

FINANCIAL DISCLOSURE REPORT INITIAL FILING

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) Nowak, Christine A.	2. Court or Organization United States District Court, Eastern District of Texas	3. Date of Report 10/09/2015
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Full-Time United States Magistrate Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☒ Initial ☐ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2014 to 10/01/2015
7. Chambers or Office Address United States Courthouse Annex 200 North Travis Street Sherman, TX 75090		
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. Participating Member	Dykema Cox Smith, PLLC (former law firm)
2. Board Member at Large	Dallas Women Lawyers Association (non-profit)
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. 2008	KL Gates 401K Savings and Retirement Plan (former law firm, no control)
2. 2010	Dykema Cox Smith 401K Savings and Investment Plan (former law firm, no control -rollover to TSP requested and made in August 2015; account no longer exists)
3. 06/19/2015	Departure Agreement with Dykema Cox Smith (agreement with former law firm re: return of capital and withdrawal of participation in payments/benefits)

FINANCIAL DISCLOSURE REPORT

Page 2 of 8

Name of Person Reporting

Nowak, Christine A.

Date of Report

10/09/2015

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. 2013	Dykema Cox Smith - Salary	\$244,718.00
2. 2014	Dykema Cox Smith - Salary	\$245,674.00
3. 2015	Dykema Cox Smith - Salary	\$132,725.45
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. 2014	Henley & Henley- Salary
2. 2015	Henley & Henley - Salary
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. Exempt				
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 8

Name of Person Reporting

Nowak, Christine A.

Date of Report

10/09/2015

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.	Exempt		
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.	ACS	Student Loan	K
2.	AES	Student Loan	K
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 8

Name of Person Reporting

Nowak, Christine A.

Date of Report

10/09/2015

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. USAA Account	A	Interest	K	T					
2. USAA CD	A	Interest	J	T					
3. Texas Tuition Promise Fund	A	None	K	T					
4. Dallas County Pension Plan (not self directed)	A	Dividend	K	T					
5. KL Gates 401K Savings & Investment Plan									
6. - Hancock Horizon Diversified Int'l	A	Dividend	J	T					
7. - Nuveen Real Estate I	A	Dividend	J	T					
8. - Vanguard Growth Index Institution	A	Dividend	M	T					
9. Dykema 401K Savings & Investment Plan									
10. - Fidelity Blue Chip Growth K	A	Dividend							
11. - Fidelity Capital & Income	A	Dividend							
12. - Fidelity ContraFund K	A	Dividend							
13. - Fidelity Low Priced Stock K	A	Dividend							
14. - TRowe Price Retirement 2040	A	Dividend							
15. Dallas County 457(b)									
16. - American Century Growth Fund	A	Dividend	K	T					
17. - Neuberger Berman Equity Trust- Genesis Fund	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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 8

Name of Person Reporting

Nowak, Christine A.

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10/09/2015

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18. - Pimco Total Return Fund	A	Dividend	J	T					
19. - TRowe Price Growth Stock	A	Dividend	J	T					
20. - Wells Fargo Advantage	A	Dividend	K	T					
21. - Discovery Fund Admin. Class	A	Dividend	J	T					
22. Henley & Henley 401K Savings & Investment Plan	A								
23. - Voya Small Cap Index Equity Fund	A	Dividend	J	T					
24. USAA IRA									
25. - V.F. Corp.	A	Dividend	J	T					
26. - Proctor & Gamble Company	A	Dividend	J	T					
27. - Johnson & Johnson	A	Dividend	J	T					
28. - Ford Motor Co.	A	Dividend	J	T					
29. - Fluor Corp New	A	Dividend	J	T					
30. - Estee Lauder Companies	A	Dividend	J	T					
31. - Caterpillar Inc.	A	Dividend	J	T					
32. - Big Lots Inc.	A	Dividend	J	T					
33. - Baxter Int'l	A	Dividend	J	T					
34. - Abbvie Inc. Com	A	Dividend	J	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		
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(See Column C2)	U = Book Value	V = Other	W = Estimated		

FINANCIAL DISCLOSURE REPORT

Page 6 of 8

Name of Person Reporting

Nowak, Christine A.

Date of Report

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35. - Abbott Laboratories	A	Dividend	J	T					
36. USAA IRA									
37. - VISA Inc. CL A	A	Dividend	J	T					
38. - Microsoft Corp.	A	Dividend	J	T					
39. - MGM Mirage Inc.	A	Dividend	J	T					
40. - Intel Corporation	A	Dividend	J	T					
41. - Ford Motor Co.	A	Dividend	J	T					
42. - Fitbit Inc. CL A	A	Dividend	J	T					
43. - Columbia Thermostat A	A	Dividend	J	T					
44. - Bank America Corp. Com	A	Dividend	J	T					
45. Knights of Columbus Whole Life Insurance Policy	A	Int./Div.	K	T					
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47.									

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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	
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 8

Name of Person Reporting

Nowak, Christine A.

Date of Report

10/09/2015

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

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

Nowak, Christine A.

Date of Report

10/09/2015

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/ Christine A. Nowak**

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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