

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) Cummings, Samuel R.	2. Court or Organization U.S. District Court Northern District of Texas	3. Date of Report 05/02/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Senior	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address 1205 Texas Avenue Room C-210 Lubbock, Texas 79401		
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.	

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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. _____

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. _____

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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. money market-savings - Wells Fargo Bank	B	Interest	M	T					
2. CD - Wells Fargo Bank	F	Interest	P1	T					
3. Oil & Gas Royalty & Working Interests: (H)									
4. --Dynergy (Targo) Midstream Service	B	Royalty	J	W					
5. --Roy Furr Estate Operator	B	Royalty	J	W					
6. Brokerage Account #1 (H)									
7. --CD - Provincial Financial Bank, Clayton, MO	B	Interest	K	T					
8. --CD - National Republic Bank, Chicago, IL	A	Interest	J	T					
9. --CD - Roundbank, Waseca, MN	C	Interest			Redeemed	04/28/16	M	A	proceeds purchased bonds
10. --Bond - Eagle Mountain-Saginaw TX School District	B	Interest			Redeemed	08/15/16	L	A	proceeds purchased bonds
11. --Bond - Barbers Hill TX ISD	B	Interest	K	T					
12. --Bond - Ft. Worth TX CTF oblig.	B	Interest	L	T					
13. --Bond - NW Harris County Municipal Utility District	C	Interest	L	T					
14. --Bond - Ft. Bend County Municipal Utility District	C	Interest	L	T					
15. --Bond - Donna TX ISD School Building PSF	B	Interest	L	T					
16. --Bond - Pharr San Juan Alamo TX ISD	B	Interest	L	T					
17. --Bond - Dallas TX ISD Building Fund	B	Interest			Redeemed	08/15/16	K	A	proceeds purchased bond

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 = \$250,000.01 - \$500,000.00	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	L = \$50,001 - \$100,000 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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18. --Bond - University of TX Revs. Fin. Sys.	C	Interest			Redeemed	08/15/16	M	A	proceeds purchased bond
19. --Bond - Waxahachie TX CTFS oblig.	B	Interest	L	T					
20. --Bond - Lubbock TX ISD Sch Bldg Fund PSF	B	Interest	L	T					
21. --Burleson TX CTF oblig.	A	Interest	K	T					
22. --McKinney TX Ind. Sch. Dis. g/o	A	Interest	L	T					
23. Brokerage Account #2 (H)									
24. --CD - Bank of North Carolina, Thomasville, NC	B	Interest	M	T					
25. --CD - Discover Bank, Greenwood, DE	B	Interest	M	T					
26. --CD - Luana Savings Bank., Luana, IA	B	Interest			Redeemed	01/22/16	M	A	proceeds purchased IRA bon
27. Brokerage Account #1 (H)									
28. --Bond - Texas Tech University Bond	A	Interest	K	T					
29. --Bond-Hale Center TX ED FACS CORP (cont'd in Part VIII)	B	Interest	L	T					
30. --Bond - Temple Tex. Rev. & Ltd. Tax Bds	A	Interest	K	T					
31. Brokerage Account #3 (H)									
32. --Nureen Quality Preferred FD3	B	Dividend	K	U					
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34. Brokerage Account #1 (H)									

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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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35. --Bond - Ft. Bend TX Util Dis BDS	B	Interest	L	T					
36. --Bond - Victoria County TX Jr. College Dist.	B	Interest	L	T					
37. --Bond - Crowley TX ISD	B	Interest	L	T					
38. --Bond-50 Northside Tex. Ind. Sch. Dis. Tax Bds	B	Interest	L	T					
39. --Bond-Stanton TX ISD Bldg. Bds	B	Interest	L	T					
40. --Bond-North Hopkins TX ISD	B	Interest	L	T					
41. --Bond-Weston Mun. Ut. Dis. TEXU Ltd Bonds	B	Interest	L	T					
42. --Bond-Cypress Hill Mun. Dist. No. 1	B	Interest	L	T					
43. --Bond-Montgomery Cnty. TX Mun. Util. Dist.	B	Interest	L	T					
44. Brokerage Account #2 (H)									
45. --825 shares Tr. High Divident ETF	B	Dividend	L	U					
46. --CD - Barclays Bank	A	Interest	M	U					
47. --CD - Discover BK Greenwood	B	Interest	L	U					
48. Brokerage Account #4 (H)									
49. --Bond-Lake Mun. Ut. Dis. Tax	B	Interest	M	T					
50. --Bond-Edinburgh Tax & Rev. CTFS oblig.	B	Interest	K	T					
51. --Bond-Houston Higher Ed. Fin. Corp.	B	Interest	L	T					

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52. --Bond-Fort Bend Cnty. Util. Dist.	B	Interest	K	T					
53. Brokerage Account-Sam R Cummings IRA (H)									
54. --First Trust Capital Investment Trust	B	Dividend	M	T					
55. --First Tr Value Divid Index SHS	B	Dividend	M	T					
56. --First Tr ETF Staples ALPHA DEX	B	Dividend	M	T					
57. --Bond-Texas Tech Univ. Ref. and IMPT	A	Interest	L	T					
58. --Global X FD DIS ETF	B	Dividend	L	T					
59. --First Trust DSIP Portfolio-Unit Trust	B	Dividend	M	T					
60. Brokerage Account #2 (H)									
61. --Wells Fargo Corporate Bond	B	Interest	M	T	Buy	12/16/16	M		IRA
62. --Wells Fargo Corporate Bond	B	Interest	L	T	Buy	03/16/16	L		IRA
63. --JP Morgan Chase Corporate Bond	B	Interest	M	T	Buy	03/18/16	M		IRA
64. Brokerage Account #1 (H)									
65. --Travis Cnty Ctfs of Oblig	B	Interest	K	T	Buy	05/03/16	K		Brokerage Acct #1
66. --New Caney Util Dis Tax Bds	B	Interest	L	T	Buy	05/04/16	L		Brokerage Acct #1
67. --Travis Cnty Tx Mun Util Dis No. 16	C	Interest	M	T	Buy	08/15/16	M		Brokerage Acct #1
68. --Lbb Cooper ISD Bond	B	Interest	K	T	Buy	08/29/16	K		Brokerage Acct #1

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

Part VII, page 5, line 33 - Rev. Wayland Baptist Univ. Proj. B/E B/O

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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/ Samuel R. Cummings**

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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One Columbus Circle, N.E.
Washington, D.C. 20544