

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) Norman, Jeffrey P.	2. Court or Organization United States Bankruptcy, Southern District of Texas	3. Date of Report 5/7/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States Bankruptcy 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, Fourth Floor 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.)

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 12

Name of Person Reporting

Norman, Jeffrey P.

Date of Report

5/7/2018

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.)*

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.	
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. National Conference of Bankruptcy Judges	October 8, 9 and 10	Las Vegas, NV	Participant in Annual Bankruptcy Seminar	Lodging
2. American Bar Association	April 5, 6 and 7	New Orleans, LA	Participant in Biannual Bankruptcy Seminar	Airfare, Lodging and Food
3. National Association of Chapter 7 Trustees	September 14 and 15	New Orleans, LA	Participant in Annual Bankruptcy Seminar	Mileage, Lodging and Food
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 12

Name of Person Reporting

Norman, Jeffrey P.

Date of Report

5/7/2018

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.	Chase Bank	Credit Card	J
2.	Citibank	Credit Card	J
3.	Synchrony Bank	Credit Card	J
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 12

Name of Person Reporting

Norman, Jeffrey P.

Date of Report

5/7/2018

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. Frost Bank Accounts	A	Interest			Closed	02/01/17	K		
2. Charles Schwab Bank Account	A	Interest	K	T	Open	02/01/17	K		
3. Tom Root Note	D	Interest	N	T					
4. [REDACTED] Secured Note	D	Int./Div.	M	T	Open	06/05/17	M		
5. Vanguard - SEP/IRA	E	Int./Div.	P1	T					
6. -Vanguard 500 Index Fund (VFIAX)	B	Dividend			Sold	8/31/17	M	C	
7. -Vanguard Balanced Index Fund(VBIAX)	B	Int./Div.			Sold	08/31/17	M	D	
8. -Vanguard Dividend Growth Fund (VDIGX)	B	Dividend			Sold	08/31/17	M	B	
9. -Vanguard Intermediate-Term Bond (VFIIX)	E	Interest	O	T	Buy (add'l)	05/30/17	K		
10.					Buy (add'l)	06/02/17	K		
11.					Buy (add'l)	08/31/17	O		
12.					Buy (add'l)	10/02/17	K		
13. -Vanguard Prime Money Market (VMMXX)	A	Interest	J	T					
14. -Vanguard REIT Index (VGSIX)	B	Dividend			Sold	10/13/17	M	D	
15. -Vanguard Target Retirement 2030 (VTHR)	B	Int./Div.			Sold	08/31/17	M	C	
16. -Vanguard Total International Stock Index (VTIAX)	B	Dividend			Sold	08/31/17	M	B	
17. -Vanguard Total Stock Index (VTSAX)	B	Dividend			Sold	03/01/17	N	C	

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 = \$5,001 - \$15,000	D = \$15,001 - \$50,000 E = \$50,001 - \$100,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$250,001 - \$500,000	K = \$15,001 - \$50,000 O = \$50,001 - \$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 = \$250,001 - \$500,000
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 12

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18. -Vanguard Wellseely Income Fund (VMIAX)	B	Int./Div.			Sold	02/13/17	M	C	
19. -Vanguard Short Term Bond Index (VBISX)	A	Int./Div.	N	T	Sold (part)	05/30/17	K	A	
20.					Sold (part)	06/02/17	K	A	
21.					Sold (part)	10/02/17	K	A	
22.					Buy (add'l)	02/13/17	M		
23.					Buy (add'l)	03/01/17	N		
24.					Buy (add'l)	10/13/17	M		
25. Vanguard -Variable Annuity	C	Int./Div.	M	T					
26. -WA-Balanced	B	Int./Div.			Sold	10/13/17	L	D	
27. -WA-Growth	B	Dividend			Sold	10/13/17	L	D	
28. -WA-International	C	Dividend			Sold	10/13/17	L	B	
29. -WA-Short Term Bond	B	Interest	J	T	Buy	10/13/17	L		
30. -WA-Total Bond Fund	C	Interest	M	T	Buy	10/13/17	L		
31. Vanguard - Munciple Bond Account	E	Interest	N	T					
32. -AUSTIN TX CMNTY CLLG DIST PUB FAC LES REV HAYS B/E	A	Interest	K	T					
33. -BEXAR CNTY TX CTF OBLIG FLOOD CTL DB B/E CPN	A	Interest			Redeemed	06/15/17	J		
34. -CAMERON CNTY TX CTF OBLIG ASRD GTY B/E DB OID	A	Interest			Redeemed	02/15/17	K		

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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	
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FINANCIAL DISCLOSURE REPORT

Page 6 of 12

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35. -CITIZENS PPY INS CRP FL RFD SRSECD HIGH RICH ACCT A NPF REV/B/E CPN	A	Interest			Redeemed	04/01/17	J		
36. -CLARK CNTY NV SCH DIST SCH SER C DB NPF B/E PTC CPN	A	Interest			Redeemed	12/15/17	J		
37. -CLARK CNTY NV SCH DIST SER B DB B/E PTC CPN	A	Interest			Redeemed	12/15/17	J		
38. -CONROE TX CTF OBLIG DB AGM B/E OID	A	Interest			Redeemed	05/15/17	J		
39. -CORPUS CHRISTI TX RFDG GENL IMPT SER B B/E OID	A	Interest	K	T					
40. -CORPUS CHRISTI TX GENL IMPT ASRD GTY PTC CPN	A	Interest	K	T					
41. -EL PASO TX AGM B/E CID	A	Interest			Redeemed	08/15/17	J		
42. -FLORIDA ST BRD ED PKG FAC REV UNIV AGM OID	A	Interest			Redeemed	05/15/17	J		
43. -FORT BEND CNTY TX RFDG B/E CPN	A	Interest	J	T					
44. -FORT BEND TX INDPT SCH DIST RFDG B/E PST GTD CPN	A	Interest	J	T					
45. -GREENVILLE TX ELEC UTIL SYS REV RFDG B/E CPN	A	Interest	J	T					
46. -HARRIS CNTY TX CULTURAL ED FIN MED REV RFDG MTG BAYLOR A B/E OID	A	Interest	K	T					
47. -HARRIS CNTY TX CULTURAL FIN MED REV RFDG MTG A BAYLOR B/E OID	A	Interest	J	T					
48. -HARRIS CNTY TX CULT ED FACS FIN CORP REV RFDG METH HOSP SYS B B/ E CPN	A	Interest	J	T					
49. -HARRIS CNTY TY CULTURAL ED FAC FIN CORP REV RFDG HOSP A B/E OID	A	Interest	K	T					
50. -HOUSTON TX RFDG PUB IMPT SER A B/E CPN	A	Interest	K	T					

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FINANCIAL DISCLOSURE REPORT

Page 7 of 12

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51. -HOUSTON TX CMNTY CLLG SYS REV RFDG SR LIEN STDNT FEE AGM B/E CPN	A	Interest	J	T					
52. -HOUSTON TX INDPT SCH DIST RFDG SER B PSF GTD B/E CPN	A	Interest	J	T					
53. -ILLINOIS DEV FIN AUTH RETIRE REV REGENCY PK B ETM ZER	A	Interest	J	T					
54. -KATY TX INDPT SCH DIST RFDG SER B B/E PSF GTD CPN	A	Interest			Redeemed	06/15/17	J		
55. -LA JOYA TX INDPT SCH DIST B/E PSF GTD OID	A	Interest			Redeemed	02/15/17	J		
56. -LOS ANGELES COMMUNIT COLLEGE DISTRICT 2001 ELECTION SER C NPFG B/E CP	A	Interest			Redeemed	06/01/17	K		
57. -LOS ANGELES CA UNI SCH DIST ELECT 2005 SER E AGM B/E CPN	A	Interest			Redeemed	06/01/17	J		
58. -LUBBOCK TX CTF OBLIG WSTWTR SYS DB AGM B/E CPN	A	Interest			Redeemed	07/15/17	J		
59. -MARBLE FALLS TX CTF OBLIG DB NPFG B/E CPN	A	Interest			Redeemed	05/15/17	J		
60. -MIAMI DADE CNTY FL PUB SVC TAX REV RFDG UMSA IMPT AGM B/E CPN	A	Interest	J	T					
61. -MISSOURI CITY TX SERS A B/E OID	A	Interest	J	T					
62. -MISSOURI CITY TX CTF OBLIG SER C DB B/E OID	A	Interest	J	T					
63. -MORaine OH SOLID WST XXX SUBMITTED FOR ESCROW REV GM CORP AMT CPN	A	Interest	J	T					
64. -MORGAN STANLEY SR NOTE CPN	A	Interest			Redeemed	02/15/17	J		
65. -MURRIETA VY CA USD SER A NPFG B/E CAB	A	Interest			Redeemed	09/01/17	J		
66. -PORT AUTHOR TX INDPT SCH DIST ASRD GTY B/E CPN	A	Interest			Redeemed	02/15/17	J		

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FINANCIAL DISCLOSURE REPORT

Page 8 of 12

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Date of Report

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67. -ROYAL TX INDP SCH DIST SER A B/E OID	A	Interest			Redeemed	02/15/17	J		
68. -SPRING TX INDPT SCH DIST B/E PSF GTD CPN	A	Interest			Redeemed	09/01/17	J		
69. -TEXAS ST PUB FIN AUTH REV STEPHEN F. AUSTIN UNIV NPFG B/E PTC CPN	A	Interest			Redeemed	06/15/17	J		
70. -TEXAS TECH UNIV REV RFDG & IMPT FING 12TH SER B/E CPN	A	Interest	J	T					
71. -UNIVERSITY HOUSTON TX REV RFDG CONS AGM B/E CPN	A	Interest	J	T					
72. -UNIVERSITY HOUSTON TX REV RFDG CONS AGM B/E CPN	A	Interest	J	T					
73. -UNIVERSITY HOUSTON TX REV RFDG CONS SYS SER A B/E OID	A	Interest	K	T					
74. -UNIVERSITY HOUSTON TX REV RFDG CONS SER A B/E CPN	A	Interest	K	T					
75. -UNIVERSITY NORTH TX REV RFDG FING SYS SER A B/E PTC CPN	A	Interest	K	T					
76. Vanguard Rollover IRA	B	Int./Div.	L	T					
77. -Vanguard 500 Index (VFIAX)	A	Dividend			Sold	02/09/17	J	D	
78. -Vanguard European Stock Index (VEUSX)	A	Dividend			Sold (part)	02/17/17	J	B	
79.					Sold	10/13/17	J	B	
80. -Vanguard Intermediate Bond Fund (VBILX)	A	Interest	J	T	Buy (add'l)	5/2/17	J		
81.					Buy (add'l)	8/31/17	K		
82. -Vanguard Prime Money Market (VMMXX)	A	Int./Div.	J	T					

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FINANCIAL DISCLOSURE REPORT

Page 9 of 12

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83. -Vanguard Total Stock Market Index (VTSAX)	A	Dividend			Sold	10/13/17	J	D	
84. -Vanguard Short Term Corp Bond Index	A	Int./Div.	K	T	Buy	02/09/17	J		
85.					Buy (add'l)	05/02/17	J		
86.					Buy (add'l)	10/13/17	J		
87. Vanguard Mutual Fund Account	F	Int./Div.	P1	T					
88. -Vanguard Managed Payout Fund (VPGDX)	C	Int./Div.			Sold (part)	02/7/17	K	B	
89.					Sold (part)	02/13/17	L	B	
90.					Sold (part)	03/01/17	N	D	
91.					Sold	06/02/17	K	B	
92. -Vanguard Mun BD Tax Exempt Bond Index EFT (VTEB)	A	Interest	K	T					
93. -Vanguard Prime Money Market Fund (VMMXX) Sweep Account	A	Interest	L	T	Buy (add'l)	02/07/17	K		
94.					Buy (add'l)	02/13/17	L		
95.					Sold (part)	02/10/17	L		
96. -iShares U. S. Preferred Stock ETF	A	Dividend	K	T					
97. -Vanguard Short Term Tax Exempt (VWSUX)	B	Interest	N	T	Buy	02/22/17	K		
98.					Buy (add'l)	03/01/17	N		
99. -Vanguard High Yield Tax Exempt (VWIUX)	B	Interest	L	T	Buy	04/13/17	K		

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FINANCIAL DISCLOSURE REPORT

Page 10 of 12

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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				
	(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)

100.					Buy (add'l)	09/15/17	K		
101.					Buy (add'l)	10/13/17	J		
102. --Vanguard Intermediate Term Tax Exempt (VWIUX)	B	Interest	O		Buy	04/10/17	K		
103.					Buy (add'l)	04/21/17	K		
104.					Buy (add'l)	05/02/17	K		
105.					Buy (add'l)	06/02/17	K		
106.					Buy (add'l)	06/15/17	K		
107.					Buy (add'l)	07/11/17	J		
108.					Buy (add'l)	08/31/17	K		
109.					Buy (add'l)	10/02/17	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 11 of 12

Name of Person Reporting

Norman, Jeffrey P.

Date of Report

5/7/2018

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

FINANCIAL DISCLOSURE REPORT

Page 12 of 12

Name of Person Reporting

Norman, Jeffrey P.

Date of Report

5/7/2018

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/ Jeffrey P. Norman

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