

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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) Dennis, James L.	2. Court or Organization U.S. 5th Cir. Court of Appeals	3. Date of Report 04/18/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Circuit Judge, Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address John Minor Wisdom Building 600 Camp Street, Room 219 New Orleans, LA 70130		
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. Member, Advisory Committee | Geo. W. & Jean H. Pugh Institute for Justice, a fund held by the L.S.U. Foundation for the benefit of L.S.U. Law School |
| 2. Member, LSU Law Center Board of Trustees | Louisiana State University Law Center Board of Trustees, a consultative body to the Chancellor |
| 3. | |
| 4. | |
| 5. | |

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

☐ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

- | | |
|-------------|--|
| 1. 10/02/95 | LA State Employees' Retirement System. No control; fully vested 10/31/94. See La.R.S. 11:551 |
| 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. 2013	LA State Employees' Retirement System - Pension	\$52,276.80
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. 2013	Teachers' Retirement System of Louisiana - pension
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. Alliance Bernstein (FKA Alliance Worldwide Privatization)	A	Dividend	K	T					
2. Hospitality Properties	A	Dividend	J	T					
3. Municipal Mortgage & Equity	A	Dividend	J	T					
4. DCP Midstream	A	Dividend	J	T					
5. Bank Deposit Program (FKA Centennial Money Market) Wachovia	A	Interest	M	T					
6. EV Energy Partners	B	Dividend	J	T					
7. Rayonier, Inc.	A	Dividend	J	T	Sold (part)	05/07/13	J	D	
8. Crestwood formerly Inergy LP	A	Dividend	J	T					
9. Anchor Nat'l Life Polaris Choice II Variable Annuity (FKA An	A	Dividend	L	T					
10. Crosstex Energy L.P.	A	Dividend	J	T					
11. Energy Transfer Equity	C	Dividend	K	T					
12. Regency Energy Partners	A	Dividend	J	T					
13. Amgen	A	Dividend	J	T					
14. Appollo Inv. Corp	A	Dividend	J	T					
15. Energy Transfer Partners	B	Dividend	K	T					
16. Enterprise Prods partners	B	Dividend	K	T					
17. JP Morgan Short Term Bond 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 \$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				
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18. Kinder Morgan Energy	A	Dividend	K	T					
19. Penn West Petroleum	A	Dividend	J	T					
20. Plains All American Pipeline	B	Dividend	K	T					
21. Postrock Energy	A	Dividend	J	T					
22. Targa Resources Partners	A	Dividend	K	T					
23. Travel Centers of America	A	Dividend	J	T					
24. Vanguard Natural Resource	B	Dividend	J	T					
25. Teekay Tankers	A	Dividend	J	T					
26. Genesis Energy	A	Dividend	J	T					
27. MBIA	A	Dividend	J	T					
28. Centurylink	A	Dividend	K	T					
29. Monroe Louisiana Sales Tax Bond	A	Interest			Redeemed	07/01/13	K	A	
30. El Paso Pipeline	A	Dividend	J	T					
31. International Paper	A	Dividend	J	T					
32. Western Asset Management	A	Dividend			Sold	06/27/13	J	B	
33. Duff & Phelps Global	B	Dividend	K	T					
34. Enbridge Energy Partners	A	Dividend	J	T					

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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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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35. Chesapeake Granite	B	Dividend	J	T					
36. Hercules Technology	A	Dividend	J	T					
37. Hewlett Packard	A	Dividend	J	T					
38. Nuveen Diversified	A	Dividend	J	T					
39. Sandridge Mississippian	A	Dividend	J	T					
40. Sandridge Permian	B	Dividend	J	T					
41. Symantec Corporation	A	Dividend	J	T					
42. Willbros Group	A	Dividend	J	T					
43. Delta Airlines	A	Dividend	J	T					
44. Apple Inc.	A	Dividend	J	T					
45. Applied Materials	A	Dividend	J	T					
46. Ares Commercial	A	Dividend	J	T					
47. Morgan Stanley Emerging Markets Domestic Debt Fund	A	Dividend	J	T					
48. First Trust IPOX	A	Dividend	J	T					
49. Hartford Financial Services	A	Dividend	J	T					
50. Huntsman Corp.	A	Dividend	J	T					
51. Intel Corp.	A	Dividend	J	T					

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52. Markwest Energy	A	Dividend	J	T					
53. Prudential Short Duration High Yield Fund	A	Dividend	J	T					
54. Suburban Propane	A	Dividend	J	T					
55. Tata Motors Ltd.	A	Dividend	J	T					
56. Capital Projects Financial Authority	A	Dividend	J	T					
57. Olin Corp	A	Dividend	J	T	Buy	03/01/13	J		
58. Suburban Propane	B	Dividend	J	T	Buy	05/14/13	J		
59. CVR Refining	A	Dividend	J	T	Buy	05/14/13	J		
60. CVR Refining	A	Dividend	J	T	Buy	04/24/13	J		
61. KKR & Co. LP	A	Dividend	J	T	Buy	04/08/13	J		
62. Taylor Morrison Home Corp.	A	Dividend	J	T	Buy	06/12/13	J		
63. Susser Petroleum	A	Dividend	J	T	Buy	06/12/13	J		
64. Trinity Industries	A	Dividend	J	T	Buy	07/22/13	J		
65. Cisco Systems	A	Dividend	J	T	Buy	07/23/13	J		
66. Freeport McMoRan	A	Dividend	J	T	Buy	09/03/13	J		
67. DR Horton Inc.	A	Dividend	J	T	Buy	11/04/13	J		
68. Tesoro Logistics	A	Dividend	J	T	Buy	12/04/13	J		

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69. Alliance Bernstein	A	Dividend	J	T	Buy	12/04/13	J		
70. Seadrill Partners	A	Dividend	J	T	Buy	12/04/13	J		

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

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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/ **James L. Dennis**

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