AO 10
Rev. 1/2022

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2021

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)	2. Court or Organization	3. Date of Report
Bennett, Alfred H.	SOUTHERN DISTRICT OF TEXAS	02/24/2023
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)	**5a. Report Type (check appropriate type)**	**6. Reporting Period**
UNITED STATES DISTRICT JUDGE	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☑ Amended Report	01/01/2021 **to** 12/31/2021

7. Chambers or Office Address

BOB CASEY 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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 345 Trustees, Executors, Administrators, and Custodians; § 350 Power of Attorney; § 355 Outside Positions.)*

☐ NONE *(No reportable positions.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.	BOARD MEMBER	UTLAW SCHOOL FOUNDATION
2.		
3.		
4.		
5.		

II. AGREEMENTS. *(Reporting individual only; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 340 Agreements and Arrangements)*

☑ NONE *(No reportable agreements.)*

	DATE	PARTIES AND TERMS
1.		
2.		
3.		

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 320 Income; § 360 Spouses and Dependent Children.)*

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
1.	2021	[redacted]
2.		
3.		
4.		

IV. REIMBURSEMENTS -- *transportation, lodging, food, entertainment.*

(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)

☑ NONE *(No reportable reimbursements.)*

	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.					
2.					
3.					
4.					
5.					

V. GIFTS. *(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable gifts.)*

	SOURCE	DESCRIPTION	VALUE
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 335 Liabilities; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable liabilities.)*

	CREDITOR	DESCRIPTION	VALUE CODE
1.			
2.			
3.			
4.			
5.			

Name of Person Reporting	Date of Report
Bennett, Alfred H.	02/24/2023

VII. INVESTMENTS and TRUSTS – *income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ 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)	
1. Bank of America	A	Interest	K	T					
2. Wells Fargo	A	Interest	M	T					
3. Amazon		None	N	T					
4. American Funds Capital Income Builder	A	Dividend	K	T					
5. American Funds Capital World Bond Fund	C	Dividend	M	T	Sold (part)	04/27/21	L	B	
6. American Funds Capital World Growth and Income Fund	B	Dividend	L	T	Sold (part)	09/21/21	J	A	
7. American Funds EuroPacific Growth Fund	A	Dividend	K	T	Sold (part)	04/27/21	L	B	
8. American Funds Fundamental Investors	A	Dividend	K	T					
9. American Funds High Index	A	Dividend	J	T					
10. Investment Co of America Fund (American Funds)	C	Dividend	N	T					
11. American Funds New Economy	A	Dividend			Sold	04/27/21	K	A	
12. American Funds New Perspective Fund	A	Dividend	L	T					
13. American Funds SmallCap World Fund	A	Dividend	L	T					
14. Growth Fund of America (American Funds)	C	Dividend	N	T					
15. Apple Computer (stock)	A	Dividend	L	T					
16. Ariel Appreciation Fund	A	Dividend			Sold	09/21/21	J	A	
17. AT &T	A	Dividend	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 =$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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Bennett, Alfred H.	02/24/2023

VII. INVESTMENTS and TRUSTS – *income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ NONE *(No reportable income, assets, or transactions.)*

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18. Black Rock Equity Dividend 529 option		None	J	T					
19. Black Rock Growth Target Risk 529 option		None	J	T					
20. Black Rock Health Sciences	A	Dividend	J	T	Buy	09/21/21	J		
21. Bond Fund of America	A	Dividend	K	T	Buy	09/21/21	K		
22. College America 529 Captial Income Builder		None	K	T					
23. College America 529 Capital World Growth		None	L	T					
24. College America 529 Investment Co of America		None	L	T					
25. College America 529 New Perspective Fund		None	L	T					
26. College America 529 Growth Fund of America		None	M	T					
27. Columbia Seligman Communication and Information Fund	A	Dividend	M	T					
28. Consumer Discretionary Select Sector SPDR	A	Dividend	J	T	Buy	09/21/21	J		
29. Delaware High Yield Opportunities Fund	A	Dividend	J	T	Sold (part)	04/28/21	J	A	
30. Delaware Ivy Science and Technology		None	J	T	Buy	09/21/21	J		
31. Walt Disney Co.		None	K	T					
32. Eaton Vance Dividend Builder Fund	B	Dividend	M	T					
33. Eaton Vance Worldwide Health Sciences Fund	A	Dividend			Sold	04/27/21	L	A	
34. Fidelty Advisor Health Care	A	Dividend	J	T	Buy	09/21/21	J		

1 Income Gain Codes: (See Columns B1 and D4)	A =$1,000 or less	B =$1,001 - $2,500	C =$2,501 - $5,000	D =$5,001 - $15,000	E =$15,001 - $50,000
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	N =$250,001 - $500,000	O =$500,001 - $1,000,000	P1 =$1,000,001 - $5,000,000	P2 =$5,000,001 - $25,000,000	
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35. First Eagle Fund of America	A	Dividend			Sold	04/27/21	L	A	
36. First Trust AI Robotics Tech		None	J	T					
37. First Trust Cloud Computing UIT	A	Dividend	K	T					
38. First Trust Innovative Tech Port UIT	A	Dividend	K	T					
39. First Trust Small/Mid Cap Strength UIT	B	Dividend	K	T					
40. Franklin Mutual Global Discovery Fund	B	Dividend			Sold	04/27/21	L	B	
41. Franklin Rising Dividends Fund	A	Dividend	L	T					
42. John Hancock Preferred Income	B	Dividend	K	T					
43. Kraft-Heinz/ Kraft Foods (stock)	A	Dividend	J	T					
44. Lord Abbett Value Opportunities	A	Dividend	L	T					
45. Lord Abbett Ultra Short Bond Fund	A	Dividend			Sold	04/27/21	M	A	
46. LyondellBasell (stock)	A	Dividend	J	T					
47. McDonald's (stock)	A	Dividend	J	T					
48. Merck (stock)	A	Dividend	J	T					
49. MFS Utilities Fund	A	Dividend			Sold	04/27/21	J	A	
50. Microsoft (stock)	A	Dividend	J	T					
51. Mondelez (stock)	A	Dividend	J	T					

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52. Netflix		None	K	T					
53. Organon		None	J	T	Spinoff (from line 48)	12/20/21	J		
54. Pimco Long-Term US Government Fund	A	Dividend	J	T					
55. Pimco Real Return Fund	A	Dividend	J	T					
56. Pimco Total Return Fund	A	Dividend	K	T					
57. Principal Mid cap Instl Cl	A	Dividend	J	T	Buy	09/21/21	J		
58. Invesco QQQ Trust, Series 1 (ETF)	A	Dividend	L	T					
59. Royce Premier Fund	A	Dividend			Sold	09/21/21	J	A	
60. Royce Special Equity Fund	A	Dividend			Sold	04/27/21	L	C	
61. Sector Technology Select SPDR	A	Dividend	J	T	Buy	09/21/21	J		
62. SPDR S&P 500 ETF	A	Dividend	J	T	Buy	09/21/21	J		
63. Starbucks (stock)	A	Dividend	K	T					
64. Templeton World Advisor Fund	B	Dividend	L	T					
65. Vanguard S&P 500 Index ETF	A	Dividend	J	T	Buy	09/21/21	J		
66. Atlanta GA Water and Waste Bond	A	Interest	K	T					
67. Beaumont, TX Independent School District	A	Interest			Redeemed	02/26/21	K	A	
68. Belton, TX Independent School District Bond	A	Interest	J	T					

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69. Broadview, IL Assur Bond	A	Interest	K	T					
70. California Muni Fin Authority Bond	A	Interest	K	T					
71. Cypress-Fairbanks, TX Independent School District Bond	A	Interest			Redeemed	02/26/21	K	A	
72. Evansville Ind Redev Authority Bond	B	Interest	K	T					
73. Grand Rapid Michigan Public Schools Bond	A	Interest	J	T					
74. Jacksonville, TX Independent School District Bond	A	Interest	J	T					
75. Lancaster, PA Bond	A	Interest	K	T					
76. Lucas County, OH Hospital Bond	C	Interest			Redeemed	11/15/21	K	A	
77. Metropolitan WTR Dist. S Calif Waterworks Bond	A	Interest	K	T					
78. Missouri Municipal Elec Util Bond	A	Interest	K	T					
79. Mississippi Dev Bond	A	Interest	K	T					
80. Nassau County Assur Bond	A	Interest	K	T					
81. New Castle Cty, Del Bond	A	Interest	J	T					
82. NY, NY City Mun WT Bond	A	Interest	K	T					
83. NY State Urban Development Bond	A	Interest	K	T					
84. Rock Island, IL Public Bldg Rev Bond	B	Interest	K	T					
85. Pace Government Money Market		None			Sold	04/27/21	J	A	

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86. Insured Cash Account - Manufactures & Traders Trust Company	A	Interest	L	T	Buy	04/27/21	L		
87. TransAmerica Liberty 2008 Class L Variable Annuity- US Bal Asset Allocation, Global Bal Asset Allocation		None	N	T					
88. Rental property #1, Houston, TX	E	Rent	N	W					
89. [redacted]		None	P1	U	Buy	05/01/21	P1		
90. Series EE Savings Bonds	A	Interest	J	T					
91. Allstate Universal Life Insurance		None	K	T					
92. NY Life Variable Life Insurance - capital appreciation option		None	K	T					
93.									

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

Name of Person Reporting	Date of Report
Bennett, Alfred H.	02/24/2023

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 G-330
One Columbus Circle, N.E.
Washington, D.C. 20544