AO 10
Rev. 1/2022

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
Dennis, James L.	U.S. 5th Cir. Court of Appeals	05/15/2023
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. Circuit Judge, Active	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2022 **to** 12/31/2022
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.	2022	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.	2022	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.	05/15/2023

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	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)		None	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. Lumen (forrmerly Centurylink)	A	Dividend	J	T					
10. Hercules Tech. Capital Inc.	B	Dividend	J	T					
11. Sandridge Mississippian Trust I		None	J	T					
12. Delta Airlines		None	J	T					
13. Apple Inc.	A	Dividend	L	T					
14. First Trust IPO (ETF)	A	Dividend	K	T					
15. Intel Corp.	A	Dividend	J	T					
16. KKR & Co.	A	Dividend	K	T					
17. Taylor Morrison Home Corp.		None			Sold	08/22/22	J	A	

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		

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				
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18. Cisco Systems	A	Dividend	J	T					
19. Corenergy Infrastructure Trust Inc.	A	Dividend	J	T					
20. General Motors	A	Dividend	J	T					
21. United Rentals		None			Sold	08/22/22	K	E	
22. Advent Claymore Convertible (Income Fund)	A	Dividend	J	T					
23. Gabelli Dividend & Income Fund (CEF)	A	Dividend	J	T					
24. RMR Group, Inc. (X)	A	Dividend	J	T					
25. Veritiv Corp.	A	Dividend	J	T					
26. Stellantis (Formerly Fiat Chrysler)	B	Dividend	K	T					
27. Lamar Advertising	B	Dividend	K	T					
28. Bristol Myers Squibb	A	Dividend	K	T					
29. Nuveen Emerging Markets Debt (CEF) 2022 Term	B	Dividend			Redeemed	12/02/22	K		Loss
30. Micron Technology	A	Dividend	J	T					
31. Carlyle Group LP	A	Dividend	J	T					
32. Accenture Ireland PLC	A	Dividend	K	T					
33. Alphabet Inc. Class A		None	K	T					
34. AT&T Inc.	A	Dividend	J	T					

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35. Chevron Corp.	A	Dividend	K	T					
36. Chubb Ltd.	A	Dividend	K	T					
37. Citigroup Inc.	A	Dividend	J	T					
38. CVS Health Corp.	A	Dividend	K	T					
39. Danaher Corp.	A	Dividend	L	T					
40. Emerson Electric Co.	A	Dividend	K	T					
41. Meta Platforms		None	J	T					
42. HSBC Holdings	A	Dividend	K	T					
43. Illinois Tool Works Inc.	A	Dividend	K	T					
44. Intercontinental Hotel Group	A	Dividend	K	T					
45. Merck	A	Dividend	K	T					
46. Microsoft Corp.	A	Dividend	K	T					
47. Starbucks Corp.	A	Dividend	K	T					
48. UBS Group	A	Dividend	K	T	Sold (part)	02/09/22	K	C	
49. Amazon.com		None	K	T					
50. U.S. Foods Holdings Corp		None	J	T					
51. Energy Transfer L.P.	D	Distribution	L	T					

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52. Costco Whs/Corp	A	Dividend	K	T					
53. PayPal Holdings Inc.		None	J	T					
54. Organon & Co	A	Dividend	J	T					
55. Icahn Enterprises LP	B	Dividend	J	T					
56. Star Bulk Carriers Corp.	C	Dividend	J	T					
57. Sibanye-Stillwater ADR	A	Dividend	J	T					
58. Photronics Inc		None			Sold	06/10/22	J	C	
59. KB Home	A	Dividend	J	T					
60. Kulicke & Soffa Industries, Inc.	A	Dividend	J	T					
61. Faurecia SA		None	J	T					
62. Blackrock Innovation & Growth TR	A	Dividend	K	T					
63. International Business Machine Corp.	A	Dividend	K	T					
64. Kyndryl Holdings Inc.		None	J	T					
65. Amgen	B	Dividend	K	T					
66. B Riley Financial	A	Dividend	J	T	Buy	02/10/22	J		
67. Berkshire Hathaway		None	K	T	Buy	09/23/22	K		
68. Honeywell	A	Dividend	K	T	Buy	08/22/22	K		

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69. Huntsman Corp	A	Dividend	J	T	Buy	02/09/22	J		
70. KLA Corp	A	Dividend	J	T	Buy	01/11/22	J		
71. Salesforce Inc.		None	J	T	Buy	08/22/22	J		
72. Servicenow Inc.		None	J	T	Buy	08/22/22	J		
73. Warner Bros Discovery Inc		None	J	T	Spinoff (from line 34)	04/11/22	J		

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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.	05/15/2023

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 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