AO 10
Rev. 1/2019

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2022

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
Cain, Jr, James D.	U.S. District Court Western District of Louisiana	04/26/2023
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**
U. S. District Judge	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2022 **to** 12/31/2022
7. Chambers or Office Address		
611 Broad St Suite 328 Lake Charles, LA 70601		

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.	Member in Real Estate, LLC	401 Property Investors, LLC
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.		

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.	George Mason University Law and Economic Center	09/25/2022 -10/01/2022	Pray, MT	Non-FJC Educational Seminar	Lodging, meals, Travel
2.					
3.					
4.					
5.					

Name of Person Reporting	Date of Report
Cain, Jr, James D.	04/26/2023

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.	Merchants and Farmers Bank	Guarantor of Commercial Loan of 7.5% for Commercial Office Building	M
2.	Bankcorp South	Guarantor of Commercial Loan for [redacted] Investment in Commercial Retail Center	O
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	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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. Brokerage Account #1 (H)									
2. Amazon.com	D	Dividend	K	T					
3. Apple, Inc.	G	Dividend	M	T					
4. Tesla	C	Dividend	J	T					
5. Walt Disney Co.	D	Dividend	K	T					
6. Vanguard 500 Index Fund	D	Dividend	K	T					
7. Vanguard Prime Money Mkt Fund	A	Dividend	J	T					
8. Simple IRA (H)									
9. Vanguard Target Retirement 2025	G	Dividend	M	T					
10. Vanguard Target Retirement 2025	G	Dividend	M	T					
11. Vanguard Target Retirment 2020	D	Dividend	J	T					
12. IRA - Morgan Stanley (H)									
13. American Intl GW	F	Dividend	L	T					
14. Blackrock Mid Cap Grw EQ	F	Dividend	L	T					
15. Columbia Div Income	F	Dividend	L	T					
16. DWS Emerg. Mkts	F	Dividend	L	T					
17. DWS Real Assets	F	Dividend	L	T					

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
F =$50,001 - $100,000
G =$100,001 - $1,000,000
H1 =$1,000,001 - $5,000,000
H2 =More than $5,000,000

2 Value Codes (See Columns C1 and D3)
J =$15,000 or less
K =$15,001 - $50,000
L =$50,001 - $100,000
M =$100,001 - $250,000
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
P3 =$25,000,001 - $50,000,000
P4 =More than $50,000,000

3 Value Method Codes (See Column C2)
Q =Appraisal
R =Cost (Real Estate Only)
S =Assessment
T =Cash Market
U =Book Value
V =Other
W =Estimated

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Cain, Jr, James D.	04/26/2023

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	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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. Invesco S&P Equal Weight	E	Dividend	K	T					
19. EV Floating Rate I	A	Dividend	J	T					
20. IShares Global Tech	E	Dividend	K	T					
21. Scwab US Large Cap	E	Dividend	L	T					
22. SPDR S&P 500 EFT Trust	E	Dividend	K	T					
23. Vanguard Growth EFT	F	Dividend	L	T					
24. Gateway Fund	D	Dividend	J	T					
25. Janus Henderson Global Eq Fund	B	Dividend	J	T					
26. John Hancock Bond I Fund	D	Dividend	K	T					
27. John Hancock Regional Bank Fund	A	Dividend	J	T					
28. JP Morgan Core Plus Bond Fund A	C	Dividend	J	T					
29. Loomis Sayles Core Plus BD	B	Dividend	J	T					
30. Nuance Mid Cap Value Fund	E	Dividend	K	T					
31. Real Estate (H)									
32. Investment Property Office Building-Lake Charles, LA	A	Rent	M	W					
33. Investment Non Real Estate (H)									
34. Fly Guys, Inc	E	Dividend	K	T					

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H1 =$1,000,001 - $5,000,000
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J =$15,000 or less
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

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Cain, Jr, James D.	04/26/2023

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/ James D. Cain, Jr

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