

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) BENNETT, ALFRED H.	2. Court or Organization SOUTHERN DISTRICT OF TEXAS	3. Date of Report 03/27/2018
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 01/01/2017 to 12/31/2017
7. Chambers or Office Address BOB CASEY UNITED STATES COURTHOUSE 515 RUSK ST. HOUSTON, TX 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.	BOARD MEMBER	SAM HOUSTON AREA COUNCIL, BOY SCOUTS OF AMERICA
2.	BOARD MEMBER	UTLAW SCHOOL FOUNDATION
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.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 11

Name of Person Reporting

BENNETT, ALFRED H.

Date of Report

03/27/2018

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. 2017 _____

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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. _____

2. _____

3. _____

4. _____

5. _____

FINANCIAL DISCLOSURE REPORT

Page 3 of 11

Name of Person Reporting

BENNETT, ALFRED H.

Date of Report

03/27/2018

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 11

Name of Person Reporting

BENNETT, ALFRED H.

Date of Report

03/27/2018

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. Bank of America	A	Interest	M	T					
2. Wells Fargo	A	Interest	M	T					
3. Amazon		None	M	T					
4. American Funds Capital World Bond Fund	A	Dividend	L	T					
5. American Funds Capital World Growth and Income Fund	A	Dividend	L	T					
6. American Funds EuroPacific Growth Fund	A	Dividend	K	T					
7. American Funds Fundamental Investors	A	Dividend	J	T					
8. Investment Co of America Fund (American Funds)	A	Dividend	M	T					
9. American Funds New Economy	A	Dividend	J	T					
10. American Funds New Perspective Fund	A	Dividend	L	T					
11. American Funds SmallCap World Fund	A	Dividend	K	T					
12. Growth Fund of America (American Funds)	A	Dividend	M	T					
13. Apple Computer (stock)	A	Dividend	J	T					
14. Ariel Appreciation Fund	A	Dividend	J	T					
15. AT & T	A	Dividend	J	T					
16. Black Rock Equity Dividend 529 option		None	J	T					
17. Black Rock Growth Target Risk 529 option		None	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 = \$250,001 - \$500,000,000	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 11

Name of Person Reporting

BENNETT, ALFRED H.

Date of Report

03/27/2018

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)

18. College America 529 Captial Income Builder		None	K	T					
19. College America 529 Capital World Growth		None	K	T					
20. College America 529 Investment Co of America		None	K	T					
21. College America 529 New Perspective Fund		None	K	T					
22. College America 529 Growth Fund of America		None	M	T					
23. Columbia Seligman Communication and Information Fund	A	Dividend	L	T					
24. Davis NY Venture Fund	A	Dividend	M	T					
25. Delaware High Yield Opportunities Fund	A	Dividend	J	T					
26. Walt Disney Co.	A	Dividend	J	T					
27. Duke Energy (stock)	A	Dividend	J	T					
28. Eaton Vance Dividend Builder Fund	A	Dividend	L	T					
29. Eaton Vance Worldwide Health Sciences Fund	A	Dividend	L	T					
30. Exxon-Mobil (stock)	A	Dividend	J	T					
31. First Eagle Fund of America	A	Dividend	K	T					
32. First Trust Sabrient Baker's Dozen UIT	A	Dividend	K	T	Buy	04/20/17	K		
33. First Trust Sabrient Baker's Dozen UIT		None	K	T	Buy (add'l)	10/25/17	K		
34. First Trust Banking Opportunity UIT	A	Dividend	K	T	Buy	04/11/17	K		

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 11

Name of Person Reporting

BENNETT, ALFRED H.

Date of Report

03/27/2018

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. First Trust Capital Strength Portfolio UIT	A	Dividend	K	T					
36. First Trust Bio Technology Portfolio UIT	A	Dividend	K	T	Redeemed	01/31/17	K		
37. First Trust Cloud Computing UIT	A	Dividend	K	T					
38. First Trust Cybersecurity UIT	A	Dividend	K	T	Redeemed	04/11/17	K		
39. First Trust Deep Value UIT	A	Dividend	J	T					
40. First Trust Div Strength UIT	A	Dividend	J	T					
41. First TrustGlobal Div Portfolio UIT	A	Dividend	J	T					
42. Frist Trust Healthcare Select UIT	A	Dividend	J	T					
43. First Trust International Cap Strength UIT	A	Dividend	J	T	Redeemed	11/20/17	J	A	
44. First Trust Small/Mid Cap Strength UIT	A	Dividend	J	T					
45. First Trust Tech Dividend Portfolio UIT	A	Dividend	K	T					
46. First Trust REIT Growth Income Plus UIT	A	Dividend	K	T					
47. First Trust Select Portfolio UIT	A	Dividend	J	T					
48. First Trust US Infrastructure UIT	A	Dividend	J	T					
49. Ford Motor Co (stock)	A	Dividend	J	T					
50. Franklin Mutual Global Discovery Fund	A	Dividend	K	T					
51. Franklin Rising Dividends Fund	B	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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 11

Name of Person Reporting

BENNETT, ALFRED H.

Date of Report

03/27/2018

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. John Hancock Preferred Income	A	Dividend	K	T					
53. Kraft-Heinz/ Kraft Foods (stock)	A	Dividend	K	T					
54. Lord Abbett Value Opportunities	A	Dividend	L	T					
55. LyondellBasell (stock)	A	Dividend	J	T					
56. McDonald's (stock)	A	Dividend	J	T					
57. Merck (stock)	A	Dividend	J	T					
58. MFS Utilities Fund	A	Dividend	J	T					
59. Microsoft (stock)	A	Dividend	J	T					
60. Mondelez (stock)	A	Dividend	J	T					
61. Pimco Long-Term US Government Fund	A	Dividend	J	T					
62. Pimco Real Return Fund	A	Dividend	J	T					
63. Pimco Total Return Fund	A	Dividend	J	T					
64. Powershares QQQ Trust, Series 1 (ETF)	A	Dividend	K	T					
65. Royce Premier Fund	A	Dividend	K	T					
66. Royce Special Equity Fund	A	Dividend	K	T					
67. Starbucks (stock)	A	Dividend	K	T					
68. Templeton World 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 = \$250,000,001 - \$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 11

Name of Person Reporting

BENNETT, ALFRED H.

Date of Report

03/27/2018

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. Atlanta GA Water and Waste Bond	A	Interest	K	T					
70. Bay Area Toll Authority of California Bond	B	Interest	K	T					
71. Beaumont TX Independent School District	A	Interest	K	T					
72. Belton, TX Independent School District Bond	A	Interest	J	T					
73. Carrollton, GA Payroll Development Authority Bond	A	Interest	K	T					
74. Cypress-Fairbanks, TX Independent School District Bond	A	Interest	K	T					
75. Elk Grove, CA Unified School District Bond	B	Interest	K	T					
76. Evansville Ind Redev Authority	A	Interest	K	T					
77. Grand Rapid Michigan Public Schools	A	Interest	J	T					
78. Grayson County, TX Junior College Bond	B	Interest	K	T					
79. Hawaii Pacific Health Bond	B	Interest	K	T					
80. Jacksonville, TX Independent School District Bond	A	Interest	J	T					
81. Lancaster, PA Bond	A	Interest	K	T					
82. Lucas County, OH Hospital Bond	C	Interest	K	T					
83. Metropolitan WTR Dist. S Calif Waterworks	A	Interest	K	T					
84. Missouri Municipal Elec Util	A	Interest	K	T					
85. Mississippi Dev Bond	A	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 \$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 11

Name of Person Reporting

BENNETT, ALFRED H.

Date of Report

03/27/2018

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)

86. New Castle Cty, Del Bond	A	Interest	J	T					
87. NJ Transit Trust Bond	A	Interest	J	T					
88. NY, NY City Mun WT Bond	A	Interest	K	T					
89. NY State Urban Development Bond	A	Interest	J	T					
90. North Texas Thruway Authority Bond	C	Interest	K	T					
91. Pennsylvania State Public Schools Bond	B	Interest	K	T					
92. Rock Island, IL Public Bldg Rev Bond	A	Interest	K	T					
93. San Diego County, CA Water Authority Bond	A	Interest	J	T					
94. Tuscaloosa, AL Public Educational Building Bond	B	Interest	K	T					
95. TransAmerica Liberty 2008 Class L Annuity		None	N	T					
96. Chane Investment Holdings (rental property)	E	Rent			Sold	05/18/17	O	F	
97. 1815 Rosewood (inherited rental property)	E	Rent	N	Q		02/28/17	N		Inherited, Charles Harrison
98. UBS RMA Tax Free Fund	A	Interest	L	T					
99. Series EE Savings Bonds	A	Interest	J	T					
100. Allstate Universal Life Insurance		None	K	T					
101. NY Life Variable Life Insurance - capital appreciation option		None	K	T					
102.									

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 10 of 11

Name of Person Reporting

BENNETT, ALFRED H.

Date of Report

03/27/2018

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

FINANCIAL DISCLOSURE REPORT

Page 11 of 11

Name of Person Reporting

BENNETT, ALFRED H.

Date of Report

03/27/2018

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/ ALFRED H. BENNETT**

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