A	Dividend	J	T					
34. Hennessy Focus FundsHFCIX (BeneIRA) (X)	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 \$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. First Eagle GlobalSGIIX Fund(BeneIRA)(X)	A	Dividend	J	T					
36. Edgewood Growth FundEGFIX (BeneIRA)(X)	A	Dividend	J	T	Sold (part)	09/18/17	J	A	
37. Dodge&Cox Stock FundDODGX (BeneIRA)(X)	A	Dividend	J	T					
38. AMG Yacktman FundYACKX (BeneIRA)(X)	A	Dividend	J	T					
39. TRowe Price Blue Chip Growth Fund TRBCX(X)(BeneIRA)	A	Dividend	J	T	Sold (part)	09/18/17	J	A	
40. Vanguard Small Cap Fund Admiral (BeneIRA)(X)	A	Dividend	J	T					
41. Wells Fargo Short Duration Govt Bond WSGIX(BeneIRA)(X)	A	Distribution	J	T					
42. Pax World Fds Ser. Tr. 1Small Cap Fund (BeneIRA)(X)	A	Dividend	J	T				A	
43. AIG Focused Div. Strategy PortfolioFDSWX (BeneIRA)(X)	A	Dividend	J	T					
44. Fidelity Invest. Money Market FNSXX	A	Dividend	J	T	Sold (part)	01/13/17	J	A	
45. Fidelity Invest. Money Market FNSXX		None	J	T	Sold (part)	07/14/17	J	A	
46. Fidelity Invest. Money MarketFNSXX		None	J	T	Sold (part)	10/13/17	J	A	

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

1. The SunAMERICA Focused Div. Strategy Portfolio FDSWX is now known as AIG Focused Div. Strategy Portfolio FDSWX. No sale was involved. SunAmerica was always a part of the AIG family. The new name is reflected on my report on line 42.
2. My husband's IRA with Locke Lord sold and purchased funds (Lines 12-17). I did not list a gain because no gain was realized. It was just a rollover.

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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/ Nancy K. Johnson**

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