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
Dennis, James L.	U.S. 5th Cir. Court of Appeals	04/22/2022
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. Circuit Judge, Active	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2021 **to** 12/31/2021
7. Chambers or Office Address		
John Minor Wisdom Building 600 Camp Street, Room 219 New Orleans, LA 70130		

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. Member, Advisory Committee	Geo. W. & Jean H. Pugh Institute for Justice, a fund held by the L.S.U. Foundation for the benefit of L.S.U. Law School
2. Member, LSU Law Center Board of Trustees	LSU Law Center Board of Trustees, a consultative or advisory body to the Chancellor; appointed by Chancellor; not a governing board.
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. 10/02/95	LA State Employees' Retirement System. No control; fully vested 10/31/94. See La.R.S. 11:551
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.	2021	LA State Employees' Retirement System - Pension	$64,829.04
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	Teachers' Retirement System of Louisiana - pension
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
Dennis, James L.	04/22/2022

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	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)	
1. AllianceBernstein International Growth Fund (AWPAX)	A	Dividend	K	T					
2. Bank Deposit Program (Wells Fargo)	A	Interest	K	T					
3. Anchor Nat'l Life Polaris Choice II Variable Annuity (FKA AIG)		None	N	T					
4. Enterprise Prods Partners	B	Dividend	K	T					
5. JP Morgan Short Term Tax Free Bond Fund	A	Dividend	J	T					
6. Plains All American Pipeline	A	Dividend	J	T					
7. Postrock Energy Corp.		None	J	T					
8. Teekay Tankers Ltd.		None	J	T					
9. Centurylink (name change to Lumen)	A	Dividend	J	T					
10. Hercules Tech. Capital Inc.	B	Dividend	J	T					
11. Sandridge Mississippian Trust I	A	Dividend	J	T					
12. Delta Airlines	A	Dividend	J	T					
13. Apple Inc.	A	Dividend	L	T					
14. First Trust IPO (ETF)	A	Dividend	K	T					
15. Intel Corp.	A	Dividend	K	T					
16. PGIM Short Duration High Yield Fund (CEF)	A	Dividend			Sold	10/19/21	J		
17. KKR & Co.	A	Dividend	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

Name of Person Reporting	Date of Report
Dennis, James L.	04/22/2022

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	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)	
18. Taylor Morrison Home Corp.		None	J	T					
19. Cisco Systems	A	Dividend	K	T					
20. Corenergy Infrastructure Trust Inc.	A	Dividend	J	T					
21. General Motors	A	Dividend	K	T					
22. United Rentals		None	K	T					
23. Advent Claymore Convertible	A	Dividend	J	T					
24. Gabelli Dividend & Income Fund (CEF)	A	Dividend	J	T					
25. RMR Group, Inc. (X)	A	Dividend	J	T					
26. Veritiv Corp.		None	J	T					
27. Fiat Chrysler (name change to Stellantis)	A	Dividend	K	T					
28. Lamar Advertising	B	Dividend	K	T					
29. Bristol Myers Squibb	A	Dividend	K	T					
30. Nuveen Muni 2021 Target (CEF)	A	Dividend	K	T	Matured	03/02/21	K		
31. Nuveen Emerging Markets Debt (CEF) 2022 Term	B	Dividend	K	T					
32. Micron Technology		None	K	T					
33. Carlyle Group LP	A	Dividend	K	T					
34. Accenture Ireland PLC	A	Dividend	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
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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	P1 =$1,000,001 - $5,000,000	P2 =$5,000,001 - $25,000,000	
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☐ NONE *(No reportable income, assets, or transactions.)*

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35. Alphabet Inc. Class A		None	K	T					
36. AT&T Inc.	A	Dividend	J	T					
37. Chevron Corp.	A	Dividend	J	T					
38. Chubb Ltd.	A	Dividend	K	T					
39. Citigroup Inc.	A	Dividend	J	T					
40. CVS Health Corp.	A	Dividend	K	T					
41. Danaher Corp.	A	Dividend	L	T					
42. Emerson Electric Co.	A	Dividend	K	T					
43. Meta Platforms		None	K	T					
44. HSBC Holdings	B	Dividend	K	T					
45. Illinois Tool Works Inc.	A	Dividend	K	T					
46. Intercontinental Hotel Group	A	Dividend	K	T					
47. Merck	A	Dividend	K	T					
48. Microsoft Corp.	A	Dividend	K	T					
49. Starbucks Corp.	A	Dividend	K	T					
50. UBS Group	B	Dividend	K	T					
51. Amazon.com		None	K	T					

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A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period (1) Amount Code 1 (A-H)	B (2) Type (e g , div , rent, or int)	C Gross value at end of reporting period (1) Value Code 2 (J-P)	C (2) Value Method Code 3 (Q-W)	D Transactions during reporting period (1) Type (e g , buy, sell, redemption)	D (2) Date mm/dd/yy	D (3) Value Code 2 (J-P)	D (4) Gain Code 1 (A-H)	
52. U.S. Foods Holdings Corp		None	J	T					
53. SAP SE ADS	A	Dividend			Sold	08/09/21	K	B	
54. Energy Transfer L.P.	C	Distribution	K	T					
55. Perspecta Inc.	A	Dividend			Sold	05/07/21	J	A	
56. Costco Whs/Corp	A	Dividend	K	T					
57. L3 Harris Tech	A	Dividend			Sold	10/06/21	K		
58. PayPal Holdings Inc.		None	L	T					
59. Organon & Co	A	Dividend	J	T	Spinoff (from line 47)	06/03/21	J	A	
60. Icahn Enterprises LP	B	Dividend	J	T	Buy	10/20/21	J		
61. Star Bulk Carriers Corp.	B	Dividend	J	T	Buy	10/06/21	J		
62. Sibanye-Stillwater ADR	A	Dividend	J	T	Buy	08/09/21	J		
63. Photronics Inc		None	J	T	Buy	07/23/21	J		
64. KB Home	A	Dividend	J	T	Buy	05/27/21	J		
65. Kulicke & Soffa Industries, Inc.	A	Dividend	J	T	Buy	05/27/21	J		
66. Faurecia SA	A	Dividend	J	T	Spinoff (from line 27)	05/07/21	J		
67. Blackrock Innovation & Growth TR	B	Dividend	K	T	Buy	03/06/21	J		
68. International Business Machine Corp.	A	Dividend	K	T	Buy	02/16/21	K		

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69. Kyndryl Holdings Inc.		None	J	T	Spinoff (from line 68)	02/16/21	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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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Part I. The LSU Law Center Board of Trustees has no reportable assets.

Name of Person Reporting	Date of Report
Dennis, James L.	04/22/2022

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/ James L. Dennis

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