AO 10
Rev. 3/2023

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2023

Report Required by the Ethics in Government Act of 1978 (5 U.S.C. app. §§ 13101-13111)

1. Person Reporting (last name, first, middle initial)	2. Court or Organization	3. Date of Report
Hanen, Andrew S.	United States District Court - Texas	5/14/2024
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 - Active	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2023 **to** 12/31/2023
7. Chambers or Office Address		
United States Courthouse 515 Rusk Street, Rm. 9110 Houston, Texas 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.	
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.		
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.	Notre Dame School of Law	July 9, 2023 - July 13, 2023	London	CLE	Transportation, Meals, and Hotel
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
Hanen, Andrew S.	5/14/2024

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 (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)	
1. IRA Account #1 (H) (See Note 1)									
2. - Bank of America RASP	A	Interest	J	T					
3. - Apple (AAPL)	A	Dividend	M	T					
4. - iShares Nasdaq Biotechnology ETF (IBB)	A	Dividend	J	T	Sold (part)	10/12/23	J	A	
5. - Vanguard Consumer Staples Index Fund (VDC)	A	Dividend	J	T	Sold (part)	10/12/23	J	B	
6. - Vanguard Materials Index Fund ETF (VAW)	A	Dividend	J	T	Sold (part)	10/12/23	J	A	
7. - Consumer Discretionary Select Sector SPDR Fund (XLY)	A	Dividend	J	T	Sold (part)	10/12/23	J	C	
8. - Vanguard Industrials Index Fund ETF (VIS)	A	Dividend	J	T	Sold (part)	10/12/23	J	C	
9. - Health Care Select Sector SPDR Fund (XLV)	A	Dividend	J	T	Buy (add'l)	01/23/23	J		
10.					Buy (add'l)	07/21/23	J		
11.					Sold (part)	10/12/23	J	D	
12. - Financial Select Sector SPDR Fund (XLF)	A	Dividend	J	T	Buy (add'l)	01/23/23	J		
13.					Buy (add'l)	04/13/23	J		
14.					Sold (part)	10/12/23	J	A	
15. - Vanguard Information Technology Index ETF (VGT)	A	Dividend	K	T	Sold (part)	04/13/23	J	C	
16.					Sold (part)	07/21/23	J	C	
17.					Sold (part)	10/12/23	K	E	

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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18. - First Trust Cloud Computing ETF (SKYY)		None	J	T	Sold (part)	01/23/23	J	A	
19.					Sold (part)	04/13/23	J	A	
20.					Sold (part)	07/21/23	J	B	
21.					Sold (part)	10/12/23	J	A	
22. - Energy Select Sector SPDR Fund (XLE)	A	Dividend	J	T	Sold (part)	10/12/23	J	B	
23.					Buy (add'l)	10/19/23	J		
24. - Real Estate Select Sector SPDR Fund (XLRE)	A	Dividend	J	T	Sold (part)	01/23/23	J	A	
25.					Sold (part)	04/13/23	J	A	
26. - Communication Services Select Sector SPDR (XLC)	A	Dividend	J	T	Sold (part)	01/23/23	J	A	
27.					Buy (add'l)	04/13/23	J		
28.					Sold (part)	10/12/23	J	C	
29. - Pacer Benchmark Data & Infra (SRVR)	A	Dividend	J	T					
30. - iShares US Regional Banks ETF (IAT)	A	Dividend			Sold	07/21/23	J	A	
31. - Global X US Infrastructure (PAVE)	A	Dividend	J	T	Sold (part)	10/12/23	J	A	
32. - SPDR S&P Transportation ETF (XTN)		None			Sold	01/23/23	J	A	
33. - Fidelity MSCI Utilities Index ETF (FUTY)	A	Dividend	J	T	Buy (add'l)	01/23/23	J		
34.					Sold (part)	10/12/23	J	A	

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35.					Sold (part)	10/19/23	J	A	
36. - VanEck Semiconductor ETF (SMH)	A	Dividend	J	T	Sold (part)	01/23/23	J	A	
37.					Buy (add'l)	04/13/23	J		
38.					Buy (add'l)	07/21/23	J		
39.					Sold (part)	10/12/23	J	B	
40. - iShares US Aerospace & Defense ETF (ITA)	A	Dividend	J	T	Buy	01/23/23	J		
41.					Sold (part)	10/12/23	J	A	
42. - Invesco KBW Bank ETF (KBWB)	A	Dividend	J	T	Buy	04/13/23	J		
43. - iShares U.S. Infrastructure ETF (IFRA)	A	Dividend	J	T	Buy	07/21/23	J		
44. Retirement Account #1 (H)									
45. - Fidelity Government Cash Reserves (FDRXX)	A	Dividend	J	T					
46. - Fidelity ContraFund (FCNTX)	B	Dividend	K	T	Sold (part)	02/28/23	K	C	
47. - Fidelity Equity Dividend Income Fund (FEQTX)	C	Dividend	L	T					
48. - Fidelity Dividend Growth Fund (FDGFX)	A	Dividend	K	T					
49. - Fidelity Blue Chip Value Fund (FBCVX)	A	Dividend	K	T					
50. - Fidelity 500 Index Fund (FXAIX)	A	Dividend	K	T	Sold (part)	02/28/23	K	D	
51. - Fidelity Limited Term Bond Fund (FJRLX)	C	Dividend	M	T					

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52. - Fidelity Total Bond (FTBFX)	D	Dividend	M	T					
53. - Cadence Bank (CADE)	A	Dividend	K	T					
54. - Morgan Stanley (MS)	C	Dividend	L	T					
55. - Fidelity Value Fund (FDVLX)	B	Dividend	K	T					
56. - United States Treasury Note Series J-2024 (CUSIP 912828W71)	A	Interest	K	T	Buy	02/28/23	K		
57. - ConocoPhillips Co. Note (CUSIP 20826FAU0)	A	Interest	K	T	Buy	02/28/23	K		
58. Brokerage Account #1 (H)									
59. - Morgan Stanley Private Bank NA Fund	A	Interest	J	T					
60. - Bank of America Corp FXD 6.1 (CUSIP 060505EN0)	D	Dividend	L	T					
61. - Bank of America Corp FXD 5.125 (CUSIP 060505FP4)	D	Dividend	L	T					
62. - JP Morgan Chase FXD 6.1 (CUSIP 48126HAC4)	D	Dividend	L	T					
63. - Morgan Stanley FXD 5.3 (CUSIP 61745VAB9)	E	Dividend	N	T					
64. - PGIM Short Dur High Yield (SDHY)	D	Dividend	L	T					
65. - Goldman Sachs Capital FXD 4.0 (CUSIP 381427AA1)	D	Dividend	L	T					
66. - CitiGroup FXD 5.35 (CUSIP 172967GR6)	D	Dividend	L	T					
67. - Capital One 4.375 (COF.L)	B	Dividend	K	T					
68. - Plains All American FXD 6.125 (CUSIP 726503AE5)	D	Dividend	K	T					

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3. Value Method Codes (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
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69. - Neuberger Berman Next Gen Fund (NBXG)	C	Dividend	K	T					
70. - JP Morgan Chase FXD 6.125 (CUSIP 46625HJW1)	D	Dividend	L	T					
71. - CitiGroup FXD 6.3 (CUSIP 172967HQ7)	C	Dividend	K	T					
72. - Charles Schwab Westlake TX CD (CUSIP 15987UAS7)	B	Interest	K	T	Buy	03/01/23	K		
73. - Federated Hermes Prime Cash Fund (PCOXX)	B	Dividend	L	T	Buy	03/03/23	K		
74.					Buy (add'l)	12/19/23	J		
75. PNC Bank	B	Interest	M	T					
76. Northwestern Mutual EOL Whole Life Insurance [redacted] (See Note 4)	A	Dividend	J	T					
77. Northwestern Mutual EOL Whole Life Insurance [redacted]	A	Dividend	J	T					
78. Northwestern Life Mutual Whole Life Insurance [redacted]	A	Dividend	J	T					
79. Northwestern Mutual Whole Life Insurance [redacted]	C	Dividend	L	T					
80. Northwestern Mutual Whole Life Insurance [redacted]	C	Dividend	L	T					
81. Northwestern Mutual Whole Life Insurance [redacted]	C	Dividend	K	T					
82. IRA Account #4 (H)									
83. - Apple (AAPL)	A	Dividend	J	T					
84. - SPDR Gold Trust (GLD)		None	J	T					
85. - WF Sweep	A	Interest	J	T					

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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
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86. - Dodge & Cox Fund (DODGX)	A	Dividend	K	T					
87. - The Bond Fund of America (ABNFX)	C	Dividend	M	T					
88. - Brown Advisory Small-Cap Growth Fund (BAFSX)		None	K	T					
89. - Goldman Sachs Treasury Instruments Fund (FTIXX)	A	Dividend			Sold (part)	01/13/23	J	A	
90.					Sold (part)	04/14/23	J	A	
91.					Sold	07/14/23	J	A	
92. - The Growth Fund of America (GFFFX)	D	Dividend	L	T					
93. - American Funds New World (NFFFX)	A	Dividend	K	T					
94. - Washington Mutual Investors Fund (WMFFX)	D	Dividend	M	T	Sold (part)	07/14/23	J	A	
95.					Sold (part)	10/13/23	J	A	
96. - Janus Henderson Small Cap Value (JSCOX)	B	Dividend	K	T					
97. - Jensen Quality Growth (JENIX)	C	Dividend	K	T					
98. - John Hancock Disciplined Value (JVMIX)	B	Dividend	K	T					
99. - MFS Emerging Markets Debt Fund (MEDIX)	B	Dividend	K	T					
100. - Allspring Emerging Markets Equity Fund (EMGNX)	A	Dividend	J	T					
101. - EuroPacific Growth Fund (AEPFX)	B	Dividend	L	T					
102. - PIMCO Total Return Fund (PTTRX)	B	Dividend	K	T					

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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 (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)	
103. - PIMCO CommodityRealReturn Strategy Fund (PCRIX)	A	Dividend	J	T					
104. - PGIM High Yield Fund (PHYZX)	C	Dividend	K	T					
105. - MFS Mid Cap Growth Fund Class I (OTCIX)		None	K	T					
106. - PIMCO CommoditiesPLUS Strategy Fund (PCLIX)	A	Dividend	J	T					
107. IRA Account #6 (H)									
108. - Energy Transfer Equity (ET)	A	Dividend	J	T					
109. - Enterprise Products Partners LP (EPD)	A	Dividend	J	T					
110. - Kinder Morgan Inc. (KMI)	A	Dividend			Sold	12/05/23	J	A	
111. - ONEOK Inc. (OKE)	A	Dividend			Sold	12/05/23	J	A	
112. - Williams Companies Inc. (WMB)	A	Dividend			Sold	12/05/23	J	A	
113. - First Eagle Overseas Fund Class A (SGOVX) (See Note 2)		None			Sold	12/04/23	J	A	
114. - iShares JP Morgan EM Local Currency Bond ETF (LEMB)		None			Sold	12/05/23	J	A	
115. - iShares S&P 500 Growth ETF (IVW)	A	Dividend			Sold	12/05/23	J	A	
116. - iShares S&P 500 Value ETF (IVE)	A	Dividend			Sold (part)	05/12/23	J	A	
117.					Sold	12/05/23	J	A	
118. - Vanguard Short-Term Bond Index Fund ETF (BSV)	A	Dividend			Buy (add'l)	01/18/23	J		
119.					Buy (add'l)	08/28/23	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
	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
Hanen, Andrew S.	5/14/2024

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 (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)	
120.					Buy (add'l)	08/31/23	J		
121.					Sold	12/05/23	J	A	
122. - Pershing Gov. Acct.		None			Closed	04/01/23	J		
123. - MFS International Diversification Fund (MDIJX)	A	Dividend	J	T	Sold (part)	08/30/23	J	A	
124. - JPMorgan Emerging Markets (JFAMX)		None			Sold	06/16/23	J	A	
125. - Eaton Vance Emerging Markets (EEIAX)	A	Dividend	J	T					
126. - PGIM Global Total Return Fund (PZTRX) (See Note 3)	A	Dividend			Sold	12/04/23	J	A	
127. - Federated Hermes Government Obligations Fund (GOFXX)	A	Dividend	J	T					
128. - iShares Core U.S. Aggregate Bond ETF (AGG)	A	Dividend			Buy (add'l)	10/11/23	J		
129.					Sold	12/05/23	K	A	
130. - Fidelity Advisor Focused Emerging Markets Fund (FZAEX)	A	Dividend	J	T	Buy	06/16/23	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
	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
Hanen, Andrew S.	5/14/2024

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

1. The brokerage house that handles IRA Account No. 1 has separated the Apple stock into a separate sub account, so while it technically has a different account number, it is just a continuation of the same account.
2. On October 13, 2023, a stock class exchange took place regarding First Eagle Overseas Fund Class R6 (Ticker FEORX). FEORX was exchanged for First Overseas Fund Class 1 (Ticker SGOIX). There were no reportable financial effects on the undersigned. It was sold in total on December 4, 2023, and neither will appear on the 2024 Financial Disclosure.
3. On September 25, 2023, a similar exchange as in Note 2 took place. It had no reportable financial effects, but in effect the shares in PGIM Global Total Return Fund Class Z (Ticker PZTRX) became shares in PGIM Global Total Return Fund Class R6 (Ticker PGTQX). It was sold on December 4, 2023, and neither will appear on the 2024 Financial Disclosure.

Name of Person Reporting	Date of Report
Hanen, Andrew S.	5/14/2024

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. § 13141 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: s/ Andrew S. Hanen

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. § 13106)

Committee on Financial Disclosure
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