

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) Higginbotham, Patrick E.	2. Court or Organization U.S. Court of Appeals, Fifth	3. Date of Report 11/06/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Circuit Judge (Senior 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 903 San Jacinto Blvd, Room 400 Austin, TX 78701		
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 of Overseers	Rand - Institute for Civil Justice
2. Independent Executor	Trust #2
3. Trustee	The Center for American and International Law
4. Independent Executor	The Estate of [REDACTED]
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.	

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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.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 2017	St. Mary's University (Teaching)	\$92,253.46
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. En Banc	January 17-18	New Orleans, LA	Court Meeting	Transportation, Lodging, and Meals
2. En Banc Session	May 16	New Orleans, LA	Court Meeting	Transportation, Lodging, and Meals
3. En Banc	September 19-20	New Orleans, LA	Oral Argument	Transportation, Lodging, and Meals
4. Appellate Judges Education Institution	November 4	Long Beach, CA	Continuing Education	Transportation, Lodging, and Meals
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. New York Life Insurance Company (Whole Life Policy)	A	Interest	K	T					
2. Verizon Common Stock	A	Dividend	J	T					
3. Comcast Common Stock	A	Dividend	J	T					
4. AT&T Common Stock	A	Dividend	J	T					
5. Frontier Communications Common Stock	A	Dividend	J	T					
6. Virtus Strategic Growth Fund A	A	Dividend	J	T					
7. Virtus Strategic Growth Fund A (x)	C	Distribution	J	T					
8. Capital One Bank Account	A	Interest	M	T					
9. Coconino-Yavapai AZ JT	A	Interest			Redeemed	07/03/17	J	A	
10. Maricopa CO AZ	A	Interest	J	T					
11. Houston TEX INDPT SCH	A	Interest			Redeemed	06/12/17	K	A	
12. Blackrock Global Allocation FD Inc C	C	Dividend	M	T					
13. Duke Energy Corp	B	Dividend	K	T					
14. Exxon Mobil Corp	C	Dividend	M	T					
15. Pimco Total Refund FD Cl A (f.k.a Pimco Total Refund FD Cl C)	A	Dividend	K	T					
16. Pimco Total Refund FD CL C	A	Dividend	J	T					
17. Coca Cola	C	Dividend	L	T					

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	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	F = \$50,001 - \$100,000 J = \$15,000 or less (See Columns C1 and D3)	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes	N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	P4 = More than \$50,000,000 S = Assessment W = Estimated	T = Cash Market

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	(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. Delta Air Line	A	Dividend	J	T					
19. Spectra Energy Corp	A	Dividend	J	T					
20. Enbridge Inc (x)	A	Dividend	J	T					
21. Invesco Senior Income Trust	A	Dividend	J	T					
22. Pioneer High Yield Fund CL A (f.k.a. Pioneer High Yield Fund CI C)	A	Dividend	K	T					
23. Pioneer High Yield Fund CL C	A	Dividend	J	T					
24. Dallas TEX Wtrwks & Swr	A	Interest			Redeemed	10/02/17	J	A	
25. Trust #2 - Rental Properties (Tarrant County, TX)		None			Distributed	04/10/17	L	A	
26. Trust #2 - Royalty (Tulsa, OK)	A	Royalty	J	W					
27. Royalty Trust (Tulsa, OK)	A	Royalty	J	W					
28. Rental Property (Austin, TX)	E	Rent	M	W					
29. Land (Blanco, TX)		None	N	T					
30. Merrill Lynch Bank U.S.A.		None	L	T					
31. Merrill Lynch Bank & Trust	A	Interest	M	T					

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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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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/ **Patrick E. Higginbotham**

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