AO 10
Rev. 1/2018

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
Cummings, Samuel R.	U.S. District Court Northern District of Texas	3/02/2022
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 - Senior	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2021 **to** 12/31/2021
7. Chambers or Office Address		
1205 Texas Avenue Room 308 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.		

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.					
2.					
3.					
4.					
5.					

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.			

Name of Person Reporting	Date of Report
Cummings, Samuel R.	3/02/2022

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. money market-savings - Wells Fargo Bank	B	Interest	O	T					
2. Oil & Gas Royalty & Working Interests: (H)									
3. --Roy Furr Estate Operator	A	Royalty	J	W					
4. Steward Energy	E	Royalty	L	W					
5. Brokerage Account #1 JT/WROS									
6. --CD - Provincial Financial Bank, Clayton, MO	B	Interest	K	T					
7. --CD - National Republic Bank, Chicago, IL	A	Interest	J	T					
8. --Bond - NW Harris County Municipal Utility District	C	Interest			Redeemed	06/01/21	L	A	
9. --Burleson TX CTF oblig.	A	Interest			Redeemed	08/23/21	K	A	
10. --McKinney TX Ind. Sch. Dis. g/o	A	Interest			Redeemed	09/07/21	L	A	
11. Brokerage Account #2 (H) IRA									
12. --CD - Bank of North Carolina, Thomasville, NC	B	Interest	M	T					
13. --CD - Discover Bank, Greenwood, DE	B	Interest	M	T					
14. Brokerage Account #1 (H) JT/WROS									
15. --Bond - Texas Tech University Bond	A	Interest			Redeemed	08/16/21	K	A	
16. --Bond - Temple Tex. Rev. & Ltd. Tax Bds	A	Interest			Redeemed	08/01/21	K	A	
17. Brokerage Account #2 (H) IRA									

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		

Name of Person Reporting	Date of Report
Cummings, Samuel R.	3/02/2022

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. --Nureen Quality Preferred FD3	B	Dividend	K	T					
19. --Nureen Quality Preferred FD3	B	Dividend	K	T					
20. Brokerage Account #1 (H) JT/WROS									
21. --Bond - Victoria County TX Jr. College Dist.	B	Interest	L	T					
22. --Bond - Crowley TX ISD	B	Interest	L	T					
23. --Bond-50 Northside Tex. Ind. Sch. Dis. Tax Bds	B	Interest	L	T					
24. --Bond-Stanton TX ISD Bldg. Bds	B	Interest	L	T					
25. --Bond-North Hopkins TX ISD	B	Interest	L	T					
26. --Bond-Weston Mun. Ut. Dis. TEXU Ltd Bonds	B	Interest	L	T					
27. --Bond-Cypress Hill Mun. Dist. No. 1	B	Interest			Redeemed	09/01/21	L	A	
28. Brokerage Account #2 (H) (IRA)									
29. --825 shares Tr. High Dividend ETF	B	Dividend	L	T					
30. Brokerage Account #1 (H) JT/WROS									
31. --Bond-Lake Mun. Ut. Dis. Tax	B	Interest	M	T					
32. --Bond-Edinburgh Tax & Rev. CTFS oblig.	B	Interest			Redeemed	07/07/21	K	A	
33. --Bond-Houston Higher Ed. Fin. Corp.	B	Interest	L	T					
34. --Bond-Fort Bend Cnty. Util. Dist.	B	Interest	K	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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35. Brokerage Account-#2 (H) IRA									
36. --First Tr Value Divid Index SHS	B	Dividend	M	T					
37. --First Tr ETF Staples ALPHA DEX	B	Dividend	M	T					
38. --Global X FD DIS ETF	B	Dividend	L	T					
39. --Wells Fargo Corporate Bond	B	Interest	L	T					
40. --JP Morgan Chase Corporate Bond	B	Interest			Redeemed	03/23/21	M	A	
41. Brokerage Account #1 (H) JT/WROS									
42. --Travis Cnty Ctfs of Oblig	B	Interest	K	T					
43. --New Caney Util Dis Tax Bds	B	Interest	L	T					
44. --Travis Cnty Tx Mun Util Dis No. 16	C	Interest	M	T					
45. --Lbb Cooper ISD Bond	B	Interest	K	T					
46. --Houston Tx Bds	B	Interest	L	T					
47. --Tomball Tx ISD Bds	B	Interest	M	T					
48. --Centerville Tx ISD Bds	B	Interest			Redeemed	08/16/21	M	A	
49. --Alief Tx ISD Bds	B	Interest	L	T					
50. --Chambers County Bds	B	Interest	L	T					
51. --Willow Fork Drain Dis Tx Bds	B	Interest	M	T					

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52. --College Station Tx ISD Bds	B	Interest	L	T					
53. --Klein Tx ISD Bds	B	Interest	L	T					
54. --Lovejoy Tx ISD Bds	B	Interest	M	T					
55. --Prosper Tx ISD Bds	B	Interest	L	T					
56. --Red Oak Tx ISD Bds	B	Interest	M	T					
57. --Tex Tech Rev Bds	B	Interest	M	T					
58. --Borger Tx ISD Bds	B	Interest	M	T					
59. --Harris Co. Tx Mun Bds	B	Interest			Redeemed	04/01/21	L	A	
60. --West Harris Co. Tx Mun Bds	B	Interest	M	T					
61. --Horizon Tx Mun. Bds	B	Interest	L	T					
62. --Plano Tx GO Bds	B	Interest	L	T					
63. --Woodcreek Resv Munc Util Bds	B	Interest	K	T					
64. --Whitehouse Tx ISD Bds	B	Interest	M	T					
65. --El Paso Hosp Dis Bds	B	Interest	M	T					
66. --Irving Tx Bds	B	Interest	M	T					
67. --North Tx Mun WTR Rev Bds	B	Interest	L	T					
68. --Waco Tx Rev CTFS	B	Interest	M	T					

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69. --Arlington Fin Corp Harmony Pub Schs	B	Interest	M	T					
70. --Richardson CTFS of Oblig	B	Interest	M	T					
71. --Harris - Mtgy Co Mun Util Dis	A	Interest	L	T					
72. --Willow Fork Drain Dis Util Bds	A	Interest	L	T					
73. --Hartford Finan FIX/FLT 42	B	Dividend	L	T					
74. --Public Storage SHS	B	Dividend	L	T					
75. --Wells Fargo Dep SHS	B	Dividend	L	T					
76. --Ector Cnty CTFS of Oblig.	B	Interest	L	T					
77. --Waco Tx CTFS of Oblig.	B	Interest	L	T					
78. --Brazoria Co UT Dist Bds	B	Interest	L	T					
79. --Paloma Lake Tx Bds	B	Interest	L	T					
80. Brokerage Acct. #2 IRA									
81. --First Trust DSIP Portfolio	B	Interest	M	T					
82. --2017 BJ ELN Series	B	Interest	L	T					
83. --ISHARES USA ETF	B	Dividend	L	T					
84. Brokerage Acct. #1 JT/WROS									
85. --University TX BDS	B	Interest	L	T					

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86. --Frisco TX ISD	B	Interest	L	T					
87. --Hidalgo Cnty TX CFTS OBLIG	B	Interest	M	T					
88. --Texas Tech Univ BDS Ser 2015A	A	Interest	L	T					
89. Brokerage Acct. #2 IRA									
90. --First Trust DVD 2Q '18 Term	B	Dividend	M	T					
91. --First Trust S&P DVD Target	B	Dividend	M	T					
92. Brokerage Acct. #1 JT/WROS									
93. --Denton County WTR Supply Dist. BDS	B	Interest	M	T					
94. --St. George Redev TX BDS	B	Interest	L	T					
95. --Goldthwaite TX ISD BDS	B	Interest	L	T					
96. --Montgomery Cnty WTR IMPT Dis TX Bds	B	Interest	L	T					
97. --Travis Co. Util. Dis BDS	A	Interest	K	T					
98. Brokerage Acct. #2 (IRA)									
99. --First Trust S&P DVD Target 25	C	Dividend	N	T					
100. --Invpsco DVD Portfolio 193 Term	C	Dividend			Redeemed	08/06/21	N	A	
101. --Guggenheim Strategy 029 Term	B	Dividend	L	T					
102. Brokerage Acct. #1 JT/WROS									

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103. Nuveen Amt Mun. Income	D	Int./Div.	N	T					
104. Nuveen Amt Mun. Income	A	Int./Div.	K	T					
105. Brokerage Acct. #2 IRA									
106. -1 Shares Trust Select DIVID ETF	B	Dividend	M	T					
107. --First Trust Amer. Reinvtm Unit Trust	B	Dividend	M	T					
108. Guggenheim US Capitol Portfolio	B	Dividend	K	T					
109. Brokerage Acct. #1 (H) JT/WROS									
110. --Carrollton TX ISD Bond	A	Interest	L	T	Buy	04/05/21	L		
111. --Vaneck Vectors Preferred ETF	A	Dividend	L	T	Buy	06/01/21	L		
112. --Vaneck Vectors Preferred ETF	A	Dividend	K	T	Buy	07/08/21	K		
113. --Vaneck Vectors Preferred ETF	A	Dividend	K	T	Buy	08/04/21	K		
114. --Vaneck Vectors Preferred ETF	B	Dividend	M	T	Buy	08/26/21	M		
115. --Nuveen Mun Income	B	Dividend	L	T	Buy	09/09/21	L		
116. Brokerage Acct. #2 (H) IRA									
117. --First Trust Value Reinv Mo.	A	Interest	L	T	Buy	02/05/21	L		
118. --Vaneck Vectors Preferred ETF	B	Dividend	M	T	Buy	03/24/21	M		
119. --Vanguard High Dividend Yield ETF	B	Dividend	N	T	Buy	08/10/21	N		

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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
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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)
120. --Vanguard High Dividend Yield ETF	A	Dividend	K	T	Buy	10/25/21	K		
121. --Smart Trust Defensive 50 Equities	B	Dividend			Redeemed	10/25/21	M	A	
122.									
123.									
124.									
125.									
126.									

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		

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

Name of Person Reporting	Date of Report
Cummings, Samuel R.	3/02/2022

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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